



UvA-DARE (Digital Academic Repository)

Agents, assumptions and motivations behind REDD+

Lovera-Bilderbeek, A.S.E.

Publication date

2017

Document Version

Other version

License

Other

[Link to publication](#)

Citation for published version (APA):

Lovera-Bilderbeek, A. S. E. (2017). *Agents, assumptions and motivations behind REDD+*. [Thesis, externally prepared, Universiteit van Amsterdam].

General rights

It is not permitted to download or to forward/distribute the text or part of it without the consent of the author(s) and/or copyright holder(s), other than for strictly personal, individual use, unless the work is under an open content license (like Creative Commons).

Disclaimer/Complaints regulations

If you believe that digital publication of certain material infringes any of your rights or (privacy) interests, please let the Library know, stating your reasons. In case of a legitimate complaint, the Library will make the material inaccessible and/or remove it from the website. Please Ask the Library: <https://uba.uva.nl/en/contact>, or a letter to: Library of the University of Amsterdam, Secretariat, Singel 425, 1012 WP Amsterdam, The Netherlands. You will be contacted as soon as possible.

Agents, Assumptions and Motivations behind REDD+



Simone Lovera-Bilderbeek

*Agents, Assumptions and Motivations
behind REDD+*

ACADEMISCH PROEFSCHRIFT

ter verkrijging van de graad van doctor
aan de Universiteit van Amsterdam
op gezag van de Rector Magnificus
prof. dr. ir. K.I.J. Maex

ten overstaan van een door het college voor promoties ingestelde
commissie, in het openbaar te verdedigen in de Agnietenkapel
op vrijdag 23 juni 2017 te 10.00 uur

door

Aukje Simone Elisabeth Bilderbeek
geboren te Amstelveen

Promotiecommissie:

Promotor:	Prof. dr. J. Gupta	Universiteit van Amsterdam
Co-promotor:	Dr. M.A.F. Ros-Tonen	Universiteit van Amsterdam
Overige leden:	Prof. dr. Arts	Wageningen Universiteit
	Prof. dr. I.S.A. Baud	Universiteit van Amsterdam
	Prof. dr. A.J. Dietz	Afrika-Studiecentrum, Leiden
	Dr. B.B. Hogenboom	Universiteit van Amsterdam
	Prof. dr. P.H. Pattberg	Vrije Universiteit Amsterdam
Faculteit:	Faculteit der Maatschappij- en Gedragwetenschappen	

Table of Contents

Table of Contents.....	v
List of Tables.....	viii
List of Figures	ix
List of Acronyms.....	x
Acknowledgments	xii
1. Introduction.....	1
1.1 Deforestation and the International Forest Policy Regime	1
1.2 REDD+ in the Literature.....	3
1.3 REDD+ and Agency Theory.....	5
1.4 Research Purpose, Objectives and Questions	6
1.5 Research Methodology.....	8
1.5.1 Literature Review	8
1.5.2 Interviews with Key Actors in the REDD+ Regime.....	10
1.5.3 Legal Review of Relevant International Agreements.....	14
1.5.4 Comparative Review of Positions and Official Submissions.....	15
1.5.5 Analysis of Financial Streams.....	15
1.5.6 Participant Observation at International Negotiation Meetings	15
1.5.7 Empirical Testing of Agency.....	17
1.6 Research Limitations and Ethical Considerations.....	17
1.7 Thesis Outline	18
2. Theoretical and Analytical Framework.....	19
2.1 Introduction.....	19
2.2 Theories of Regime Design.....	19
2.3 Theoretical Approaches to Regime Development.....	20
2.4 The Role of Discourse	23
2.5 Agency Theory within the Framework of Political Sciences	24
2.6 Global Environmental Governance and the Role of Non-State Actors	26
2.7 Main Categories of Actors in Global Environmental Governance.....	28
2.8 Toward an Operationalization of Indicators of the Level of Agency	30
2.8.1 Identification of the Indicators	30
2.8.2 Analytical Framework.....	32
2.9 Conclusions.....	33
3. The Development of the REDD+ Regime	35
3.1 Introduction.....	35
3.2 The Incorporation of Forests in the UNFCCC and its Kyoto Protocol.....	35
3.3 The Development of the REDD+ Regime	38
3.4 The Early Years of REDD+	41
3.5 REDD+ on the Road to Paris	43
3.6 Conclusions.....	48
4. The Assumed Effectiveness of REDD+	51
4.1 Introduction.....	51

