

A photograph of a man with grey hair, shirtless, sitting in a green canoe on a calm blue lake. He is holding a paddle and looking towards the right. In the background, there is a dense green forest under a clear sky. The water reflects the man and the forest.

# REDD+

and  
Community  
Forestry:

Lessons  
Learned

from an  
Exchange  
of **Brazilian**  
experiences  
with **Africa**

## REDD+ and Community Forestry: lessons learned from an exchange between Brazil and Africa

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## Testimonials

*“This knowledge exchange initiative comes at a strategic moment for the participating countries, as they design national strategies to address the causes of deforestation and forest degradation. African countries can benefit from the Brazilian experience of decentralizing forest management to communities, and innovative Payment for Ecosystem Schemes. Brazil, in turn, can learn from the Congo Basin’s positive and negative experiences with forest concession management.”*

**André Aquino**, forest carbon expert – FCPF/WB

*“Brazil has made significant progress in recent years with the development of satellite forest monitoring systems and I am sure that this, in the context of this South-South cooperation, is an important area in which countries can collaborate.”*

**Antonio Carlos Hummell**, Director General of the Brazilian Forest Service, Ministry of the Environment

*“Promoting South-South cooperation in REDD+ and sustainable management of forests is crucial for making progress in climate change mitigation. This trip is an important contribution to building knowledge in REDD+ through the exchange of experiences and lessons learned. For the Brazilian government it is a good opportunity to share the progress we have made in sustainable community management of forests and learn from the experience of other countries, as well as for opening a policy dialogue with other tropical forested countries.”*

**Thais Linhares-Juvenal**, Former Director for Climate Change of the Ministry of the Environment (2010/2011)

*“The Brazilian experience of empowering forest communities to manage their resources and extract value from that is highly valuable for my country, the Democratic Republic of Congo (DRC), where some field experiences are underway and the new legislation on community forest management is under discussion.”*

**Victor Kabengele Wa Kadilu**, Projects Coordinator – Ministry of Environment DRC/ South-South Cooperation DRC Focal Point

*“This South-South exchange trip has been a very rich experience. It allowed us, on the one hand, to see the technological advances that Brazil has made in monitoring forest cover, and on the other, to see how local people in the states visited in the North are involved in safeguarding the forests.”*

**Ifo Aware Suspense**, Climate Focal Point, Congo Brazzaville

# Executive Summary



**THIS PUBLICATION IS THE RESULT OF AN INITIATIVE** by the Forest Carbon Partnership Facility, with funding from the Global Environment Facility, to promote an exchange between Brazil and Africa on lessons learned about the role of community forestry as a strategy to achieve the goals of REDD+<sup>1</sup>. The results presented here are based on a fact-finding mission to Brazil by policy makers and experts from six African countries, in February 2011. Key issues related to REDD+ were addressed in seminars, field visits and workshops during a 10-day journey.

This publication brings together information, analyses, and conclusions on issues relevant to the design and implementation of national REDD+ strategies. These findings do not represent the official position of any of the institutions or governments involved. This publication aims to promote a discussion on the role of community forest management as a strategic option to promote REDD+ goals, and, conversely, on ways REDD+ can foster community management of forests, both in theory and in practice.

The mission's main conclusions were the following:

1. REDD+ initiatives need to be integrated with sectoral and cross-sectoral policies, including forestry, agriculture, infrastructure, and environmental policies.
2. Support for long-term capacity building and financing are key elements for the success of REDD+ initiatives.
3. Community-based forest management plays a very important role in reducing deforestation and forest degradation.
4. Community-based forest management should be implemented through participatory processes that empower indigenous peoples and local populations in the decision-making process.
5. Monitoring, reporting and verification (MRV) is a key element of REDD+ initiatives, and South-South (S-S) cooperation plays an important role in increasing its efficiency and effectiveness.

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<sup>1</sup>In this publication, the term REDD+ is used for all activities covered by the mechanism for Reducing Emissions from Deforestation and Forest Degradation, plus the conservation of forest carbon stocks, the sustainable management of forests, and the increased enhancement of forest carbon stocks in developing countries.

6. Cooperation and exchange of experiences with Brazil could provide important support for REDD+ development in Africa.
7. Cooperation and exchanges of experience with Brazil could provide important support for REDD+ development in Africa.

From an analysis of the literature and the practical examples assessed during this exchange, the following conclusions can be drawn on the role of community forestry for the promotion of REDD+ goals:

- 1. Community forestry can be an efficient and effective strategic option** to address some of the main causes of deforestation and degradation, contributing to the reduction of emissions from these sources, and to promote important social and environmental co-benefits. The decentralization of forest management to local communities, the clarification of land and forest use rights and ownership, the lending of long-term support to promote the internal cohesion and capacity of community-level organizations, the clarification of benefit-sharing mechanisms at the local level and support in adding value to forest products and services (wood, non-timber forest products, carbon storage, biodiversity, etc.) are all key elements of a successful strategy to promote community forestry and ensure it supports REDD+ goals. The promotion of community forestry in public areas facing deforestation pressure from new developments (infrastructure developments, commercial agriculture expansion, etc.) can be a key strategy to manage future deforestation.
- 2. REDD+ can foster community forestry by:** (i) providing a long-term, steady flow of financial resources to local communities that are able to demonstrate “verifiable” emission reductions, as a way to pay them for the global-level environmental service being carried out (carbon storage); (ii) promoting national REDD+ Readiness processes, as various countries are currently seeking cost-efficient options to effectively reduce deforestation so that they can access REDD+ resources, and use this as a “window of opportunity” to mainstream community forestry as an efficient and effective strategy to reach REDD+ goals; (iii)

providing transparency—REDD+ financial resources will be subject to close international scrutiny. Hence, countries have an incentive to develop a transparent mechanism to channel resources to the local level; and (iv) serving as a “performance-based” type of payment, as REDD+ encourages stakeholders at all levels to continuously improve the actions aimed at reducing deforestation and degradation, in order to ensure uninterrupted payments.

- 3. Effective implementation of community forestry faces major challenges,** such as: (i) ensuring long-term financial support for communities, including compensation for all costs they incur when changing forest management practices (mainly different sorts of restrictions on the use of forest resources); (ii) the low level of social and human capacity across many forest communities, as well as the very definition and boundaries of “community” in many cases; and (iii) ensuring fair benefit sharing at the local level. The social and environmental results of community forest management are often realized only in the long term.
- 4. The national REDD+ Readiness process has created new venues for Civil Society Organizations (CSOs) and representatives of forest communities** (including indigenous peoples) to influence policy making. This could be a good opportunity for these organizations to push for further support of community forestry from national and local governments.

# Introduction



**THE ROLE OF FORESTS IN CLIMATE CHANGE MITIGATION** is garnering increasing attention. Some 12% to 20% of global greenhouse gas emissions are associated with deforestation and forest degradation. REDD+ has been formally incorporated into the United Nations Framework Convention on Climate Change (UNFCCC) process. International initiatives, such as the Forest Carbon Partnership Facility (FCPF) and the UN-REDD Program, are actively supporting the implementation of REDD+ at the national level.

Designing a successful REDD+ strategy is a complex undertaking. REDD+ deals with the intricacies of changing human behavior toward forests and land in general. Most forests in developing countries are home to human societies, many of which are indigenous and traditional populations. Most of these communities face higher poverty rates and have less access to government services than neighboring urban societies.

Community forestry, taken in its broadest sense, can play a key role in achieving REDD+ goals. Various tropical countries have demonstrated that the effective decentralization of forest management rights and responsibilities, when combined with long-term support of local communities, can prove effective at inducing better management of forest resources. REDD+ can foster decentralization of forest management rights and responsibilities.

South-South exchanges provide a unique opportunity to improve the efficiency and effectiveness of the emerging REDD+ strategies by allowing policy makers to experience how their counterparts in other countries have tackled similar challenges.

This publication is the result of an initiative to promote an exchange between Brazil and African countries on lessons learned about the role of community

forestry as a strategic option to achieve the goals of REDD+. The initiative was supported by the World Bank with funding from the Global Environment Facility (GEF), and coordinated by the Amazonas Sustainable Foundation (FAS) with support from the National Forestry Agency – International (ONFI). Representatives of five countries from the Congo Basin (Cameroon, Gabon, the Central African Republic, the Democratic Republic of Congo, and the Republic of Congo) and Madagascar participated in this initiative.

This initiative was timely, as all participating countries are currently busy with their own national “REDD+ Readiness Process,” including the preparation of a national REDD Strategy, with the support of the Forest Carbon Partnership Facility (FCPF), the UN-REDD Program, and a range of other multilateral and bilateral partners. The FCPF currently supports 37 countries in getting “ready” for REDD+.

This publication and the visit of African representatives to Brazil benefited from the support of a number of governmental and non-governmental institutions, listed in the Annex. Discussions took place through seminars, field visits and workshops in the course of a 10-day visit in February 2011. The opening seminar was held at the Brazilian Development Bank (BNDES), in the state of Rio de Janeiro, field visits were made to forest communities and protected areas in the states of Amazonas and Pará, and the closing seminar was held in São Paulo.

This publication organizes information, analyses and conclusions on issues relevant to the design and implementation of REDD+ strategies. The findings do not represent an official position of any of the institutions or governments involved. In fact, the material presented here aims to stimulate further discussions, as the REDD+ debate is still unfolding and could benefit greatly from technical exchanges among the various ongoing initiatives.

This publication has the following sections: (i) a conceptual approach to community forestry and REDD+; (ii) the key issues of REDD+ in connection with community forestry in Africa; (iii) how REDD+ and FC are being developed in Brazil; and (v) conclusions.

We hope that the material presented here, as well as that available on the websites of our institutions, will prove a useful tool for REDD+ design and implementation around the world.

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**Coordinator, Forest Carbon**  
**Partnership Facility**  
 World Bank – FCPF

**Prof. Virgilio Viana**  
**General Director**  
 Amazonas Sustainable  
 Foundation

# Conceptual approach to community forestry and REDD+



## A. “Community forestry:” common features and implementation methods

**IN ONE OF THE FIRST APPEARANCES** of the the term “community forestry” (CF) in the literature in the 1970s, FAO provided the following definition: “any situation which intimately involves local people in a forestry activity. It embraces a spectrum of situations ranging from woodlots in areas which are short of wood and other forest products for local needs, through the growing of trees at the farm level to provide cash crops and the processing of forest products at the household, artisan or small industry level to generate income, to the activities of forest dwelling communities” (FAO, 1992).

The basic idea of giving local people greater rights and management responsibilities over forest resources has since been widely disseminated. The motivations to engage in this approach have varied depending on the context. In some cases, the recognition of a population’s dependence on the forest and their indigenous rights were a priority; in other cases, it was rather the desire for operational efficiency—decentralization based on the social actors that were close to the resources rather than relying exclusively on a national administration.

In practice, the concept of CF varies widely, from the simple recognition of use rights to the transfer of property. Between these two extremes, we find all the possible variations and degrees of transfer, accountability,

and public participation. It is also an approach involving multiple actors and processes, which must be built up in stages and over time.

Certain notions and key elements are often attached to the concept and practice of community forestry.

### Box 1: Key elements of « Community Forestry » approach

**1. Institutional framework:** forest policy and the new role of the state. Through decentralization, some rights and responsibilities of governments, previously implemented by their technical services, are given to organized user groups living in or around the forests. The importance of other sectors (primarily agriculture) for sound management of forests is also recognized.

**2. Legal framework:** formal rights for forest use management/propriety are clearly recognized for these users groups, with certain obligations attached. Processes for attaining these rights and the role of the different stakeholders are described in laws and regulations.

**3. Technical and methodological tools:** both the legal framework and support of technical partners rely on common approaches recognizing local expertise, using participatory approaches, and technical frameworks such as forest management plans.

**4. Landholding:** setting up community forests is a way to tackle open or rampant conflicts concerning land access and propriety, and opposition between modern law and traditional practices.

**5. Organizational:** support must be given to local communities for complying with the legal framework and the technical requirements of CF.

**6. Economic:** development of community forests is regarded as a contribution to the fight against poverty and the livelihood of rural communities, with special attention to fair benefit sharing and valuation of all forest products and services.

The motivations of the different stakeholders (governments, local populations, technical and support organizations) to further develop CF converge around the goal of promoting “sustainable management of forest resources.” However, the effective implementation of CF takes time, and the legal and institutional frameworks are not yet complete, particularly in the countries of Central Africa.