4.2	REDD+ as a Janus head.....	51
4.3	The Assumed Effectiveness of REDD+ as a Climate Change Mitigation Policy 53	
4.3.1	Measurement.....	54
4.3.2	Baselines, Reference Levels and Additionality.....	55
4.3.3	Permanence, Liability and Leakage.....	57
4.4	The Assumed Effectiveness of REDD+ as a Forest Conservation Policy.....	60
4.4.1	A Square View on Trees and Forests	60
4.4.2	Mobilizing High-Level Support for Forest Conservation and Governance.....	63
4.5	REDD+ and the Drivers of Forest Loss	65
4.6	Conclusions.....	72
5.	The Assumed Efficiency of REDD+	75
5.1	Introduction.....	75
5.2	The Assumed Efficiency of Payments and Markets for Ecosystem Services.....	75
5.3	The Estimated Costs of REDD+	80
5.3.1	Overall Cost Estimates.....	80
5.3.2	Opportunity Costs	81
5.3.3	Transaction Costs.....	85
5.4	Sources of Funding.....	87
5.5	REDD+ Funding and Forest Cover Change	93
5.6	Implications of the 2015 Paris Agreement for REDD+ Efficiency	95
5.7	Conclusions.....	96
6.	The Assumed Equity of REDD+	99
6.1	Introduction.....	99
6.2	Pragmatic and Legal Arguments for REDD+ Equity.....	99
6.3	Land Tenure, Governance and the Contextual Equity of REDD+	102
6.3.1	The Relation between Governance and Tenure.....	102
6.3.2	Contested Tenure.....	102
6.3.3	Community Governance, Community-based Forest Management and Property Rights	104
6.3.4	Impacts of REDD+ on Forest Governance	106
6.3.5	Reflections of Interviewees on Contextual Equity and REDD+	108
6.4	Participation in Decision-making and the Procedural Equity of REDD+	109
6.4.1	Participation and FPIC Rights and Safeguards.....	109
6.4.2	Participation in International Policy Making.....	110
6.4.3	Participation in National and Local Project Design.....	111
6.4.4	Perspectives of Interviewees on the Procedural Equity of REDD+	113
6.5	Benefit Sharing and the Assumed Distributive Equity of REDD+.....	115
6.5.1	REDD+ from a Distributive Equity Perspective.....	115
6.5.2	Perspectives of Interviewees on the Distributive Equity of REDD+	119
6.6	The Role and Interests of Intermediaries in REDD+	121
6.7	Equity and the Beneficiary Pays Principle.....	125
6.8	Conclusions.....	125
7.	The Agency of Governments in REDD+	127
7.1	Introduction.....	127

7.2 Papua New Guinea and the Coalition for Rainforest Nations.....	127
7.3 Costa Rica.....	133
7.4 Norway	134
7.5 The US.....	137
7.6 Brazil 139	
7.7 Other Countries and Individuals	141
7.8 The Agency and Motivations of State Actors.....	145
7.9 Conclusions.....	148
8. The Agency of Non-State Actors in REDD+	151
8.1 Introduction.....	151
8.2 Overview of the Main Actors in International Forest Policy.....	151
8.2.1 Intergovernmental Organizations.....	151
8.2.2 Non-governmental Actors and Movements	152
8.3 Conservation NGOs and Aid NGOs	152
8.4 The World Bank.....	160
8.5 The Private Sector.....	164
8.6 FAO and UN-REDD	164
8.7 The Centre for International Forestry Research	165
8.8 The International Tropical Timber Organization	167
8.9 Indigenous Peoples Organizations (IPOs).....	167
8.10 The Agency and Motivations of Non-State Actors	168
8.11 Conclusions.....	173
9. Conclusions.....	175
9.1 Introduction.....	175
9.2 The Assumed Effectiveness, Efficiency and Equity of REDD+	175
9.2.1 Assumed Opportunities and Benefits of REDD+	175
9.2.2 Assumed Negative Impacts and Risks of REDD+	177
9.3 Theoretical reflections	180
9.3.1 Agency in REDD+ and its Relevance to Regime Theories.....	180
9.3.2 The Legitimacy of NGOs and the link to interest-based regime theories.....	186
9.4 Recommendations for Future Research	188
9.5 Policy Recommendations: The Need for Transformative Change, Rightsholder Participation and Considering Alternatives to REDD+	189
9.5.1 Reconsider REDD+ Support in Light of the Need for Transformative Change.....	189
9.5.2 Address Power Imbalances and Promote Effective Participation and Agency of Rightsholders	190
9.5.3 Consider Green Radical Alternatives to REDD+	192
References.....	197
Summary	197
Samenvatting	229
Appendix 1: Glossary of Key Terms	235
Appendix 2: Overview of International Forest-related Agreements	241