Income-generation opportunities for local populations are one of the conditions necessary for the success and longevity of the CF systems in



place. Wood is probably the most popular product, but also Non-Timber Forest Products (NTFP) and, in some cases, activities such as ecotourism can be interesting sources of additional income. The importance of NTFP in regional and international markets has increased in recent years. Their global economic value is, however, difficult to calculate but rising quickly. The carbon storage of forests also has an important potential for generating a stream of benefits for local communities, as an international mechanism for REDD+ is already in place.

In order for CF to contribute in a significant way to improving living conditions and sustainable forest management, various conditions must be met:

- an enabling regulatory and legal framework must be in place;
- community capacity must be strengthened in the long term;
- fair and efficient benefit-sharing systems must be implemented at the local level, supported by functioning institutions;
- clear rules must be defined and management tools be made available that can be implemented by communities;
- enhanced local added value (transformation and processing of local products) and improved access to existing markets, particularly through the development of roads, but also access to new markets for forest products and services.

## B. REDD+ and its basic principles

The principle of REDD+ is to provide compensation for a verified reduction of deforestation and degradation or a verified increase of forest carbon stocks. A National REDD+ Strategy defines the policies and institutional arrangements that the country is to implement to reach the goal of REDD+. This requires a deep understanding of the causes of deforestation (current and future), so that feasible and appropriate strategic options (in terms of costs, political feasibility, and generation of co-benefits) can be designed and implemented.

### The causes of deforestation

A review of 152 case studies conducted by Geist and Lambin (2001)—78 pertaining to 11 Latin American countries, 55 pertaining to 10 Asian countries, and 8 to 19 African countries—helped to develop a theoretical framework for analyzing the direct and indirect causes of deforestation. Direct causes are the activities that lead to deforestation:

mainly, agricultural expansion (a cause found in 96% of the studied cases), the extension of infrastructure (72%), and forest exploitation (67%). Indirect causes influence direct causes. They are, in order of descending importance, economic, political and institutional, technological, cultural or sociopolitical, and demographic factors.

It is clear that forest policy and legislation alone are not sufficient to ensure sustainable forest management. Other sectors such as agriculture, livestock, mining, infrastructure, as well as guidelines for industrial policies, trade policies, and decentralization also have a major influence on the forest resource.

### REDD+ Strategy

A REDD+ strategy is a set of programs and policies targeted at reducing deforestation and forest degradation, and increasing forest carbon stocks. Various countries, including those supported by the FCPF, are currently actively designing their National REDD+ Strategy through analytical, participatory, and testing activities. In defining priorities across different strategic options that may contribute to achieving REDD+, countries will be taking into account costs, the generation of co-benefits, risks, and political feasibility.

The cost of achieving REDD+ is one of the main variables used when assessing strategic options. Three types of costs are generally identified: opportunity costs, transaction costs, and implementation costs (PAGIOLA and BOSQUET, 2009). Opportunity costs are the estimated financial benefits foregone by the various actors when not causing deforestation and forest degradation, transaction costs are those necessary for the organization of REDD+ payment transactions, and the implementation costs concern the implementation of activities and processes.

However, it should be highlighted that cost estimation is only one aspect in assessing REDD+ strategies. Other elements include the calculation of co-benefits, including environmental services provided by the forest, and social benefits to local communities and society in general. Countries will be trying to prepare national REDD+ strategies that allow them to achieve REDD+ at the lowest possible cost, while maximizing the generation of co-benefits, and being politically feasible.

### REDD+ monitoring

The principle of REDD+ involves having accurate and reliable tools for measuring emissions due to deforestation. The identified systems are

generally based on the use of satellite imagery and geographic information systems. But field observations remain essential, especially if one wants to work on a fine scale and involvement local communities in the collection of field data; regular collection may be a way to reduce the overall cost of this system and promote the adoption of the REDD+ mechanism by communities. Various countries are testing how community monitoring can be integrated in the national MRV systems that they are designing.

## C. Recent findings and trends relating community forests

### Evolution of forest management

A global study completed by the Rights and Resources Initiative (RRI) and the International Tropical Timber Organization (ITTO) in 2009 confirms a strong tendency towards the disengagement of the state from direct forest management, in favor of management by local communities or private operators (see table 1). However, this global tendency does not apply to Africa in general, in which close to 98% of forest land was still public and administrated by the government in 2008.

Table 1 Forest tenure distribution and evolution between 2002 and 2008

Forest area (million hectares)

	Government - Administered		Reserved for communities & indigenous peoples		Owned by communities & indigenous peoples		Owned by individuals & firms	
	2002	2008	2002	2008	2002	2008	2002	2008
Total of 36 countries	2,694.22	2,505.55	49.8	78.83	249.8	305.11	342.27	463.95
Total Asia & Pacific	410.00	411.00	12.00	18.00	143.00	146.00	36.00	21.00
Total Latin America	453.00	227.00	29.00	46.00	105.00	155.00	64.00	210.00
Brazil	295.26	88.56	11.68	25.62	74.50	109.13	57.30	0.00
Total Africa	423.00	455.00	1.83	7.67	0.00	2.05	0.00	0.24
Cameroon	22.80	20.11	0.00	1.14	0.00	0.00	0.00	0.00
Gabon	21.00	21.76	0.00	0.00	0.00	0.00	0.00	0.00
Rep. of Congo	22.06	22.01	0.00	0.46	0.00	0.00	0.00	0.00
CAR	22.90	22.76	0.00	0.00	0.00	0.00	0.00	0.00
DRC	109.20	133.61	0.00	0.00	0.00	0.00	0.00	0.00

Source: RRI & ITTO (2009)

For the countries in our study, the global tendency over the period 2002-2008 does not apply to Brazil, to a much smaller degree to Cameroon, and not at all to the other Central African countries (Madagascar was not included in the study).

### Governance/sustainable management of forests links

From a forest conservation and sustainable forest management point of view, recent studies<sup>2</sup> conclude that community forest management (CFM) is more efficient than centralized management, considering the biological conditions and carbon storage capacity of the forest (tree density, fragmentation, regeneration, etc.).

More specifically, Porter-Bolland et al. (2011) based their study on 40 protected areas and 33 community managed forests (mostly in Latin America), by statistically comparing annual deforestation rates. They found that, on the whole, community managed forests presented lower and less variable annual deforestation rates than protected forests, as shown in table 2.

Table 2. Protected area (PA) and community managed forest (CMF) case studies undergoing deforestation (annual percent forest cover change rates equal to or below -0.2) Total number of case studies analyzed was 40 (PA) and 33 (CMF)

Protected area	Annual deforestation rate	Community managed forest	Annual deforestation rate
Belize BS	-2	Brazil IR	-0.2
Costa Rica BCNP1	-19.4	Colombia BC	-1.99
Costa Rica BCNP2	-6.7	Colombia BC	-0.2184
Guatemala LDTNP	-0.33	Colombia CMD y M	-0.2247
Guatemala MBR (51)	-0.694	Colombia IR2	-0.7644
Guatemala SLNP	-1.07	Colombia IR3	-0.2072
Honduras CNP1	-1.04	Colombia LS	-0.5839
Honduras CNP2	-0.47	Colombia LY	-0.8127
Indonesia BBSNP	-0.64	Colombia PC	-0.8227
Indonesia GPNP	-2.2	Guatemala P4	-0.716
Indonesia GRWS	-2.74	India TART (P)	-0.25

<sup>2</sup> PORTER-BOLLAND & al., 2011 "Community managed forests and forests protected areas: an assessment of their conservation effectiveness across the tropics", Elsevier  
 CHATRE A. & AGRAWAL A., 2009 « Trades-offs and synergies between carbon storage and livelihood benefits from the forest commons » Ostrom ed.  
 MURDIYARSO D. & SKUTSCH M. (ed.), 2006 « Community forest management as carbon mitigation option » CIFOR

Indonesia HR	-2.13	Mexico EXM	-0.6
Jamaica BMRPE	-0.26	Mexico UEFHG	-0.4
Malawi LMNP	-0.83		
Malaysia SBFR	-9.07		
Mexico LM1	-0.7		
Mexico LM2	-0.3		
Mexico LTBR	-4.3		
Mexico MABR	-0.33		
Mexico MABR	-2.4		
Zimbabwe SWR	-0.7		
<b>Total number of cases</b>	<b>21</b>	<b>Total number of cases</b>	<b>13</b>
<b>Proportion of PAs with positive rates</b>	<b>52.5%</b>	<b>Proportion of CMFs with positive rates</b>	<b>39.4%</b>
<b>Average rate</b>	<b>-2.77</b>	<b>Average rate</b>	<b>-0.59</b>

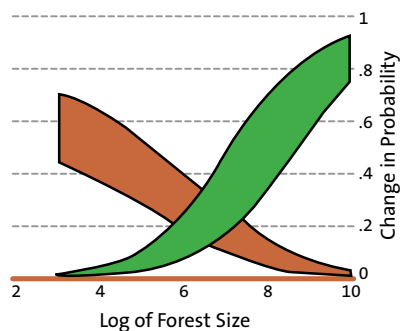
Source: Porter-Bolland & al. (2011)

Chhatre and Agrawal, in their 2009 study, based their analysis on 80 “forest commons” case studies in 10 countries (in Latin America, Africa, and Asia). As shown in figure 1, they found that the “degree of rule-making autonomy” of the forests (which can be considered a trend toward CF, and knowing that the effects of local autonomy vary with the size of the forest commons) was positively associated with high carbon storage and livelihood benefits (“sustainable forest commons”), and negatively associated with low carbon storage and low livelihood benefits (“overused forest commons”).

Fig. 2. Importance of local autonomy in “trade offs” and “synergies” between carbon storage and livelihood benefits from forest commons

■ Overused Forest Commons  
■ Sustainable Forest Commons

Source: Chhatre and Agrawal (2009)



Several articles focus on Latin American, where CFM in its various forms is particularly advanced. For this part of the world, the relevance of the CFM approach for forest conservation seems more evident<sup>3</sup>. In Mexico, CFM success stories reported in Barry et al.<sup>4</sup> appear quite enlightening (see box 2).

## Box 2. Experiences in CFM and Deforestation Reduction in Mexico

(from Barry et al., 2010 “Sustainable forest management as a strategy to combat climate change: lessons from Mexican communities”)

■ The central region of the state of Quintana Roo, which is dominated by CFM, has the lowest rate of deforestation in southern Mexico—even lower than that recorded in protected areas in the region.

■ A study of CFM in X-Maben in central Quintana Roo showed that under locally recognized land-use rules, regulations, and forest management plans the area of mature forest decreased from 80% in 1976 to 76% in 1997, while early fallow and secondary forest more than doubled; overall, forest cover increased. A variety of local conservation practices were adopted in the forest management plan.

■ In the state of Oaxaca, deforestation rates have been high in both temperate and tropical forests, but CFM only occurs there in temperate pine-oak forests. Between 1980 and 2001, Oaxaca lost an estimated 21% of its temperate forests. However, the region of Sierra Norte, where land use is dominated by mature CFM experiences in timber production (with recent diversification into ecotourism, spring water bottling, and payments for carbon capture and watershed management), showed a 3.3% expansion of pine-oak forests over a 20-year period.

■ The Monarch Butterfly Biosphere Reserve—in a highland area of the states of Michoacan and Mexico—has suffered rapid deforestation in the last several decades due to heavy illegal logging and the expansion of subsistence agriculture. From 1971 to 1984 the annual deforestation rate in the region was 1.7%; it jumped to 2.41% between 1984 and 1999 and was even higher (1% and 3%, respectively) inside three sampled areas of the reserve. However, two small communities in the region that have managed their forests for timber production have successfully maintained forest cover.

But all the authors insist on the variability of field conditions and the great difficulty of predicting the evolution of a forest based on its initial conditions. The difficulty in comparing the different studies used as “meta data” is also underlined, and Bowlers et al. (2012) recommend that the monitoring of outcomes be improved for CFM projects in order to produce more robust analysis and evidence of the positive impact of CFM.

The literature stresses the importance of real governance systems at the field level, and therefore the need for the local population at one level or another in these systems (AGRAWAL et al., 2008). Clear access and management rules are always

<sup>3</sup> CRONKLETON P. et al. 2011. “Community Forest Management and the Emergence of Multi-Scale Governance Institutions: Lessons for REDD+ Development from Mexico, Brazil and Bolivia”.

<sup>4</sup> BARRY D. et al. 2010. “Sustainable forest management as a strategy to combat climate change: lessons from Mexican communities.” CCMSS/RR1

regarded as an important variable for the success of REDD+ implementation<sup>5</sup>. One of the key messages in the FAO/ITTO policy brief “Forest governance and climate-change mitigation” states that “REDD cannot be achieved without clarifying rights to land, forests and carbon,” which is part of CFM.

## D. How can community forestry effectively contribute to reducing emissions from deforestation and degradation?

### Clarification of property rights and management rights and responsibilities

Securing property rights over natural resources is unanimously recognized as necessary to foster sustainable management. One individual or a community will not be encouraged to invest (plantation, improvement of plantings, etc.) in a forest if their rights are not clear and secure in the long term. A state-owned forest without any surveillance system and efficient control could generally be considered as “open access,” and therefore subject to unsustainable exploitation. This leads to the “tragedy of commons” described by Hardin (1968).

Even if there is only a relative transfer of property rights, the responsibility for resource management is clearly established in CFM. This often contributes to a more sustainable use of the forestry resource (see box 3: Clarification of forest rights in Tanzania). In addition, communities whose rights have been clarified and are enforced through effective CFM also have strong incentives to protect the forests from “outsiders” who may overexploit their resources.

CFM is often associated with the clarification of benefit-sharing mechanisms at the local level, which can also create incentives for forest conservation if appropriately designed (see the example in the next section of the *Bolsa Floresta* program in Brazil, which compensates households for following certain forest management rules).

Community forestry (CF) may also contribute to reducing forest emissions by supporting mechanisms that add value to forest products, including wood, but also NTFP, and environmental services (ecotourism, carbon and biodiversity). REDD+, in particular, could become an important stream of revenue to local communities who are able to demonstrate reduced emissions against an agreed baseline.

Finally, through support to CF, national and local governments, as well as donors have an incentive to support the strengthening of local community organizations over the long-term, as this is a pre-condition for the latter to be able to sustainably manage forests.

<sup>5</sup> FAO / ITTO 2009: Forest governance and climate-change mitigation.” Policy brief

### Box 3. Clarifying the rights on forest in Tanzania

(Source: BLOMLEY T. and LUKUMBUZYA K. 2010. “Learning from the past and looking towards the future: Towards REDD Readiness in Tanzania.” WB.

Tanzania has two forest management modalities that are relevant to CF: (1) Community-Based Forestry Management (CBFM) in forests owned by villages, communities or private individuals, and (2) Joint Forest Management (JFM), with government representatives in governmental forest reserves.

CBFM enables the communities to have well defined rights over property, and the management and use of benefits, whereas in the case of JFM property rights are less clear.

In practice, CBFM arouses more interest from populations, objectively enabling better forest management and creating little carbon leakage (CBFM management rules are generally implemented in adjacent forests not formally enjoying this status). JFM is less efficient at ensuring good forest management and generates more leakage.

### How can CFM address future deforestation?

The promotion of community forestry in public areas facing deforestation pressure from new developments (infrastructure developments, commercial agriculture expansion, etc.) can be a key strategy to manage future deforestation. CFM is a way of incentivizing communities to protect their resource in the face of speculative pressures from an increase in land values. In Brazil, the government is attempting to mitigate the negative effects on forest cover resulting from paving the 163 Highway by supporting the creation of new extractivist reserves, protected areas and concessions to avoid settlers coming and deforesting the newly opened territory. In the Congo Basin, a similar approach could be adopted in areas being opened up to new types of exploitation (roads, agriculture, etc.).

### Main challenges facing community forest management

Several challenges can hinder the effective implementation of CFM:

- The national legislative frameworks for CFM should be adapted to field realities and suitable for local communities. For communities, the implementation costs in this approach should be kept low, and the technical requirements should not be too high if the model is to be disseminated without “heavy” support from technical partners.

- The legal and fiscal framework, particularly for carbon benefit sharing and taxation of income from forest products—including carbon—should create incentives for the promotion of this type of management;
- A substantial part of the REDD+ income should reach the communities, and the carbon income has to be integrated in a global approach of forest product valorization and development of lucrative fields in the long term.
- Communities have to be able to reach a certain technical level and a negotiation capacity that will enable them to control all the elements of the REDD approach and to take the most advantage of it.
- Ensuring long-term financial support to communities, including compensation of all costs they incur when changing forest management practices (mainly different sorts of restrictions imposed on forest resources);
- Low level of social and human capacity across many forest communities, and the very definition and boundaries of “community” in many cases;
- Ensuring fair benefit sharing at the local level. The social and environmental results of CFM are often realized only in the long term.

## E. How can REDD contribute to the implementation of community forest management?

Some of the many challenges related to CF can be directly addressed by the REDD mechanism.

### Long-term financial support to CFM

Payments for emission reductions resulting from reduced deforestation and forest degradation can offset the costs of implementing CFM, including the opportunity costs associated with restrictions to forest access. The long-term nature of carbon payments, as opposed to traditional donor financing, can help address the need for long-term support to local communities for capacity building.

### Inclusion of CFM as a strategic option in the National REDD+ Strategy

Various countries are currently seeking cost-efficient options to effectively reduce deforestation so that they can access REDD+ resources. This is a window of opportunity for mainstream CF as an efficient and effective strategy to reach REDD+ goals. The national REDD+ Readiness process has

also created new venues for CSOs and representatives of forest communities (including indigenous peoples) to influence policy making. This could be a good opportunity for these organizations to push for further support for community forestry by national and local governments.

### An opportunity to improve forest governance and financial flows

Community forestry is generally associated with local management organizations that can manage funds and distribute them, such as local associations or cooperatives. In some cases, however, the lack of capacity of their representatives or the lack of control over funds can lead to situations of inequity or inefficiency in the redistribution of benefits. REDD+ financial resources will be subject to close international scrutiny. Hence, countries have an incentive to develop transparent mechanisms to channel resources to the local level.

As REDD’s incentives are directly correlated with the effective reduction of deforestation and degradation, REDD compels countries and local actors to think about the most effective systems possible, which really benefit those who are actually reducing deforestation in the most effective way possible. In addition, in order to secure international funding, countries have to show real transparency and an absence of corruption in the management of the funds.

From a CF perspective, REDD+ enables the use of tools that allow for the verification of the actual conservation of forests and national and global trends, thus improving transparency in resource allocation.

# The key issues of REDD+ in connection with community forestry in Africa



**THIS CHAPTER FOCUSES ON THE INTERACTIONS** between REDD+ and CF in the participating African countries. These interactions were analyzed using the theoretical framework presented in the tables on the following pages. It considers the main elements of the architecture of a national REDD+ system and the potential interactions with community forestry.

The tables are based on various documents from different sources and direct information from stakeholders in these countries.

All these countries are, however, undergoing a very dynamic process of elaboration and implementation of their plans, so the present status cannot represent a static reality, but the present state of evolution and gaps.

The analysis is deliberately not exhaustive for each country (for readability purposes), but focuses instead on the most original aspects of the implementation of REDD+ in each country, in connection with CF.

## Current status of REDD+ in the country

- Country selected by the FCPF, RPP under preparation
- Institutional problems (lack of coordination between ministries in charge of environment and forests) are slowing down the process.
- There are about 30 local REDD initiatives in Cameroon.
- Cameroon signed a Voluntary Partnership Agreement under the FLEGT with the European Union on May 6, 2010 to fight against the illegal exploitation of wood.

## Experiences with Community Forestry

- The Forest Code (1994) defines community forests in this way:
  - Forest of non-permanent forest domain, subject to a management agreement between a village community and the administration responsible for forestry;
  - An interim management agreement (after developing and validating a Simple Management Plan) is initially signed for two years, and the final renewable agreement is valid for 25 years;
  - The maximum area that may be granted to a community is 5,000 ha;
  - Forest products belong to the communities.
- The first Community Forest was founded in 1997.
- The Community Forestry Network (RFC) was created in 1997, including communities and indigenous peoples, national and international NGOs, universities, projects, key actors and the ministry responsible for forests.
- In early 2011:
  - 457 allocation requests (area: 1,502,347 ha);
  - 291 Simple Management Plans approved (area: 933,457 ha);
  - 182 interim management agreements signed (area: 677,233 ha);
  - 43 final agreements signed (area: 142,470 ha).
- Strengths:
  - Field experience developed since 1997;
  - Reflection on the CF conducted at national level, with representative organizations, and production of technical documents (manuals).
- Constraints:
  - The integration of the Community Forest approach in a broader approach of local development needs to be improved;
  - In practice, the groups responsible for management of community forests are often under the control of elites (financial partners, forest operators, etc.) who receive more benefits than the communities themselves.
- Outlook:
  - Revision of the forestry law in progress;
  - Work on the transformation of CFM into real small and medium-sized forest enterprises to the benefit of the community.

## Institutional framework and benefit sharing

- Framework
  - Law on the environment (1996), Forest Code (1994), Forest and Environment Sector Plan (2003).
  - A national REDD+ committee incorporates all the stakeholders. Not yet operational.
  - Joint decree 520 of June 3, 2010 sets down how revenues from logging (including fauna) and for village communities are to be distributed: 50% to the state, 20% to the municipalities where the forest is located, 20% to an Equipment and Intermunicipal Intervention Fund, and 10% to local communities.

## Social and environmental safeguards

- The Forest and Environment Sector Plan includes a section on forest governance with platforms for dialogue with different levels of civil society.
  - While Cameroon has not yet established a coherent policy to address the rights of indigenous peoples, certain *ad hoc* legislation has been introduced for individual programs in response to pressure from international organizations (Dkamela, 2011). For example, to meet World Bank Operational Policies on indigenous peoples the Pygmy Peoples Development Plan (PPDP) was established as part of the Forest and Environment Sector Program (FESP) to facilitate the access of Pygmies to community forests and to ensure fair distribution of the Annual Forest Fee (AFF) and the Wildlife Tax (extract from the REDD desk).

## Technical capacity - MRV

- Permanent sample plot monitoring devices (ITTA) with several layers of vegetation for carbon stock evaluation by type of vegetation cover.
- GIZ support for the establishment of projections on carbon stocking and removal (collaborative project with Bolivia).
- Pilot project being developed with the European Union and the European Space Agency.
- National Observatory of climate change created by decree in 2009; its operationalization will benefit from the results of pilot projects.

# CENTRAL AFRICAN REPUBLIC

## Current status of REDD+ in the country

- Member of the FCPE.
- RPP presented informally in March 2011, final version accepted in October 2011 but subject to some improvements.
- Development of 13 pilot projects is planned for widening the preliminary strategic options.
- The Central African Republic signed a Voluntary Partnership Agreement under the FLEGT with the European Union in 2010 to fight against the illegal exploitation of wood.

## Experiences with Community Forestry

- Community forests are identified in the new forest code of 2008, but still no concrete implementation on the ground. "Community forests are part of the non-permanent forest domain, and are the subject of a management agreement between an organized and interested village or indigenous community on the one hand and the state represented by the Forestry Administration on the other hand" (art 133 Forest Code).
- Possible use of the experience of village areas of "game hunting" interest: the villages collect taxes from hunting and must pay back 25% to the municipality and 15% to the state, the remaining 60% being for their socio-economic development.
- Rights on the resources:
  - "A management agreement is a contract whereby the Forestry Administration assigns to a community a portion of a forest of the national domain with a view to its management, conservation and exploitation in the interests of this community. The management agreement is accompanied by a simple management plan" (art 134 Forest Code);
  - "Forest products of any kind resulting from the exploitation of community forests, wood resources, animal and plant species, fish products and special products, except those that are regulated or prohibited by law, belong entirely to the populations concerned" (art 139 Forest Code).
- Strengths:
  - Identification of community forests under the Forest Code;
  - Experience of village areas of "game hunting" interest that can be used for the FC approach.
- Constraints:
  - Operational framework for implementation not yet completed;
  - No pilot projects.
- Outlook:
  - Development of pilot initiatives and operational framework, capitalizing on the experience of village areas of "game hunting" interest;
  - One of the REDD options identified in the RPP is to "promote sustainable forest management, including the operationalization of the concept of community forestry and greater involvement of local people in sustainable forest management."