List of Tables

Table 1.1 List of actors interviewed	14
Table 1.2 Overview of meetings observed within the timeframe of this research.....	16
Table 2.1 Analytical framework to test the level of agency of REDD+ actors.....	32
Table 2.2 Analytical framework to test the motivations of REDD+ agents	33
Table 3.1 Financing Options for REDD+.....	46
Table 3.2 REDD+ support according to donor and recipient countries	47
Table 4.1 Drivers and underlying causes of forest loss and REDD+ responses	69
Table 5.1 Estimated costs of reducing forest loss.....	81
Table 5.2 Opportunity costs of different commodities in Brazil and Indonesia	83
Table 5.3 Forest cover change and REDD+ support.....	93
Table 6.1 Ownership of forests and wooded lands	103
Table 7.1 Membership of the Coalition for Rainforest Nations (as indicated by support to joint submissions and interventions to the UNFCCC process).....	133
Table 7.2 The agency of government actors in REDD+.....	146
Table 7.3 Regime theories and their relevance for government agents in REDD+	147
Table 8.1 REDD+ finance received by selected conservation NGOs	159
Table 9.1 Assumed positive impacts and opportunities of REDD+	176
Table 9.2 Assumed risks and potential negative impacts of REDD+	179
Table 9.3 Direct or indirect contributions by Norway to REDD+ agents	184
Table 9.4 Comparison of policy approaches to reduce forest loss.....	194

List of Figures

Figure 2.1 Agency within the framework of regime theories	34
---	----

List of Acronyms

AOSIS	Alliance of Small Island States
ASEAN	Association of South East Asian Nations
AWG	Ad Hoc Working Group on Long-term Cooperative Action
BINGO	Big International Non-Governmental Organization
CAN	Climate Action Network
C&I	Criteria and Indicators
CBD	Convention on Biodiversity
CBDR	Common But Differentiated Responsibilities
CBFM	Community-Based Forest Management
CDM	Clean Development Mechanism
CfRN	Coalition for Rainforest Nations
CI	Conservation International
CIFOR	Centre for International Forestry Research
CJN!	Climate Justice Now!
COP	Conference of the Parties
CPF	Collaborative Partnership on Forests
CSD	UN Commission on Sustainable Development
CSO	Civil Society Organization
DRC	Democratic Republic of the Congo
EDF	Environmental Defense Fund
ETS	Emissions Trading System
EU	European Union
FAO	Food and Agricultural Organization of the United Nations
FCPF	Forest Carbon Partnership Facility
FIP	Forest Investment Program of the Climate Investment Fund
FoEI	Friends of the Earth International
FPIC	Free Prior and Informed Consent
GDP	Gross Domestic Product
GEF	Global Environment Facility
GFC	Global Forest Coalition
GHG	Greenhouse gas
IANGO	International Advocacy Non-Governmental Organization
ICCA	Indigenous Peoples and Local Community Conserved Territories and Areas
ICDP	Integrated Conservation and Development Project
IFF	Intergovernmental Forum on Forests
IGO	Intergovernmental Organization
IIFB	International Indigenous Forum on Biodiversity
IIFCC	International Indigenous Forum on Climate Change
ILO	International Labour Organization
IPCC	Intergovernmental Panel on Climate Change
IPF	Intergovernmental Panel on Forests
IPO	Indigenous Peoples Organization
ITTA	International Tropical Timber Agreement
ITTO	International tropical Timber Organization
IUCN	The World Conservation Union (formerly International Union for the

	Conservation of Nature and Natural Resources)
IUFRO	International Union of Forest Research Organizations
LCA	Long-term Cooperative Action
LCERs	Long-term Certified Emission Reductions
LULUCF	Land Use, Land-Use Change and Forestry
MOP	Meeting of the Parties
MRV	Monitoring, Reporting and Verification
NGI	Non-Governmental Individual
NGO	Non-Governmental Organization
NLBI	Non-Legally Binding Instrument
ODA	Official Development Assistance
OECD	Organization for Economic Co-operation and Development
PES	Payments for Environmental Services
PNG	Papua New Guinea
REDD+	Reducing Emissions from Deforestation and Forest Degradation, including conservation, sustainable forest management and enhancement of forest carbon stocks
SBI	Subsidiary Body on Implementation
SBSTA	Subsidiary Body on Scientific and Technical Advice
SBSTTA	Subsidiary Body on Scientific, Technical and Technological Advice
SDG	Sustainable Development Goal
SFM	Sustainable Forest management
tCERs	temporary Certified Emissions Reductions
TFAP	Tropical Forest Action Plan
TNC	The Nature Conservancy
UK	United Kingdom
UNDRIPs	United Nations Declaration on the Rights of Indigenous Peoples
UNCCD	United Nations Convention to Combat Desertification
UNCED	United Nations Conference on Environment and Development
UNDP	United Nations Development Program
UNEP	United Nations Environment Program
UNFCCC	United Nations Framework Convention on Climate Change
UNFF	United Nations Forum on Forests
UN-REDD	United Nations Program on Reducing Emissions from Deforestation and Forest Degradation
US	United States of America
WWF	World Wide Fund for Nature

Acknowledgments

First and foremost I would like to thank my supervisors, Prof. Dr. Joyeeta Gupta and Dr. Mirjam Ros-Tonen for their superb support in guiding me through this research. Their inspiring comments, insightful guidance regarding both the theoretical and the methodological aspects of this research, patience, editorial suggestions and invaluable practical support were essential for this undertaking. I also thank the rest of the staff at the University of Amsterdam for their support in practical and more substantive matters. It felt good to be back home, after more than 25 years of absence from the UvA, and more than 10 years in my new home country Paraguay.