## Institutional framework and benefit sharing

- REDD National Committee (6 government officials and 14 from other sectors), 3 inter-prefectural committees and a REDD technical coordinator. Responsible for the preparation, these institutions should be institutionalized in the implementation phase of REDD.
- CAR plans the development of a REDD+ law that will set strategic priorities, principles and instruments for the implementation of REDD. The REDD law will confer a legal enforceability to the REDD strategic guidelines.
- There is a proposal that the benefits related to REDD be distributed through the National Environment Fund (which already exists) where a REDD account will be created. The National Treasury supervises the management of all state funds, including the NEF. All expenses will be made in accordance with the work plan approved by the National REDD Committee (including the participation of CSOs). The ENF will periodically prepare a financial report on the different operations to the National REDD Committee for control. The new Central African Penal Code (2010) devotes a large part to the suppression of corruption.
- Once the state portion is deducted, REDD resources are expected to be redistributed to private entities, local authorities and communities. Local communities and indigenous peoples would receive their share through the financing of development projects that contribute to and/or facilitate the implementation of REDD+ activities. Submission of projects by local communities and validation at the inter-prefectural committees where local communities and autochthonous peoples are also represented.

## Social and environmental safeguards

- The RCA is the only African country to have signed the Convention ILO 169 concerning Indigenous and Tribal Peoples. A draft law on the promotion and protection of indigenous peoples is being developed.
- The law 07.018 of December 28, 2007 setting Environmental Code establishes in its article 101 the Strategic Environmental Assessment (SEA), defined as "the systematic process of assessing the possibilities, capabilities and functions of resources, natural and human systems in order to facilitate sustainable development planning, decision making and to predict and manage the impacts of planning proposals".
- Expected completion, early in the implementation of the RPP, of a SESA in accordance with the Environmental Code and safeguard policies of the World Bank. The results will enable the development of a framework for environmental and social management to limit the negative impacts and maximize co-benefits. The social and environmental impacts will be monitored on the basis of this framework for environmental and social management.

## Technical capacity - MRV

- Forest of Southwest well monitored through the planning process for forest exploitation. It consists mainly of savanna areas that require the establishment of a new specific device. An external control of the quality of inventory data will be set up (modeled after the Independent Observer under APV-FLEGT).
- The RCA will be the first country in the Congo Basin to benefit from the agreement AFD/Astrium, which aims to provide historical and future SPOT imagery, and historical analysis of deforestation, including rainforest and wooded savannah.
- REDDAF project (funded by the European Union and implemented by GAF): research project aimed at achieving forest mapping of CAR.



# CONGO, BRAZZAVILLE

## Current status of REDD+ in the country

■ Member of the FCPF and the UN-REDD.

■ RPP approved in 2010, subject to certain improvements. Final version submitted in September 2011.

■ 10 REDD pilot projects are planned for development.

■ The Republic of Congo signed a Voluntary Partnership Agreement under the FLEGT with the European Union in 2010 to fight against the illegal exploitation of wood.

## Experiences with Community Forestry

■ Legal framework does not yet exist for the CF.

■ Thoughts on participatory management developed from 2000 (see “workshop on the promotion of community and private forests” / Brazzaville 2009).

■ Still no operational implementation.

■ A law on NTFP is in preparation on access to these products, funded by FAO.

■ Other structures of the CF approach:

- Municipal or local forests (art. 11 Forest Code): “It is considered as a municipal, local or territorial forest, a forest which was declared in favor of such a community, by decree of the Council of Ministers, or as a result of the plantation that the community carried out on its land or a transfer of ownership of the domain of the state operated by it for the benefit of the community” and “The forests of the municipalities and other local or regional authorities enter the private domain of the communities involved”;
- Series of community development within management plans of forest concessions.

■ Strengths:

- National discussion on FC, particularly based on the experiences of neighboring countries;
- Experience with a series of community developments within logging concessions.

■ Constraints:

- No legal framework for community forests;
- National Land Allocation Plan not finalized;
- No sustainable source of funding for the promotion of community forests.

■ Outlook:

- Integration in the Forest Code of the concepts of CF, and practical arrangements for implementation and allocation of forest;
- Awareness raising and dissemination to communities and linking it with the local development process;
- Promotion of planted community forests (PRONAR - Promotion of 1 million hectares of plantations over 20 years).

## Institutional framework and benefit sharing

■ Forest Code of 2000, Decree No. 2002-437 establishing the conditions for management and use of forests, National Scheme of Territorial Planning 2005. A National Land Allocation Plan is planned to avoid land use overlaps (such as between forests, mining and agriculture).

■ REDD National Committee, 12 departmental committees, REDD+ national coordination and financing agency. For now, only the National Coordination is functional.

■ REDD law should set the responsibilities of the various sectors involved.

■ The creation of a national REDD fund is planned.

■ The Congo already has experience in forest concessions from the conservation councils (forestry companies, civil society and local council) which run a local development fund supported by a tax on marketed production.

■ The REDD fund could be linked to the Community Development Fund managed by the local committees around forest concessions, to ensure fair carbon benefits redistribution to local stakeholders and the consistency of decision making at the local level as well as the full participation of those directly involved.

## Social and environmental safeguards

■ A strategic social and environmental assessment is planned in order to formulate measures for the environmental and social management of REDD+ activities, a charter of responsibilities with synergies for the management of social and environmental impacts, and a technical manual to facilitate the development of this assessment.

■ Law No. 5-2011 on the promotion and protection of indigenous peoples’ rights, which recognizes, among other things, customary land rights of traditional populations.

■ A REDD Interim Commission of the NGOs is working in connection with the National Coordination. This commission is composed of representatives of different platforms related to the forests. It is expected to be restructured into a future REDD platform of civil society, with greater representation.

## Technical capacity - MRV

■ 2 methodological pilot projects:

- WRI-IMAZON-OSFAC: Analysis and quantification of forest carbon emissions and stock;
- GAF project: remote sensing monitoring of forest cover throughout the country 1990-2000-2005.

# DEMOCRATIC REPUBLIC OF CONGO

## Current status of REDD+ in the country

- Country selected by the FCPF, UN-REDD and FIP (Forest Investment Program).
- RPP approved in March 2010 by the FCPF and the UN-REDD.
- 7 pilot projects to allow testing of the various components of the draft strategy, supported by the CBFF (Congo Basin Forest Fund).

## Experiences with Community Forestry

- Law No. 011/2002 of August 29, 2002 on the Forestry Code, allowing communities to obtain parts of forests as “forest concessions” (“A local community may, at its request, obtain as a forest concession part or all of the protected forests among forests regularly possessed by virtue of custom. The arrangements for allocating concessions to local communities are determined by a Presidential Decree. There is no charge for the award”). This law must be operationalized by various decrees, but most of them haven’t been signed yet (which is also the case of the application decree on community forestry). This generates confusion about the legal framework applicable to the Congolese forest sector in general.
- Pilot project (FORCOM) implemented by FAO, which enabled the development of a first proposal for a decree and “arrêté”<sup>6</sup> on community forests.
- A second pilot project (Congolese government, Forest Monitor and RRN) took over consultations and prepared a second proposal (with decree of allocation, “arrêté” of management and sub-policies).
- The CF activities are planned in the forest domain of protected forests, which may be subject to a concession through a contract for a term not exceeding 25 years (Article 21 of the Forest Code).
- The Government has created a Division of Community Forest in the Forest Management Department. A project of USD 7 million for the implementation of local community forests has been submitted to the CBFF.
- Strengths:
  - Consistency of the overall legal framework and pilot experience;
  - National level institutions to promote community forests are in place (including Community Forests Division at Ministry of the Environment).
- Constraints:
  - Lack of organization of local communities;
  - Lack of long-term funding;
  - Need for capacity building of government and other stakeholders.
- Outlook:
  - Signature of the implementing texts (decrees and “arrêtés”) of the Forestry Code regarding Community Forestry;
  - Start of the allocation of concessions to local communities with financing from the government and donors.

## Institutional framework and benefit sharing

- Nov. 2009 decree formalizing the national structures in preparation of REDD+: it created a national committee and an inter-ministerial committee responsible for orientation and planning, a scientific council and a national coordination for council and coordination. All these structures are operational, except the Scientific Committee. It is expected to decline these entities at the provincial level.
- Analytical studies under way on options for sharing revenues from REDD+, and on managing REDD+ resources.
- A National REDD+ Fund is envisioned, which should centralize national-level REDD+ funding. In parallel, the country is reflecting on national-level regulations on benefit sharing for REDD+ across all levels (including projects).
- A registry of REDD projects is already available, and a process for approval of REDD projects is currently being designed (to be formalized through an “arrêté”).

## Social and environmental safeguards

- The Working Group Climate REDD (GTCR, a network including the main national NGOs working in the field of Environment, Forests, and Rural Development) is working closely with the REDD National Coordination. Intervention of civil society at different stages of the process through GTCR: steering structures, IEC plan, diagnosis of the causes of deforestation, REDD+ strategies, implementation framework, Strategic Environmental and Social Assessment, baseline establishment, emission and absorption monitoring system and monitoring of social and environmental impacts.
- The organization of a strategic environmental and social assessment is planned. The SESA exercise in DRC will be led by the National SESA Oversight Committee, including representatives from civil society.
- Local civil society has already prepared a proposal of National Social and Environmental Standards for REDD+ in DRC, which should be tested at the project level.

## Technical capacity - MRV

- National forestry inventory in progress, with FAO support (the preparation of national experts is currently being strengthened).
- A preliminary MRV system with emphasis on satellite images analysis is under preparation (TerraCongo).

## Current status of REDD+ in the country

- Country selected by the FCPF.
- Process started in 2008 but suspended in 2010 due to government reorganization.
- National Climate Plan under preparation, which will be part of the government strategic development plan.

## Experiences with Community Forestry

- CF identified as such in the Forest Code of 2001, and Decree No. 001028/PR/MEFEPEPN of 2004 establishing the conditions for creation of community forests.
- According to Law 16/01: Distribution of the national forest domain in permanent forest domain (with state production forests and protected forests), and rural forest domain (with the community forests and other areas set aside for local communities).
- 2 pilot projects for community forests:
  - DACEFI 1 and 2 (Development of Community Alternatives to illegal logging) (1 site in north-eastern Gabon);
  - Development project of community forests in Gabon: Project ITTO PD 383/05 (three sites in three different provinces).
- Type of resource rights:
  - Management Agreement between the administration of Water and Forestry and the community through contractual arrangements; (thus temporary) for the management of a portion of rural forest domain "(Decree 001028);
  - Relates to NTFP and wood products.
- In the present configuration, the CFs do not receive benefits ("the socio-economic investments must be supported by the communities" art. 251), which poses a practical problem of investment capacity.
- Strengths:
  - Existing legal and operational framework;
  - First experiences with pilot projects.
- Constraints:
  - Rural forest domain not yet precisely defined;
  - Concept of community forest remains to be clarified.
- Outlook:
  - Capitalization of experiences with the pilot projects;
  - Dissemination of the approach at the national level.

## Institutional framework and benefit sharing

- Climate Council created in May 2010 in charge of the Action Plan on climate change.
- Unit for conservation, monitoring and implementation of REDD.
- The Climate Council is under the President of the Republic's direct authority, which should encourage inclusion of Action Plan recommendations on Climate Change in other sectoral policies.

## Social and environmental safeguards

- Existence of a National Commission on Sustainable Development (including representatives of civil society, the scientific community, administrations and development partners) on which Gabon may rely for consultation with various stakeholders.

## Technical capacity - MRV

- The Gabonese Agency for Space Studies and Observations was created in 2010 as part of an agreement with IRD, INPE and AGEOS, in order to monitor deforestation in the Congo Basin. The Gabonese Agency for Space Studies and Observations will also be responsible for the installation of a satellite receiving antenna and construction of a center of excellence in remote sensing, which will be used to monitor forest cover in the sub-region.
- A project to develop an inventory system of national forest resources is also in progress.

## Current status of REDD+ in the country

■ Country selected by the FCPF.

■ RPP is available, but it can't be approved by the FCPF due to the current political situation (RPP version on the website of the National Office of Environment includes all the latest consultation processes, etc.).

■ 5 REDD pilot projects, three of which have already sold carbon credits on voluntary markets.

## Experiences with Community Forestry

■ The environmental charter (1990), the new forest policy (1997), and especially the law on the management of renewable natural resources (called "Gelose") of 1996 provide a framework to achieve management transfers (natural resource management transferred from the state to local communities). Supported by funding from the Environmental Action Plan, several hundred management transfers were made in the late 90s and during the 2000s. More generally, an approach to forest zoning has been implemented with the support of the project "Jariala" in the 2000s.

■ Since 2003, Madagascar has also embarked on a massive expansion of its network of protected areas (with a target of 6 million hectares) by integrating within its law the equivalent to classes IV, V and VI of the IUCN allowing the sustainable use of natural ecosystems by the people. Results:

- 728 management transfers made since 1996, over an area of 1,213,743 hectares;
- 11 pilot sites, "Koloala", resulting from the zoning process, with identification of areas to be transferred to populations (suspended due to the cessation of international funding);
- Nearly 3.9 million hectares of "New Protected Areas" (NAP) were created between 2005 and 2008 (currently under temporary status, a part of this area could be managed by local communities).

■ The name "Community Forest" is not used in Madagascar. What exists are Transfers of Management (TG) between the state (which remains the owner of state forests) and grassroots communities identified and recognized legally, on a contractual basis (according to the procedures "Gelose" or "GCF").

■ Types of resource rights:

- Following the management transfers (Gelose), "the approval provides to the beneficiary grassroots community, during the period specified in the act, the management of access, conservation, exploitation and valorization of resources from the management transfer;"
- Initial approval for the management transfer of 3 years, which may be renewed after evaluation for 10 years;
- Decree 2000-027 provides a specific legal recognition of grassroots communities (governance model like NGOs, but can make money and register at the municipal level).

■ At the national level, representation of community forests throughout the Network of Natural Resource Management Transfer.

■ Strengths:

- Operational legal framework to allow the transfer of natural resource management to grassroots communities;
- Experience of 15 years in the management transfers.

■ Constraints:

- Regulatory framework is still incomplete;
- Evaluations show a lack of support over the medium to long term to grassroots communities;
- Monitoring and capitalization of experiences are still very incomplete;
- Restrictions to forest resources management result in costs to local communities that are not fully compensated in most cases;
- The legislative and regulatory framework for new protected areas is not yet finalized and prevents the development of a significant potential for the approach "community forests".

■ Outlook:

- Revitalization of the Network of Natural Resource Management Transfer and capitalization of experiences;
- Finalization and implementation of the framework of new protected areas;
- Better management of access to forest resources (including the promotion of management transfers) is a preliminary REDD strategic option.

## Institutional framework and benefit sharing

■ Environmental Charter (1990), Forest Policy (1997), and "Gelose" Law (1996).

■ Completed REDD / RPP document providing new organizational arrangements, but not implemented due to the current political situation.

■ Non-formalized REDD technical committee, which nevertheless enabled the RPP document monitoring development. Establishment of new structures planned in the RPP (Interministerial Committee on Environment and REDD Executive Bureau).

■ As part of the management transfers: "Communities will get certain benefits for commercialization and promotion of renewable resources and derived products" (Article 54 of Law 96-025). But the implementing texts are still not published. Pilot approaches for PES are also being developed, but there is no official (or strategic) legal framework.

■ Pilot fund distribution of the Makira REDD project, but no national regulation yet.

## Social and environmental safeguards

■ SESA would be prepared as part of FCPF support to the country.

■ The environmental services attributable to forest, biodiversity conservation and improvement of living conditions of populations are monitored by the tools of land use planning and environmental and social dashboards incorporating REDD elements.

■ Forest governance will also be monitored from the identification of responsibilities, stakeholder participation, transparency and the link with national organizations in the fight against corruption.

## Technical capacity - MRV

■ Deforestation maps already exist (1990-2000-2005), but should be improved. A 2010 map is currently being prepared by ONE and CI.

■ Some pilot experiences on local people involvement (forest and biodiversity monitoring) that could bring benefits.

■ "Lidar experience dans le cadre du Programme Holistique de Conservation des Forêts", led by Good Planet

<sup>7</sup> Madagascar LIDAR: Light Detection And Ranging: remote sensing technique using an airborne laser to "scan" the land, map and evaluate the biomass of a forest. The "Programme Holistique de Conservation des Forêts" is the name of a joint program (Good Planet / WWF) to contribute to forest conservation and assess new methodologies for REDD implementation adapted to the Malagasy context.

## How are REDD+ and FC being developed in Brazil?<sup>8</sup>



### What policies and institutional framework would be necessary to support REDD initiatives in Brazil?

Brazil is committed to reducing the national deforestation rate by 80% in the Amazon Rainforest, and by 40% in the savannah area by 2020, using the average rate of deforestation over the past 10 years as the baseline.

In the same context, two national programs related to climate change are currently in effect: the National Plan on Climate Change, approved in November 2008, and the National Policy on Climate Change, signed at the end of 2009 by the then president (MAY and MILLIKAN, 2011). The latter accomplishes the former—the Policy establishes actions and means to reach the goals established by the Plan.

The legal framework aimed at allowing the deployment and management of the financial resources at different levels is a very important aspect for the success of REDD+, not only in terms of deforestation reduction efficiency, but also as a helpful tool to manage forests that shelter traditional communities. The legal standing of these people with regard to the land does not ensure that they will receive income from REDD+ if they can't prove their property rights, for example.

In Brazil, the lack of land tenure security is, without a doubt, a fact that influences deforestation. The development of alternatives for the communities that depend on forests is, according to the Brazilian Forest Service (2009), one of the greatest challenges to the structuring of communitarian forest management. Moreover, without land security, it is hard for landowners to commit to long-term contracts to reduce deforestation and have access to the potential benefits of REDD+ (MAY and MILLIKAN, 2011).

### A. EXAMPLES OF POLICIES ON REDD IN BRAZIL

#### Action Plan for the Prevention and Control of Deforestation in the Legal Amazon (PPCDAM)

*(Source: Keynote from the Prevention and Control Policies Department Director Against Deforestation in the Brazilian Environment Ministry - addressed to the African delegation, February 4, 2011)*

The PPCDAM is the fundamental action plan of the federal government to reduce deforestation in the Brazilian Amazon. The program started in 2004, through a process led by the President of the Republic with 13 ministries and with the participation of civil society. It is structured along 3 major axes—territorial

<sup>8</sup> The content of this Chapter was based on some of the presentations made during the technical trip in February 2011. The list of speakers and participants of the visit can be viewed in the Annex.

management, environmental monitoring and control, and the support of viable productive activities.

After five years of implementation, the Brazilian government obtained the first results in terms of deforestation reduction, expansion of protected areas, recognition of millions of hectares as indigenous land, landhold regulation and improvements in the deforestation surveillance systems.

In addition to these actions led by the Federal Government, the PPCDAM was created as a power decentralization strategy, favoring the state governments. Thereby, each of the nine states that form the Brazilian Amazon Rainforest must create their own PPCDAM, with action plans to reduce deforestation in their territory. So far, seven states have achieved their plans, and two are underway and should be achieved soon.

The funding sources for managing and implementing the PPCDAM come from the federal budget, which constitutes the greatest part, the Amazon Fund and other sources.

### The *Bolsa Floresta* Program in Amazonas State, Brazil

(Source: FAS, 2011)

The state of Amazonas is a leader in several environmental initiatives (VIANA, 2010). It has developed, over a short period of time, a legal and institutional framework aimed at reducing deforestation. Among the main actions that contributed to these advancements is the creation in 2003 of a Secretary of State for the Environment and Sustainable Development, which in turn stimulated the creation of Conservation Units, as well as the creation of programs, of institutions like the State Center for Conservation Units (CEUC). The state government has provided the means to ensure the effective implementation of these zones. The big picture has changed: 29 CU (Conservation Units) now have a full-time manager, up from zero in 2003, and more than 30 of the 41 UCs have an operating budget of over R\$ 100,000.

The *Bolsa Floresta* Program (BFP) appeared against a backdrop of creation of public policies and sustainable development, integrating the protected area inhabitants of the state of Amazonas. It was launched by the Amazonas state government in 2007, and, starting in April 2008, the Sustainable Amazonas Foundation (Fundação Amazonas Sustentável) became responsible for managing and implementing the *Bolsa Floresta Program* in the CUs of the state of Amazonas.

The *Bolsa Floresta Program* is the first Brazilian initiative to pay the communities living in the protected areas of the state of Amazonas directly for their environmental services, and aims to reduce carbon emissions due to deforestation. In

March 2012, over 8,000 families (more than 32,000 individuals) were benefiting from the *Bolsa Floresta* Program. The BFP is the largest reward program for environmental services in the world. In total, 567 communities participate in 15 protected areas. This represents around 10 million hectares of forest, an area as big as Portugal.

## B. EXAMPLES OF LEGAL AND INSTITUTIONAL FRAMEWORKS FOR FOREST MANAGEMENT IN BRAZIL

Since the 1988 Brazilian Constitution, the decentralization of the environmental policies has been growing as a true trend (CGEE, IPAM and SAE, 2011). Forest management is divided among different levels of government—federal, state, and municipal levels. In addition, it is expected that the population will participate in the institutional framework through collective bodies and advice (see table 3).

Table 3. Institutional arrangements for forest management at the various levels of government

Responsibilities	Federal	State	Municipality
Forestry Policies / Granting Agencies	Ministry of the Environment (MMA)	State Secretary for the Environment	Municipal Secretary for the Environment
Control and environmental monitoring of forests	Brazilian Institute of Environment and Renewable Natural Resources (Ibama)	State Agency or Secretary for the Environment	Municipal Agency for the Environment
Forest conservation	Chico Mendes Institute for Biodiversity Conservation (ICMBio)	State Agency or Secretary for the Environment	Municipal Agency for the Environment
Public forest management/forest concessions	Brazilian Forestry Service (SFB)	State Agency for Public Forest Management	Municipal Agency for Public Forest Management
Collegial bodies for participation in forest management	National Councils (Conama, Conaflor/ Cgflop)	State Environmental Council	Environment Municipal Council

Source: Pereira et al. (2010)

## Public Forest Management Law (11.284 02/03/06) and Brazilian Forestry Service (SFB)

(Source: SFB presentation given to the African Delegation on February 7, 2011)

The Public Forest Management Law (11.284/2006) had four main objectives—establish sustainable management of public forest, create a Brazilian Forestry Service, create the National Fund for Forestry Development (NFFD), and decentralize forestry management.

In accordance with the law, public forests can be used for three purposes: (i) creation of Conservation Units (ii) allocation of local communities within the Protected Areas and (iii) forestry concessions, granted through a signed contract, with payment for sustainable use by private companies, forestry resources in public forests (National Forests).

The Brazilian Forestry Service is an autonomous agency, under the Ministry for the Environment. Its main responsibility is to ensure the management of public forests, the management of the National Fund aimed at supporting forestry development and program implementation, the promotion of training programs and skill building, research and technical assistance in the forest sector to stimulate sustainable activities, market research promotion for forestry products and services to suggest plans for sustainable production compatible with the needs of society, the creation and maintenance of the National Forestry Information System, and the management of the national public forest registration process.

Regarding forestry concessions, three concession holders under contract are already in activity in an area of 96,000 hectares—the Jamarý National Forest in the state of Rondônia. Six other national forests are being created, some at an early stage of announcement or contract signature, and others at advanced stages.

## State System for Conservation Units

(SEUC - Complementary Law 53/2007) and the State Center for Conservation Units (CEUC)

In June 2007, the state of Amazonas revised its legal framework on public forest management, adopting specific legislation for the Conservation Units—complementary law no. 53, which created the Conservation Units System (SEUC).

This law is really similar to the federal law that established the National Conservation Units System (SNUC). It defines which categories of protected areas are for “sustainable use” or “full protection,” and the rules of use as well as the rules regarding the creation and management of these areas.

In the state of Amazonas, the management of protected areas is under the responsibility of the Conservation Units State Center (CEUC), a state agency for the Environment and Sustainable Development (SDS/AM).

According to SEUC rules, the creation of protected areas must be preceded by scientific studies and public consultations. Two years after its creation, the CU management plan should be prepared in accordance to the “Amazonas State protected areas management plan development model” and ensure the participation of the different segments of society. This document should be published and disseminated widely in an appropriate language and accessible to any interested person.

The management Plan indicates the CU zoning and establishes the intensive, semi-extensive and extensive areas of use. In the Sustainable Development Reserves (RDS), Extraction Reserves (RESEX) and the State Forests, the CU inhabitants have the right to a “concession of use” contract with the state government that grants them the right to access to the land resources and natural resources.

This law also authorizes forestry concessions in state forests, as defined by the law on public forest management. At least 50% of total payments for the environmental services and the forestry resources of the protected areas must be invested in the CU itself, in its management or activities that reduce poverty and ensure the promotion of sustainable development.