I would like to sincerely thank the many people who have provided feedback, comments, or other inputs into this endeavor, including Markko Aho, Charles Barber, Lourdes Barragan, Tewolde Berhan Egziabher, Frederica Bietta, Josefina Braña Varela, Joanna Cabello, Estebancio Castro, Tim Christopherson, Paul Chung, Bas Clabbers, David Cooper, Simon Counsell, Roman Czebeniak, Gerhard Dieterle, Kate Dooley, Gary Dunning, Andreas Fichlin, Horst Freiburg, Ian Fry, Jesus Garcia de la Torre, Rachel Harris, Nils Hermann, Bente Herstad, Victor Illescus, Holly Jonas, Markku Kanninen, Alain Karsenty, Horst Korn, Andrey Laletin, John Lanchberry, Orin Langelle, Victor Lopez, Elke Mannigel, Nele Marien, Francesco Martone, Onel Masardule, Jan McAlpine, Kenn Mondai, Camila Moreno, Samuel Nnah, Gonzalo Oviedo, Philip Pattberg, Helena Paul, Anne Petermann, Ana Pinto Fernandez, Jose Antonio Prado, Peg Putt, Carlos Manuel Rodriguez, Isaac Rojas, Carlos Roxo, Maria Sanz Sanchez, Paul Kanyinke Sena, Gham Shyan Pandey, Marcel Silvius, Cassandra Smithies, Ricardo Ulate, Natalia Unterstell, Tiina Varhanen, Arild Vatn, Antony la Viña, Susanne von Walter and Andrew Wardell. I particularly want to thank my life partner Dr. Miguel Lovera Rivas, who not only inspired me to start this research, but also provided crucial guidance and advice on both the theoretical and methodological aspects. His comments and other feedback, both during the long research process and during the review phase, not only gave me the confidence to continue in moments of doubt, but also sharpened my analysis of some of the social and political dimensions of REDD+.

I want to thank all my friends and colleagues in the Global Forest Coalition (GFC), not just for their feedback, support and flexibility in allowing me to adapt my working hours to the requirements of this research, but especially for the many inspiring discussions we have had about REDD+ and the agents behind REDD+ during the past 15 years. It was the insights and wisdom shared during these discussions that inspired me to carry out research on REDD+ in the first place. I also want to thank many colleagues, friends and allies from the wider Climate Justice movement for their views, analysis and genuine ambition to strive for a radically different system of governing this planet. I very much hope I can use the insights gathered through this research to contribute to that ambition in the years to come.

My GFC work sometimes brings me to unexpected places. Last June I joined colleagues from the Indigenous Information Network in Kenya to visit a local school in the Narok countryside, where the students had been involved in a forest restoration effort at the edge of the threatened Mau forest. We had decided to give them an Earth Day award for their efforts, but we had expected few students would turn up for the ceremony as the visit happened to take place on a public holiday. However, the teachers,

who themselves were the drivers behind the restoration initiative, had asked all children to come, so we were met by some 250 children, neatly dressed in uniform, who gave a beautiful cultural performance. In my words of gratitude, I expressed my thanks to the kids, not just for their forest restoration initiative, but also for showing up at school during a public holiday. I told them that learning sometimes takes a lot of hard effort, including skipping your holidays, but that it was also a blessing if one could learn through-out one's life. And that I myself was an example, "as I was still at school".

Life-long learning is indeed a blessing, one of those truly sustainable forms of human development we should continue to promote in the 21st century. It is what we call a systemic alternative, a non-capitalist opportunity for human beings to grow in terms of real wealth, increasing their wisdom and well-being without depleting the planet's resources. I know that my sisters in the Women's Major Group on Sustainable Development advocated passionately and successfully in 2014 to get a reference to "life-long learning opportunities for all" in Sustainable Development Goal 4. And I am truly grateful to Joyeeta, Mirjam, the Governance and Inclusive Development Programme Group and the Centre for Sustainable Development Studies of the University of Amsterdam, and all others who contributed to this research, for giving me this "life-long learning opportunity".

Last but not least, it was my parents, and especially my father Henk Bilderbeek, a man who has literally read thousands of books during his lifetime, who convinced me of the value of life-long learning. I dedicate this book to him, and to my children, in the hope that they will be equally inspired to become life-long learners.