## Prevented deforestation on small properties in the region of the Trans-Amazonian Highway, Pará, Brazil

(Source: Presentation by Ricardo Rettmann, researcher at the Amazon Environmental Research Institute - AERI, to the African delegation on February 4, 2011; IPAM 2011 – <http://www.ipam.org.br/programas/projeto/Desmatamento-evitado-em-pequenas-propriedades-rurais-na-regiao-da-rodovia-Transamazonica/46>)

This project aims to establish an initiative for REDD+ in the cities of José Porfirio, Pacajá and Anapu, and others inserted in the mid-southwest region of the state of Pará.

The project aims to evaluate the environmental services provided by the communities of small farmers and to promote the reaping of benefits achieved by standing forests for the climate, biodiversity and for improving the life quality of the local rural population thanks to a rural development model for the region.

The funds generated by the project will be used to compensate the farmers' efforts in the reduction of deforestation, but also to support activities looking

to raise productivity of already opened areas, allowing the adoption of new technologies, the development and establishment of forest management plans, integrated management of the property, the establishment of land tenure registration and clarification, social organization reinforcement that indeed represents the families, and an increase of social control, among other actions.

The investment project follows the same structure as the one presented in chapter 2, divided into the same three types of costs related to the implementation of a REDD+ project. Total costs are therefore divided into deforestation payment savings, transition investments, and project management costs.

The project area covers a total of more than 31,000 hectares, divided into 350 properties, ranging from 25 to 250 hectares. On average, 55% of the properties are still standing forests, including the “Legal Reserve” (surface percentage of a private property where the forest has to be legally maintained—in Amazon biome it is 80% of the property) and the “Permanent Protected Areas,” another category of protected area on private properties, established by law. These are the areas of intervention for the project, because they are more vulnerable to deforestation due to increasing demand for agricultural land.

Given an average deforestation rate of 4.8% per year, the properties would lose around 2.39 hectares per year, which is equivalent to 1107.26 tons of CO<sub>2</sub> per year. Therefore, 5 years of implementation would prevent the release of 1.8 million tons of CO<sub>2</sub>.

Preliminary studies estimate the average opportunity cost for these lands at BRL 182.50 per hectare per year, as an average of the utilization profit within the region. This way, we can estimate the cost to prevent the emission of one ton of CO<sub>2</sub> as BRL 4.05. This is a very low cost, compared for example, to those related to projects based on fossil fuels in Non-OECD (Organization for Economic Cooperation and Development) countries, including Brazil.

The project was developed by the Amazon Environmental Research Institute (IPAM), with the Live, Produce and Preserve Foundation (PPVF) and the Brazilian Biodiversity Fund (FUNBIO), as well as other technical and institutional partners.

Preliminary studies for the project for example—have been supported by the Netherlands Embassy and the British Embassy, and have been submitted for evaluation by the Amazonian Fund.

### Meanwhile, in Madagascar...

#### Pilot projects coordination

(Source: *communications on the REDD+ methodological workshop, Sept. 2009, and “REDD Madagascar: Inventory and ongoing experiences”*)

In 2009, Madagascar had five pilot projects using the REDD+ approach, over a total surface of 1,762,400 hectares.

- Makira Forest (having WCS as the main operator)
- 2 forest corridor projects CAZ (Corridor Ankeniheny-Zahamena) and COFAV (Corridor Fandriana-Vondroz) (Operator InterCooperation)
- The REDD FORECA project (main operator: GTZ and *Coopération Suisse*)
- The Holistic Forest Conservation Program (HCPF: main operators: WWF and Good Planet)

Three of these (Makira, CAZ and COFAV) aim directly at obtaining negotiable carbon units. They are also projects that concern the largest areas (240,000 to 425,000 Ha), and are located in the eastern part of the country, in the forest areas having the largest potential for carbon storage.

The other two projects (REDD FORECA and HCPF) are methodological projects, with no direct goal for the commercialization of “carbon credits” at this stage of the process. Their sites are more numerous (7 for COFAV and 5 for HCPF), more scattered, covering almost all types of forests existing in Madagascar, and within a smaller area.

Initially, these projects were developed and led in an independent way, before exchanges with the REDD+ Technical Committee (TCREDD+), headed by the representative of the ministry in charge of the forests.

This same TCREDD+ has driven the development of the REDD+ approach at the national level, including preparation of FCPF documents (R-PIN and RPP).

But, because of the lack of specific legislation and a means of implementation, there is still no formal framework for the pilot projects. The information disseminated by these projects is still fragmentary, and despite meetings and workshops, all the elements of the methodological approach used are unknown, and even less harmonious, at the national level.

The needs identified for these projects in order to create a national approach, concern, on one hand, the establishment of a “registry,” allowing clear identification of the perimeters of the projects (and therefore, verifying the lack of spatial overlay between projects), and the main characteristics of each project. On the other hand, a formal process of capitalization will allow the collection of technical and methodological elements used by each one, and the evaluation of the results obtained, as well as the possibility of their generalization.



## What are the current resources that finance REDD+ in Brazil and how have they been managed?

The options for financial management of REDD+ resources are still being discussed in Brazil. The main question is whether international finance would come from markets or funds (MAY and MILLIKAN, 2011). The federal government created the Amazon Fund in 2008 in order to support projects and programs aiming to reduce deforestation in the Amazon Rainforest. The management of this fund seeks to promote excellence in the management of resources, as well as the efficiency and effectiveness of its use. Civil society organizations and the state governments can submit projects. These are evaluated based on their real capacity to reduce deforestation. The fund is managed by the Brazilian Development Bank (BNDES), one of the largest development banks in the world.

At the sub-national level, and even before the creation of the Amazon Fund, the state of Amazonas presented an innovative strategy to increase efficiency in the management of environmental services of protected areas, creating an independent "foundation" that can raise private funds to invest quickly and safely through the *Bolsa Floresta*. The foundation, initially created by the state of Amazonas Policy on climate change (law no. 3.135/2007), was later called the Amazonas Sustainable Foundation (FAS).

### i. CURRENT EXAMPLES FROM BRAZIL ON FUNDING FOR REDD

#### The Amazon Fund

Launched in 2008, the aim of the Amazon Fund is to promote projects for the prevention and combating of deforestation and also for the conservation and sustainable use of forests in the Amazon biome.

Since 2009, Norway has pledged donations of USD 390 million to the Amazon Fund. To date, USD 110 million have been withdrawn for a first group of projects. Meanwhile, more than 60 projects have been evaluated, of which only five had been approved by the end of 2009.

In 2010, the German Development Bank, KfW, also joined the Fund, by signing a contract for USD 28 million. Finally, in 2011, a Brazilian state company also pledged a donation in the amount of USD 4.2 million.

The Fund is managed by the Brazilian Development Bank (BNDES). BNDES is one of the largest national development banks, with annual loans that exceed, on a global basis, those of the World Bank.

The Fund can finance sustainable use of forests, recovery of deforested areas, sustainable conservation, use of biodiversity, and environmental control and monitoring. So far, 24 projects have been approved for support through the Fund. Fund allocation guidelines have been established by a steering committee (COFA), which includes representatives from civil society. Decisions on funding allocation are made by the BNDES team (see <http://www.amazonfund.gov.br/> for more details on the Fund's management, including an initial list of approved projects and others awaiting approval). Project proposals can be presented by public institutions, public companies and NGOs. Several proposals have been presented by private companies; however, a COFA subcommittee decided to deny financial support to for-profit companies.

#### b. "The FAS experience with the reward programs for the environmental services" (Source: VIANA, V. et al., 2010)

Still in 2007, FAS was created after the Amazonas State Policy on climate change, the legislation on environmental conservation and the sustainable development policy that was implemented by the Amazonas State Government and the bank Bradesco. Since 2008, the foundation has had the right to generate environmental products and services inside the state's protected zones and the duty to manage and implement the Program *Bolsa Floresta*, a pilot reward mechanism for environmental services in Brazil (formerly managed by the Amazonas state government).

FAS was designed to have a high level of institutional governance and transparency; to provide solutions to the conservation and deforestation paradigm with civil society, government, and the private sector; and it has managed to establish new partnerships with Bradesco Bank, Coca-Cola Brazil, the Amazon Fund, the Marriott hotel chain, and others.

### FAS - A case of good management

Balmford and his colleagues revealed a lack of expertise in the management of projects and initiatives for environmental conservation—of all the money invested in projects in Latin America, less than 10% had reached its goals.

In 2008, the Brazilian government had USD 500 million to invest in conservation initiatives, but only 9.9% (USD 49 million) has been used appropriately, because of excessive bureaucracy and bad management. In 2009, investments in operational activities accounted for 71% of the budget of FAS. Of the entire budget used, 91% was obtained from private partners and only 9.3% from the Amazonas state government. All the public resources were used for the family component of the *Bolsa Floresta* Program. FAS can therefore be considered a benchmark in administrative capacity.

The experience of FAS with governance and operations should serve as an important example for decision makers, illustrating the use of financial mechanisms to reduce deforestation can be sustainable, accessible to the local communities and the actors invested in conservation, while at the same time reinforcing the autonomy of traditional communities.

The main issue to be considered for REDD is beyond the methodological questions, and should focus on the governance issue and on how to ensure equitable and effective distribution of the services. The presence of the team in the communities of SAF increases the reliability required for the expansion of investments. The model used by FAS is a successful example of the possibilities for collaboration between public and private sector to enhance environmental conservation. This model can be thought of as a model to be replicated and adjusted at both the national and sub-national level.

## What are the main monitoring systems for deforestation and forest degradation measures in Brazil?

One of the necessary elements for a country to be considered “ready for the REDD+” is the establishment of a national Measurement, Reporting and Verification (MRV) system. This has to do with the country’s capacity to measure the efficiency and the impacts of REDD+ programs and projects, to ensure their dissemination, and to establish an appropriate methodology that enables third parties to evaluate these positive or negative impacts.

Brazil is recognized as the most advanced country in terms of capacity to monitor and report on its forest resources with the use of satellites. Regarding the capacity of MRV in its forest resources, the country possesses the latest and most efficient tools for REDD+ (MAY and MILLIKAN, 2011). The National Institute for Space Research (INPE) is recognized worldwide for its deforestation detection systems, which were developed at the beginning of the 1970s. The data is updated regularly and available to the public through its website (INPE).

The table below presents the institutions and methods utilized in Brazil to assess deforestation and forest degradation using different scales and degrees.

Table 4. Institutions and Systems for deforestation and forest degradation monitoring in Brazil

Institutions	Programs/Systems	Methods	Area
INPE (National Institute of Space Research)	PRODES (Amazon Deforestation Calculation Program), created in 1980	Annual Landsat imagery analysis and SIG techniques to measure deforestation	Brazilian Legal Amazon
	DETER (Real-time deforestation detection), created in 2004	Every 15 days, georeferenced data on changes in forest cover in the area, enabling timely implementations of inspection activities of the illegal deforestation.	Brazilian Legal Amazon
	DEGRAD (Degradation Detection), created in 2009.	Monitoring process of the forest degradation and establishment of management models in the forest concessions managed by the Brazilian Forest Service (SFB). The DEGRAD system allows monitoring of roads, wood stockpiling areas, and forest extraction through selective exploration.	Any disturbance in the Amazon forest
IBAMA (Brazilian Institute for the Environment and Renewable Natural Resources)	CEMAM (Environmental Monitoring Center)	After receiving the satellite images of DETER / INPE, the center prepares and distributes georeferenced digital maps of key areas for local inspection activities in the Amazon.	All Brazilian biomes

Source: May and Milikan (2011)

Furthermore, the Amazon Institute of People and the Environment (Imazon), a non-governmental organization, is also an important information source regarding the land conversion in the Amazon, especially through its Deforestation Alert System.

### Brazil - DRC cooperation in the monitoring of forests

Source: INPE (2011)

In August 2011, the technology used in the country by the National Institute for Space Research (INPE) for forest monitoring was reported on in the Brazilian media.

INPE provides the necessary technical skills for monitoring REDD through a partnership with FAO. Classes are held in Belém, where INPE installed a center of international dissemination of tropical forest satellite monitoring technologies. There, foreign technicians can learn to use “Amazon Terra,” the system developed by the Institute for their monitoring programs, such as PRODES.

Teams from the Democratic Republic of Congo will be trained in Belém, along with colleagues from Papua New Guinea and Vietnam.

## How has recognition been given to all actors and their rights through a participatory and empowerment process for the equitable distribution of benefits?

The importance of recognizing the rights of the forest people over their resources and ensuring they benefit from the programs and projects for REDD+ has already been raised in this publication. Respect for the traditional rights of these populations is of great importance to ensure the efficiency of the mechanism in terms of the reduction of greenhouse gases.

At the international level, a process for establishing “Social and Environmental standards for REDD+” already exists, carried out in a participative manner with the assistance of the Climate, Community and Biodiversity Alliance (CCBA) and Care International. This process resulted in principles and criteria for a REDD+ initiative and is now being tested at the state level in Acre.

In Brazil, a process with similar goals took place with strong participation from various stakeholders. Principles and criteria to guide the development of projects and programs for REDD+ in the Brazilian Amazon were produced in order to ensure social and environmental safeguards.

The produced documents have common principles, such as: recognition of land rights and rights to the land’s resources, equitable sharing of REDD+ benefits, contribution to the improvement of the quality of life of local populations, improvement of governance, environmental conservation and restoration, stakeholder participation in planning and implementing actions, monitoring, transparency and respect for local and national laws as well as international treaties.

## CURRENT EXAMPLES FROM BRAZIL RELATED TO PARTICIPATORY AND SAFEGUARD SYSTEMS

### Development of social and environmental safeguards for REDD+ in Brazil

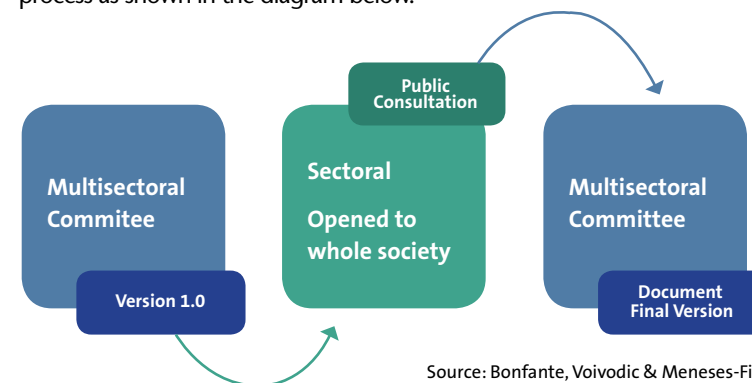
(Source: BONFANTE, VOIVODIC and MENESES-FILHO, 2010; Mauricio Voivodic presentation, executive secretary of Imaflora at the South-South workshop, 03 February 2011)

In 2009, under the leadership of civil society organizations, a social and environmental safeguards development process was initiated for REDD+ in Brazil, with strong social participation.

The Institute for development and for forestry and agriculture certification (Imaflora) emphasizes the importance of careful planning before starting the process, in order to properly define the goals and expected outcomes of the initiative, as well as the time and resources required.

The creation of a multi-sectoral group is also an important step. The representation of relevant sectors (lumber and forest companies, large farmers, developers and project certification bodies, banks, etc.) and those who may be affected by REDD+ (local communities, indigenous people and small farmers, for example) increases the political strength of the document to be prepared. Academic and research institutions may help by providing technical information (BONFANTE, VOIVODIC, MENESES-FILHO, 2010).

After these preliminary activities, a guide was published named “The development of social and environmental safeguards for REDD+,” summarizing the implementation process as shown in the diagram below.



Source: Bonfante, Voivodic & Meneses-Filho, 2011

Creating a well-coordinated committee is crucial because the report's quality will largely depend on the effectiveness of the committee, since it is responsible for:

- Writing the first version of the document for public consultation
- Organizing public consultations with different sectors
- Gathering and publishing the comments received
- Drafting the second version of the document
- Disseminating and discussing the draft with the government

This process was conducted by an institution responsible for facilitating the process, whose functions were organizing meetings and acting as the committee secretariat.

Following this process, the document "Principles and social and environmental criteria for the development of REDD+ and the implementation of programs and projects in the Brazilian Legal Amazon" was published in July 2010. The aim is to allow the use of its eight principles and related criteria to guide the development and implementation of REDD+ projects in the Brazilian Amazon. These principles are based on "minimum requirements to ensure that the actions of REDD+ are effective in climate, biodiversity conservation and local communities, and to minimize the risks of negative environmental and social impacts resulting from such actions."

Among the main lessons learned from this process in Brazil, the leaders emphasize the importance of the involvement of indigenous and local communities when discussing protective measures and the development process. The process led them to conclude that transparency also increases the legitimacy of the process itself. Moreover, the discussion with the groups may require a pre-training process, which, in turn, is positive both in terms of better integration of society—contributing to better governance of REDD in Brazil—and to greater awareness of REDD+.

For more information and advice about the process, please consult: "*The Social Development and Environmental Protection of the REDD: a guide to the process of community building*," written by Bonfante, T.M., Voivodic, M. and Meneses Filho, L. (2010).

### **The social and environmental safeguards developed for REDD+ in Brazil can serve as a model for other countries.**

During a visit to Imaflores in June 2011, the NGO Republic of Congo National Resources Network stated that the publication of the aforementioned Brazilian guide would be very useful in guiding the development of social and

environmental safeguards for REDD+ in their country.

The NGO coordinates a network of social and environmental organizations in 50 countries and, jointly with civil society, is the facilitator of the construction process of social and environmental safeguards for REDD+ in their country.

In Brazil, to continue the preparation work, the multi-sectoral committee of social and environmental principles and social criteria for REDD+ has created the REDD Observatory, a tool that may allow social control of the national REDD initiatives.

(Source: IMAFLORA, 2011)

### **Meanwhile, in the DRC...**

#### **Consultations with civil society for the design of the National REDD+ Strategy**

(information provided by the REDD National Coordination of the DRC)

Over an R-PIN from May 2008, the DRC committed in January 2009 to a preparation process for the future International arrangement on Reducing Emissions from Deforestation and forest Degradation (REDD+), run by the Environment, Conservation of Nature and Tourism Ministry (MECNT), in partnership with the United Nations program for the REDD (UN-REDD) and the World Bank (FCPF program). Developed in a highly participatory framework, the R-PP was approved in March 2010 by the UN-REDD Steering Council and the FCPF participants Committee. To accompany this process, civil society has since June 2009 organized with the CN-REDD support at the REDD Climate Working Group (RCWG), whose operation is funded by the Norway Rainforest Foundation.

The approach defined in the R-PP for the construction of the national strategy is based on international benchmarks regarding key analytical determinants of the REDD+ strategy, and on studies feeding the decision making process through 30 Thematic Coordination Groups (TCGs) formed in January 2011. These TCGs gather several stakeholders (government, civil society and the private sector) and each one is responsible for further discussing a specific strategic option for a year and a half on a select committee, about the potential contribution of an activity sector or theme to REDD+, costs, co-benefits and implementation challenges and providing recommendations to be submitted to

arbitration by the National Committee. This process will end around June 2012, with the strategy being finalized in late 2012. It will be conducted in parallel with seven pilot projects integrated geographically, spread across the country and targeting different causes of deforestation to experiment with different options and institutional conditions for effective implementation of a REDD+ strategy. These projects are about to start with the Congo Basin Forest Fund Financing (CBFF).

As to social and environmental standards to be met in the implementation of REDD+ projects and initiatives, regulations under development plans require that projects and initiatives state publicly what social and environmental standards will be used. Concerning the REDD+ projects aiming to produce “emissions reduction/absorptions” for the voluntary markets and/or carbon funds (e.g., FCPF Carbon Fund), at first the DRC will endorse the existing internationally recognized social and environmental standards (e.g., CCB). These standards will apply to the REDD+ projects. In the long run, the government will recognize its own social and environmental standards developed by the stakeholders (a process that is already underway, inspired by the Brazilian experience). These standards may apply to the projects once they are operational (both in terms of methodology and standardized protocols) and once the institutions capable of certifying compliance with these standards have been established.

Extensive consultation has finally also been conducted at the national and provincial levels for the preparation of the Investment Plan for the Forest

Investment Program (FIP). These consultations were held on the one hand by the REDD National Coordination (through the TCG and many seminars) and on the other hand by civil society groups representing all stakeholders (local, provincial and national government, civil society, representatives of indigenous peoples, and the private sector).

The provincial consultations involved more than 600 people in 16 sites located in six provinces (Bandundu, Bas-Congo, Kasai Occidental, Kasai Oriental, Kinshasa and Eastern Province). In addition, over 30 meetings of the TCG have been conducted, involving more than 160 people, including more than 50 people from the private sector. These consultations were based on a participatory methodology and raised several issues—the need for tenure security, the alignment between public and traditional authority, the risk of unequal distribution of opportunities and political interference in the project selection, as well as the weak capacity of provincial governments for monitoring projects.

These consultations also revealed many opportunities related to FIP activities, in particular the creation of local employment, capital injection, and the revitalization of banks and other financial structures in related areas. Overall, the consultations revealed strong interest from stakeholders in the proposed FIP activities. A detailed consultation plan for the development of programs will be set up once the investment plan has been approved by the subcommittee.

# Conclusions



**THE FINDINGS PRESENTED** here are based on a document produced by participants of the Project, in the last session of the Program in Brazil. They are based on the experiences of the participants, on a number of presentations, field visits and technical discussions during the study trip of African leaders and experts. Brazilian experiences were analyzed through the prism of African eyes and perspectives.

## 1. REDD+ initiatives need to be integrated with sectoral and cross-sectoral policies, including forestry and environmental policies.



REDD+ should be a central part of the process of designing and implementing development policies. These include macroeconomic, agricultural, infrastructural, educational, and international policies, among others. Sectoral policies directly related to REDD+ are particularly relevant, such as forestry and environmental policies. The aims of these sectoral and cross-sectoral policies should include their effects on the reduction of GHG emissions, the reduction of deforestation and degradation, the

enhancement of forest carbon stocks, the improvement of the quality of life, and poverty eradication.

## 2. Support for long-term capacity building and financing are key elements for the success of REDD+ initiatives.



Capacity building should include all stakeholders, in a long-term perspective. This includes both formal education programs as well as on-the-job training activities. Formal education should bring community forestry issues into the existing curricula. Complementary educational programs should include workshops and communication campaigns. Capacity building should combine educational programs as well as investment in institutional development and infrastructure. These activities should have a special focus on forest-based communities and national institutions, both governmental and non-governmental.

Financing mechanisms should be innovative, as well as predictable, permanent and sufficient to meet the challenges of REDD+. Public and private finance should be combined so as to strengthen national institutions as well as to support civil society organizations, local communities and the private sector. Fund management should be based on innovative institutional frameworks that secure the necessary transparency and good governance. Investments should be designed so as to increase efficiency and effectiveness, given the context of African countries. Brazilian institutions may play an important role in capacity building and in the design and implementation of REDD+ strategies in Africa.

## 3. Community-based forest management plays an important role in reducing deforestation and forest degradation.



Forest-based communities must be placed at the center of the design and implementation processes. Forest-based communities are key players and their rights, views and values need to be incorporated into all stages of REDD+ processes. Participation should involve multi-stakeholder processes so that different views and perspectives can be incorporated.

The examples of Brazilian sustainable use of protected areas, which involve local communities in the design and implementation of forest management plans, may be adapted to the African context and used as important references for policy reform.

#### 4. Community-based forest management should be implemented through participatory processes that empower indigenous and local populations in the decision making process.



Indigenous and local populations must be included in all phases of forest management, including the definition of use rights and the design and implementation of management plans. Participatory methods should be used alongside investments and support for capacity building, education for sustainability and the empowerment of community-based grassroots organizations.

REDD+ initiatives should support community forestry, including initiatives designed for forests to be worth more standing than cut to forest dwellers. Community forestry should aim at increasing the economic, social and environmental values of forest-based communities.

The experience of the *Bolsa Floresta* Program is particularly relevant for African countries. Lessons learned from this Program could greatly benefit REDD+ in Africa. Cooperation should focus on payment mechanisms for environmental services and participatory methods for managing protected areas as well as timber and non-timber forest resources.

#### 5. Monitoring, reporting and verification (MRV) is a key element of REDD+ initiatives and S-S cooperation plays an important role in increasing its efficiency and effectiveness.



A robust MRV system is essential to secure environmental integrity of REDD+ mechanisms. This should include not only MRV of carbon stocks and dynamics, but also social and environmental impacts of REDD+.

Cooperation among Congo Basin countries, supported by Brazilian technologies could reduce costs and increase the efficiency of MRV.

This may include satellite monitoring, social safeguards, community-based monitoring and the participatory design of MRV policies and programs.

#### 6. Cooperation and experience exchanges with Brazil could greatly support REDD+ development in Africa.



Brazil and Africa share many similar problems and solutions. Brazilian institutions have made important advancements that are relevant for Africa. These include innovations in all aspects of REDD+ design and implementation. This creates a very promising opportunity for S-S cooperation on REDD+. International REDD+ finance mechanisms should give priority to technical cooperation between Brazil and Africa.

Cooperation should focus on the management of forest concessions and protected areas, as well as the management of funds to finance long-term implementation of REDD+. Experiences such as the Amazon Fund and the Amazonas Sustainable Foundation could be used as a reference to develop similar initiatives in Africa.

Study trips, such as the one described in this publication, offer a valuable opportunity for on-the-job training for both experts and leaders of governmental and non-governmental institutions. Similar initiatives should be encouraged and supported.

From an analysis of the literature and the practical examples assessed during this exchange, the following conclusions on the role of community forestry for the promotion of REDD+ goals can be drawn:

**1) Community forestry can be an efficient and effective strategic option** to address some of the main causes of deforestation and degradation, contributing to the reduction of emissions from these sources, and promote important social and environmental co-benefits. The decentralization of forest management to local communities, the clarification of land and forest use rights and ownership, the long-term support to the internal cohesion and capacity of community-level organizations, the clarification of benefit sharing mechanisms at the local level and the support to adding value to forest products and services (wood, non-timber forest products, carbon storage, biodiversity, among others) are key elements of a successful strategy to promote community forestry and ensure it supports REDD+ goals. The promotion of community forestry in public areas facing deforestation pressure from new developments

(infrastructure developments, commercial agriculture expansion, etc.) can be a key strategy to manage future deforestation.

**2) REDD+ can aid community forestry by:** (i) providing a long-term steady flow of financial resources to local communities that are able to demonstrate “verifiable” emission reductions, as a way to pay them for the global-level environmental service being offered (carbon storage); (ii) through the national REDD+ Readiness process, various countries are currently seeking cost-efficient options to effectively reduce deforestation so that they can access REDD+ resources. This is a “window of opportunity” to mainstream community forestry as an efficient and effective strategy to reach REDD+ goals; (iii) REDD+ financial resources will be subject to close international scrutiny. Hence, countries have an incentive to develop transparent mechanism to channel resources to the local level; (iv) finally, the very nature of REDD+, as a “performance-based” type of payment, fosters stakeholders at all level to continuously improve the actions aimed to reduce deforestation and degradation, to ensure a continued flow of “payments.”

**3) Effective implementation of community forestry faces major challenges,** such as: i) ensuring long-term financial support to communities, including compensation of all costs they incur when changing forest management practices (mainly different sorts of restrictions to forest resources are implemented); ii) low level of social and human capacity across many forest communities, and the very definition and boundaries of ‘community’ in many cases; iii) ensuring fair benefit sharing at the local level. The social and environmental results of community forest management are often realized only in the long-term.

**4) The national REDD+ Readiness process has created new venues for Civil Society Organizations (CSOs) and representatives of forest communities** (including indigenous peoples) to influence policy making. This could be a good opportunity for these organizations to push for further support to community forestry by national and local governments.

Key Questions	Conceptual approach for REDD+ in community forestry	Lessons Learned from the exchange of experiences	Experiences presented in Brazil
<ul style="list-style-type: none"> <li>How can community forestry effectively contribute to reducing emissions from deforestation and degradation?</li> </ul>	<ul style="list-style-type: none"> <li>Recognizing and securing land use and resources rights – national legislative framework</li> <li>Legal and fiscal framework in order to ensure benefits sharing</li> <li>REDD+ incomes should reach the communities</li> <li>Comprehension of the communities and capability to discuss and negotiate carbon and forest benefits</li> </ul>	<ul style="list-style-type: none"> <li>Importance of inclusion of forest into Sectoral policies development;</li> <li>Include the participation of states and civil society</li> <li>Monitoring systems that can assess different biomes at the same time can involve local people</li> </ul>	<ul style="list-style-type: none"> <li>Recognition of communities’ rights: Brazilian Forestry Service</li> <li>Recognition by law</li> <li>Community forest management (Coomflona)</li> <li>Amazon Fund</li> <li><i>Bolsa Floresta</i> Program and FAS</li> <li>Suruí Fund and Suruí REDD Project</li> </ul>
<ul style="list-style-type: none"> <li>How can REDD strengthen community forestry?</li> </ul>	<ul style="list-style-type: none"> <li>REDD+ as a long-term financial flow for reinforcement of community forest management</li> <li>REDD+ as an opportunity for countries to reflect and improve on issues concerning forest governance</li> <li>REDD+ as an opportunity to review legal frameworks</li> </ul>	<ul style="list-style-type: none"> <li>Importance to create or work in partnership with a transparent, efficient and credible management structure</li> <li>Recognize the rights of communities</li> <li>To ensure a participatory system, communities must be involved in the investment of resources</li> </ul>	<ul style="list-style-type: none"> <li><i>Bolsa Floresta</i> Program</li> </ul>



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## Annex – Acronymes

BNDES	Brazilian Development Bank	JFM	Joint Forest Management
CAR	Central African Republic	MMA	Brazilian Ministry of Environment
CBFF	Congo Basin Forest Fund	MRV	Monitoring, Reporting and Verification
CEUC	Amazonas State Center for Conservation Units	NCS	Conservation and Sustainability Centers
CDM	Clean Development Mechanism	NTFP	Non-Timber Forest Products
CF	Community Forestry	ONFI	National Forestry Agency - International
DRC	Democratic Republic of the Congo	PBF	Bolsa Floresta Program
UNFCCC	United Nation Framework Convention on Climate Change	PPCDAM	Action Plan for Prevention and Control of Deforestation in the Legal Amazon
DNA	Designated National Authority	PSE	Payment for Environmental Services
CF	Community Forestry	RDS	Sustainable Development Reserve
CSO	Civil Society Organization	R-PIN	Readiness Plan Idea Note
FAS	Amazonas Sustainable Foundation	R-PP	Readiness Preparation Proposal
FCPF	Forest Carbon Partnership Facility	REDD	Reducing Emissions from Deforestation and Forest Degradation
FLEGT	Forest Law Enforcement, Governance and Trade	SESA	Strategic Environmental and Social Assessment
FLONA	National Forest	SEUC	Amazonas State System of Conservation Units
FUNAI	National Indian Foundation of Brazil	SFB	Brazilian Forest Service
FUNBIO	Brazilian Biodiversity Fund	UC	Conservation Unit
GEF	Global Environment Facility		
IBAMA	Brazilian Institute of Environment and Renewable Natural Resources		
ICMBio	Chico Mendes Institute for Biodiversity Conservation		
IDESAM	Institute for the Conservation and Sustainable Development of Amazonas		
INPE	National Institute for Space Research		
IPAM	Amazon Environmental Research Institute		
IRD	Institute for Research and Development		
ITTA	International Tropical Timber Agreement		
IUCN	International Union for Conservation of Nature		

## Participants of the Study Trip

Country	Participant	Organization
Cameroon	Mr. Félix YOH	Assistant Director of Community Forests - Ministry of Forests and Wildlife
	Mr. Jean Oberlin Henri Marc ABESOLO ABBE	Development lawyer-sociologist of the – Pilot RFC - Community Forestry Network (RFC)
	Mr. Jean-Avit KONGAPE	Forestry Inventory and Management Assistant Director - Ministry of Forests and Wildlife
Central African Republic	Mr. David YANGBONDO	Vulgarization of New Environmental Technologies Head of Service - Assistant UNFCCC Focal Point - Environment and Ecology Ministry
	Mr. Ulrich LASSIDA	Student at the University of Bangui
Democratic Republic of Congo	Mr. Alphonse LONGBANGO	Program Director - Human Rights and Development Committee, NGO CODHOD
	Mr. Gaston NGINAYEVUVU	Bas-Congo Provincial Minister
	Ms. Jeanine BOKAMBA	Head of Community Forestry Division - Environment, Nature Conservation and Tourism Ministry
	Mr. Kanu MBIZI	National REDD Coordinator - Environment, Nature Conservation and Tourism Ministry
	Mr. Patrick BISIMWA	National Project Officer - UN-REDD Program
	Mr. Victor KABENGELE	Project Coordinator, Secretary of the Thematic Group 13 - the Environment, Nature Conservation and Tourism Ministry
Gabon	Mr. Abrahm NDOGOU	Research officers in the General Direction of Water and Forests - Water and Forests Ministry
	Mr. Protet ESSONO ONDO	Program Coordinator - Brainforest
Madagascar	Ms. Naritiana RAKOTO-NIAINA	Executive Director – Support Service for the Environment Management
	Mr. Olivier ANDRIAMAN-DROSO	Environment and Forests Regional Director - ITASY
Republic of Congo	Mr. Ifo SUSPENSE	Forest Carbon Specialist - Climate Change / Project MDDEFE OSFAC-WRI-
	Mr. Lambert MABIALA	General Secretary / Legal OI-FLEG – Support Circle for Sustainable Forest Management (CAGDF)

## Presentations and Speakers of the Technical Visit

The Role of Community Forestry on REDD+: a South-South exchange trip in Brazil on the theme



### Seminar: Advances and challenges for REDD + in Brazil Rio de Janeiro, RJ – February 2nd and 3rd, 2011 -

Opening - Sérgio Weguelin (BNDES); André Aquino (World Bank); Virgilio Viana (Amazonas Sustainable Foundation) and Thais Linhares – Juvenal (MMA)

“Contextualization of REDD+ in Africa” (André Aquino, WB)

“The construction of the REDD Strategy in Brazil” (Thais Linhares-Juvenal, MMA)

“The experience of the Amazon Fund, major challenges and opportunities” (Claudia Costa – BNDES)

“Key technical aspects for REDD +” (Mariano Cenamo, IDESAM)

“The social and environmental safeguards REDD + building process”(Mauricio Voivodic – Imafloa)

“Proposals for implementing a structure of REDD+ in Brazil: IPAM’s initiative at the Transamazônica” (Mariana Christovam and Ricardo Rettmann – IPAM)

“Brazil’s role in South-South Cooperation in REDD +” (André Odenbreit – MRE)

“The Suruí REDD Project” (Mariano Cenamo - Idesam)

### “The Bolsa Floresta Programme a PES and REDD+ initiative at Amazonas State”

#### Rio Negro Reserve, Amazonas– February 5th and 06th, 2011

“The Bolsa Floresta Programme and the Amazonas Sustainable Foundation” (Virgilio Viana – FAS)

Visit to the Conservation and Sustainability Center Agnello Bitencourt, Tumbira Community, Amazonas

“The participation of traditional communities in policy, programs and projects REDD” (Manoel Cunha, CNS)

Ceremony for the Delivery of 10 Community Forest Management Plans at the Sustainable Development Reserve of Rio Negro, Santa Helena do Inglês Community, Amazonas

“The Environmental Policy of the State of Amazonas” (Secretary Nadia Avila Ferreira - SDS / AM)

Discussion: [What are the main points to be clarified for the Advancement of REDD+ in your country] (Moderator: Virgilio Viana, FAS)

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## “The Community Forestry Management: challenges and opportunities”

### Part 1

#### Rio Negro Protected Area, Manaus/AM, February 7th, 2011

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“The general framework for community forestry management in Brazil (Antonio Carlos Hummel / SFB)

“Forest management in Protected Areas”. (Domingos Macedo/CEUC)

“Community Forestry Management in the Amazonas State” (Eduardo Rizzo / IDESAM)

““The forestry economy and the products and environmental services” (João Tezza/ FAS)

“The community social organization in the Protected Areas covered by the BF Program” (Valcleia Solidade/ FAS)

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### Part 2

#### National Forest of Tapajós, Santarem/PA, February 08<sup>th</sup> to 10<sup>th</sup>, 2011

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“The Public Forests Management and the federal agencies’ role in the region”” Adriana Bariani (SFB) e Viviane Daufemback (ICMBio)

“Ambé Project – social and productive organization ” (Jeremais Dantas – Coomflona)

Visit to the forestry community areas in the National Forest of Tapajos and the LBA towers observation (Large-Scale Biosphere-Atmosphere Experiment in Amazon) (Plinio Camargo – CENA/USP)

Visit to Maguary and São Domingos Communities – Flona Tapajós: non-timber forest products productive chain projects: Vegetable Leather, Honey and Essential Oils

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### Closure

#### São Paulo, SP, February, the 11th, 2011

“The experience of FAS in raising funds for REDD+” (Firmin Antonio, FAS)

Completion of “Manaus Letter” by the countries’ participants

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## ORGANIZATION:



## SUPPORT:

