



Participatory Self-Assessment of REDD+ Readiness in the Republic of Congo

Report on the consultation process prepared for the FCPF

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Supported by:



LIST OF ACRONYMS

CACO-REDD	REDD+ Consultation Platform of Civil Society Organizations and Indigenous Peoples
CIB-OLAM	Congolaise Industrielle du Bois - OLAM
CNIAF	National Center for Inventories and Management of Forests and Wildlife Resources
CN-REDD	National REDD+ Coordination
CODEPA-REDD	Departmental REDD+ Committees
COMIFAC	Central African Forests Commission
CONA-REDD	National REDD+ Committee
EFI	European Forest Institute
ESMF	Environmental and social management framework
FAO	Food and Agriculture Organization
FCPF	Forest Carbon Partnership Facility
FEDP	Forest and Economic Diversification Project of the World Bank
FLEGT	Forest Law Enforcement, Governance and Trade
FOREDCO	National REDD+ Fund
FSC	Forest Stewardship Council
GIS	Geographic Information System
MEFDDE	Ministry of Forest Economy, Sustainable Development and the Environment
MRV	Measuring, Reporting and Verification
NFI	National Forest Inventory
OI-REDD	Independent REDD+ Observer
PCI-REDD+	Environmental and Social Safeguards for REDD+
PCIV	Principles, Criteria, Indicators and Verifiers
PDSA	Agricultural Development Plan
PNAT	National Land Use Plan
PRCTG	Transparency and Governance Capacity Building Project (World Bank)
PRONAR	National Program for Afforestation and Reforestation
REDD+	Reducing Emissions from Deforestation and Forest Degradation, including Sustainable Forest Management, Sustainable Forest Conservation, and Increased Carbon Stocks
REL/FRL	Reference Emission Level / Forest Reference Level
RENAPAC	National Indigenous Peoples Network of the Republic of Congo
R-PP	Readiness Preparation Proposal
SES	Social and Environmental Safeguards
SESA	Strategic Environmental and Social Assessment
SIS	Safeguards Information System
SNAT	National Land Use Plan
UNDP	United Nations Development Program
UNEP	United Nations Environment Program
UN-REDD	United Nations Program for REDD+
VPA	Voluntary Partnership Agreement
WCS	Wildlife Conservation Society
WRI	World Resources Institute

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SUMMARY

This report documents the self-assessment process for stakeholders of the FCPF readiness package (R-Package) report which presents the progress made by the Republic of Congo in moving towards a national management system for REDD+ and defining a work program for completing the REDD+ readiness phase. The process of consultations with stakeholders was conducted by the NGO Wildlife Conservation Society (WCS), following the [Guide to the FCPF Readiness Framework](#).

Consultation workshops were organized with the various stakeholders over a two-week period, between May 18 and May 26 2016. Four key sectors were identified for the consultations: civil society via the CACO-REDD platform, the public sector, the technical and financial partners and the departmental committees for REDD+. It is important to note that since the start of the REDD+ process in 2011, the representatives of the organizations taking part in the REDD+ process activities may have changed for a variety of reasons. This may have influenced the results of the assessment in terms of the quantity and quality of the information according to the representatives of the various sectors participating in the assessment process. It should also be stressed that there is no mechanism to ensure the participation of women in the appointment of representatives and this meant that there was little participation by this group in the consultation process.

The preliminary version of the readiness package, 'R-Package v0', was updated in the light of contributions and observations from the stakeholders. The updated version of the R-Package will be presented at a meeting in June/July 2016 for validation by stakeholder representatives. This report sets out the methodology employed for the self-assessment by the stakeholders, the consultation organization and the results obtained for each stakeholder group on strengths, weakness and recommendations for the REDD+ process and the assessment of progress indicators.

Component 1 – Organization of preparation and consultation

Component 1a. National REDD+ arrangements

The stakeholders recognize that the establishment of institutions and structures for the management of REDD+, through CN-REDD, CONA-REDD and the CODEPA-REDD, offers a means of supervising the REDD+ readiness process, cross-sector coordination, representation at various levels and information feedback, although the grievance mechanism is not yet in place. The lack of budget allocation for these platforms, however, hinders their operation, with the consequence that the capacities of the members of these platforms remain too limited to permit of effective technical supervision. The importance of ensuring that CONA-REDD is embedded in the new government has been pointed out, in liaison with the Prime Minister in particular. It has also been noted that CN-REDD has effective technical supervision and budget management although the empowerment of the fiduciary unit remains a challenge. Rendering the platforms operational with the budgets allocated and enhanced transparency have been identified as priority actions, as has the creation of an as yet non-existent grievance mechanism.

Component 1b. Consultation, participation and awareness

The stakeholders consulted are of the opinion that the CONA-REDD, CODEPA-REDD and CACO REDD+ platforms allow effective representation of the various stakeholder groups, with clear and transparent mechanisms for the self-appointment of representatives within these platforms. Yet the participation of women appears to be limited and there is no mechanism to ensure the participation of women. Similarly, the participation of indigenous peoples varies from department to department. The absence of a budget, however, makes it difficult for these platforms to operate. The existence of a [communication plan](#), the organization of awareness-raising workshops and the translation of documents into local languages have enabled the dissemination of information and communication.

It has been noted, moreover, that representative participation sometimes lacked continuity, and representatives did not always pass on information to the persons or institutions they represent, thereby reducing the effectiveness of the consultations; hence the encouragement to formalize the responsibilities of the

representatives. Efforts are still needed to strengthen the sharing of information with stakeholders, to ensure that documents are passed on with sufficient time for consultation and to improve the traceability of comments and the return of documents. Finally, the stakeholders recommended the creation of a website, the intensification of efforts to communicate with local populations and the dissemination of information within reasonable time periods in order to improve participation and the transparency of the consultations.

Component 2 – Preparation of the REDD+ Strategy

Component 2a. Assessment of land use, drivers of change in the allocation of land, forest laws, policies and governance

The stakeholders consulted identified a number of studies conducted in order to analyze recent land use changes and issues of land tenure and access to resources. They noted the efforts made to access the various strategies and policies in the various sectors which have to be taken into account. The links between REDD+ and other political processes and laws (land laws, forest laws, environmental laws) are established but it was nevertheless stressed that there is a lack of coordination between the various sectoral issues in the analyses, a failure to take account of the drivers of deforestation in the non-forest sector (agriculture, for example) and the links between the main drivers and the actions proposed. Although harmonization of the sectoral provisions remains a challenge, it should nevertheless be noted that REDD+ has been a catalyst for the adoption or revision of laws and policies, such as the [Environment Law](#) and the [Forest Code](#). The resolution of discrepancies between the various sectoral policies, through the coming on stream of CONA-REDD and the deployment of the PNAT (National Land Use Plan), has been prioritized for implementation in the coming months.

Component 2b. Strategic REDD+ options

Although progress has been made on the analysis of strategic options (development of cocoa, conversion timber etc.) the stakeholders underscored the failure to take account of agriculture and fuelwood issues and the mismatch between certain strategic REDD+ options and the actions proposed. The stakeholder representatives recognized that development of the REDD+ strategy has involved a consultation process (public sector, CODEPAs) but that the prioritization of strategic options was not yet complete due to delays in certain necessary elements, such as the SESA and identification of REDD+ implementation areas. Furthermore, although discussions on the land allocation strategy and the implementation of the PNAT have contributed to initiating a cross-sector dialog, the participants recommended that coordination between sectors be strengthened, to allow improved integration of the national REDD+ strategy with other sectoral policies and to develop a detailed action plan to address potential conflicts.

Component 2c. Implementation framework

All the stakeholder groups noted the remarkable progress made in the adoption of laws and regulations for REDD+, although a number of laws (environment, forest framework, mining framework) and implementation decrees have yet to be adopted in order to render the legal framework enforceable, in particular the inclusion of REDD+ in the new draft Forest Code, in spite of the slowness of the enforcement processes. Although draft provisions exist to define [carbon rights](#), the [benefit-sharing arrangement](#) and the [registry system for REDD+](#), it appears that these draft provisions are little known. Because of this, the dissemination of the draft provisions has been requested in order to invite inputs from the various stakeholders and the completion of these important frameworks for the operationalization of REDD+.

Component 2d. Social and environmental impacts

The stakeholders recognized the existence of the [Principles, Criteria and Indicators \(PCI-REDD+\)](#) as a means of addressing the social and environmental safeguards and the environmental impact assessments. However, their operationalization and applicability to the REDD+ strategy are yet to be defined. The representatives also noted that the [SESA](#) and [ESMF](#) process was under development with the support of a multi-actor panel which oversees consultations at local level. The participants urged CN-REDD to expedite the process in order to complete the SESA and ESMF and to prioritize the strategic options of the national REDD+ strategy, taking

the finalized versions of these instruments into account.

Component 3 – Reference emission levels/reference levels

By consensus, the ministry-based REDD+ focal points and the CODEPA-REDD decided not to assess this component due to the lack of technical expertise in this subject. The members of CACO-REDD debated in plenary session on the importance of assessing this component, which requires technical knowledge of the subject. The group agreed that civil society could not exclude certain components of the assessment and that the workshop contributed to the capacity building process. Those members who were interested and/or had knowledge of the subject then formed the group which went on to perform an assessment of the component.

The representatives of the technical and financial partners recognized the substantial progress constituted by the presentation of the [reference level to the UNFCCC](#), on the basis of reliable historical data, the results of which are comparable to those obtained for the ERPD which used a different methodology. It was noted, however, that there is a problem of consistency between the REL results and the strategic options (on agriculture in particular) and a lack of justification for the adjustments. Furthermore, work on the allometric equations has yet to be carried out. A closer collaboration with the universities was recommended for this work.

Component 4 – Forest monitoring systems and safeguard measures

Component 4a. National forest monitoring system

This component has not been assessed by civil society due to a lack of time. By consensus, the ministry-based REDD+ focal points and the CODEPA-REDD decided not to assess this component due to the lack of technical expertise in this subject.

The representatives of the technical and financial partners highlighted the existence of numerous tools to support the MRV system, defined conceptually, but also the lack of consistency between these tools and the lack of centralization and access to data. It was recommended that the system be operationalized, in particular through the implementation of pilot activities and the establishment of collaboration with the universities of the DRC. Finally, it was recognized that the mandates were partially defined with the existence of a [MRV system](#) at the CNIAF but that mandates for the procedures and dissemination of results must be prioritized in the readiness activities.

Component 4b. System of information on the multiple advantages, other impacts, governance and safeguards

The stakeholders noted progress in the identification of non-carbon benefits, in particular through the NFI socio-economic surveys and the [mapping of non-carbon benefits](#). The capacities of the stakeholders with regard to these subjects nevertheless remain limited and it was recommended that the strengthening of their capacities be promoted in order to enable their participation. Moreover, it was observed that [reflection on the SIS](#) had been initiated, as had a dialog on the role of the OI-REDD (Independent REDD + Observatory) but it will be necessary to operationalize the SIS, currently defined conceptually, in particular by clarifying the objectives in order to take account of the needs of the donors, to define the responsibilities of the various actors and the involvement of civil society, including the OI-REDD. The dissemination of information on the SIS to stakeholders was also encouraged as the level of knowledge on this subject varied widely between the stakeholder groups consulted.

1. INTRODUCTION

Since 2011, the Republic of Congo has undertaken a number of actions with a view to establishing a strategy for reducing emissions from deforestation and forest degradation (REDD+). The REDD+ readiness activities include those designed to improve the monitoring of greenhouse gas emissions, to identify the drivers of deforestation and policies for the management of national resources, and to promote engagement and understanding of REDD+ among the public, in particular with the financial support of the FCPF. Through the National REDD+ Coordination (CN-REDD) at the Ministry of Forest Economy, Sustainable Development and the Environment, the Republic of Congo is currently in the process of finalizing its R-Package in order to assess these activities and to allow Congo to progress to the REDD+ implementation phase on the basis of emissions reduction programs. The result of this assessment will be a report on the R-Package in Congo, which will be submitted for assessment by the FCPF in June 2016. The R-Package should present the progress made by the Republic of Congo in order to move towards a national REDD+ management system, report the results of the participatory self-assessment process and define the work program for finalizing the REDD+ readiness phase.

A preliminary R-Package report was produced by the CN-REDD, following the [Guide to the FCPF Readiness Framework](#) and which was submitted to stakeholder consultations within the Republic of Congo, for amendment. In order to guarantee an independent self-assessment process, CN-REDD, in collaboration with the FCPF, designated the NGO Wildlife Conservation Society (WCS) to facilitate the stakeholder consultations, document the participatory self-assessment process and ensure that account was taken of the contributions of stakeholders in the R-Package report prior to final submission to the FCPF. The WCS team was therefore responsible for the following activities:

- Updating and dissemination of the preliminary report on the R-Package, setting out the state of the REDD+ readiness process forming the subject of self-assessment;
- Organization and facilitation of a series of consultation meetings with REDD+ stakeholders within Congo, for the purposes of self-assessment of the content of the preliminary report on the R-Package;
- Collection of stakeholder contributions and observations on the preliminary report on the R-Package;
- Updating of the R-Package report in the light of the stakeholder contributions and observations;
- Submission of the final R-Package report at a national validation workshop

This report documents the process conducted for stakeholder self-assessment. This report examines the R-Package, including the methodology employed, the organization of consultations and the results obtained for each stakeholder group on strengths, weakness and recommendations for the REDD+ process and the assessment of progress indicators.

2. METHODOLOGY

CN-REDD selected representatives from the various stakeholder groups to participate in the consultations, on the basis of the identification of appropriate stakeholders detailed in the [REDD+ Preparation Proposal \(R-PP\)](#) and according to their interest and/or involvement in the REDD+ process, and also the explanations given in the [Methodology Note for the R-Package](#) of the Republic of Congo, published by CN-REDD. It is important to note that since the start of the REDD+ process in 2011, the representatives of the organizations taking part in the REDD+ process activities have frequently changed for a variety of reasons. This may have influenced the results of the assessment in terms of the quantity and quality of the information according to the representatives of the various sectors participating in the assessment process. This meant that some participants were only partially familiar with the REDD+ activities because they had only recently become involved in the process.





The methodology was developed on the basis of the [Guide to the FCPF Readiness Framework](#) published in June 2013. The assessment framework consists of 34 criteria organized into 4 components and 9 sub-components of REDD+ readiness, namely:

- Component 1. Organization of preparation and consultation
 - Component 1a. National REDD+ management arrangements
 - Component 1b. Consultation, participation and awareness
- Component 2. Preparation of the REDD+ strategy
 - Component 2a. Assessment of land use, drivers of change in the allocation of land, forest laws, policies and governance
 - Component 2b. Strategic REDD+ options
 - Component 2c. Implementation framework
 - Component 2d. Social and environmental impacts
- Component 3. Reference emission levels/reference levels
- Component 4. Forest monitoring systems and safeguard measures
 - Component 4a. National forest monitoring system
 - Component 4b. System of information on the multiple advantages, other impacts, governance and safeguards

A series of questions to broach each criterion and identify the information relevant to each sub-component is also provided. On the basis of this assessment framework, WCS adapted and simplified the questions for each criterion after the first civil society meeting, in order to facilitate understanding on the part of participants and to ensure that the required information was collected (see Annex 3 – Questions adapted for the assessment). In fact, the participants had some difficulty in understanding the questions proposed in the FCPF guide.

At the start of each meeting, WCS presented the objectives and methodology of the assessment, followed by a presentation by CN-REDD of the progress made on each component of the REDD+ process, to ensure that the participants were aware of this for the assessment. CN-REDD then left the meeting to allow open discussion between the participants.

In order to deal with each component within the time allowed, working groups were formed and facilitated. For each criterion on an aspect of the REDD+ process, the groups were asked to identify the achievements, strengths and weaknesses and to give recommendations for the activities needed to improve the weak points and finalize the REDD+ readiness process. The working groups then identified a progress indicator for each criterion, thereby obtaining a visual summary as in the FCPF guide:

-  Substantial progress
-  Good progress, more efforts required
-  More efforts required
-  No progress

Following the group work, the participants reassembled and debated the results of their discussions in plenary session in order to complete their reflection and to reach consensus on the assessment for the sector consulted. The summary of comments by component and the assessment of indicators for each stakeholder group are given in Section 4 of this document. For each stakeholder group, the detailed observations for each assessment criterion are given in Annex 3. Finally, WCS supported CN-REDD in updating the R-Package draft 0 report in the light of the stakeholders' contributions and observations. The updated version of the R-Package was presented at a meeting on July 5, 2016 for validation by the representatives of stakeholders involved in the process.

3. ORGANIZATION OF THE CONSULTATIONS

3.1. Consultation of stakeholders

Consultation workshops were organized with the various stakeholders over a two-week period, between May 18 and May 26 2016. CN-REDD identified four key sectors for the consultations: civil society via the CACO-REDD platform, the public sector, the technical and financial partners and the departmental committees for REDD+. It should be noted that the REDD National Committee (CONA-REDD) was not consulted directly because its representatives participated in the consultation process through the sectoral meetings. It should also be stressed that there is no mechanism to ensure the participation of women in the appointment of representatives and this meant that there was little participation by this group in the consultation process.

Civil society: CACO-REDD

An initial meeting was organized with representatives of Congolese civil society engaged in the REDD+ process at national level through its REDD+ Consultation Platform (Cadre de Concertation REDD société civile et populations autochtones, CACO-REDD). CACO-REDD was created in 2011 to ensure monitoring of the REDD+ process by civil society and the indigenous peoples. It is governed by a 29-member Steering Committee, 16 members representing civil society and 13 members representing the indigenous peoples, themselves grouped within RENAPAC (National Network of Indigenous Peoples of Congo). The meeting was held on May 18, 2016 at the Espace Traiteur restaurant in Brazzaville. 24 representatives attended the day-long meeting (See Annex 1 – List of participants).

Public sector: Ministry-based REDD+ focal points

In order to ensure the cross-cutting nature of the REDD+ process, each ministry performing a key REDD+ role has designated a REDD+ focal point: forests, environment, agriculture, mines, energy, plan, finance, territory administration, land affairs, scientific research, health. Their mandate is to promote and coordinate the REDD+ process within their respective ministries. 19 public sector representatives attended the day-long meeting held on May 20, 2016 at the Radisson Hotel in Brazzaville (see Annex 1 – List of participants).

Meeting with Technical and Financial Partners

Those technical and financial partners involved in supporting the REDD+ process in Congo were invited to attend a consultation meeting which was held on May 24, 2016 at the WCS office in Brazzaville. Nine representatives of the technical and financial partners and the private sector attended this meeting (see Annex 1 – List of participants). It should be noted that only one private sector representative attended this meeting due to the low level of engagement in the REDD+ process on the part of this sector to date, and that a meeting was organized with representatives of the FAO who were not able to attend the meeting on May 24.

Actors at departmental level: CODEPA-REDD

Given that decentralization was adopted as a strategy for the implementation of the REDD+ process in the Republic of Congo, a Departmental REDD Committee (CODEPA-REDD) was created in each of the eleven departments in order to facilitate the involvement of stakeholders at departmental level. 26 delegates representing all stakeholders sit on each of the twelve Departmental REDD Committees: the government with 10 delegates, civil society with 8 delegates, the indigenous populations with 5 delegates and the private sector with 3 delegates. CN-REDD invited a representative of each CODEPA-REDD to participate at the consultation meeting. 8 representatives attended the meeting held on May 26, 2016 at the WCS offices in Brazzaville (see Annex 1 – List of participants).

3.2. Validation workshop

In view of the findings of the self-assessment process and the difficulties expressed by some stakeholders in assessing some components, it was deemed appropriate to offer CN-REDD the opportunity to provide explanations and clarifications on the work done at the validation workshop held on Tuesday July 5, 2016.

The first consultation phase was conducted by the facilitator WCS alone, without the participation of CN-REDD. This methodological choice guaranteed an independent assessment and freedom of expression for each of the stakeholders. However, the disadvantage of this method lay in the fact that - without any people representing CN-REDD during consultation meetings - it has been impossible to answer some of the questions and solve some of the problem raised by the participants regarding R-Package Draft 0. Furthermore, although all are in agreement over the significant weaknesses of the process in terms of communication, this should not penalize and negatively impact other components where progress has in fact been made, even though this is not communicated sufficiently effectively to the stakeholders.

Indeed, in the results from the first consultation process it is noted that many criteria are under-scored due to this lack of communication as reflected in the criteria 7 (*participation and commitment of major stakeholders*), 9 (*information dissemination and access to information*), 10 (*use and disclosure of the results of consultations*) assessed in yellow.

However, these two aspects combined resulted in an assessment which expressed the lack of communication more markedly than the actual progress made in each of the components. The approach of revisiting the R-Package assessment, although open to criticism, was therefore decided upon by CN-REDD, the facilitator (WCS) and the FCPF team.

During the workshop, the CN-REDD team organized themselves in order (i) to give a detailed presentation of the progress of the process (official evidence such as criterion 1, for example, with the presentation of existing decrees) and (ii) to assign one person to each of the working groups of the workshop to act as a resource person and answer stakeholders' questions where necessary.

Questions asked by the participants prompted clarification of important points regarding the analysis methodology (choice of colors) and the period to be taken into consideration for the assessment of the R-Package. In the light of these discussions, and the additional information provided by CN-REDD, the stakeholders present at the workshop revised their assessment of the degree of advancement and re-assessed certain criteria where necessary.

This being said, some weaknesses persisted, in particular in the level of representation and the proportion of groups from each sector (cf. same sectors as for the first consultation phase, namely (i) the public sector, (ii) civil society, (iii) the CODEPAs and (iv) the TFPs). Thus, the public sector had 22 members as against 5 for civil society, 1 for the CODEPAs and 6 for the TFPs. Due to the attendance of only one CODEPA representative at the workshop, it was agreed that the CODEPA member should join the public sector. The three groups formed for the workshop were therefore as follows: (i) the public sector, (ii) civil society and (ii) the technical and financial partners. Finally, this workshop offered the stakeholders the opportunity to review each criterion in more depth, in full knowledge of the facts, thereby gaining information on the actual progress of the process.

4. RESULTS OF CONSULTATIONS ON THE STAKEHOLDER SELF-ASSESSMENT PROCESS

4.1. Results of the self-assessment process: strengths, weaknesses and recommendations

This section presents a summary of the results of the consultations for each sub-component and is differentiated by sector consulted, in particular the strengths, weaknesses and recommendations. The detailed observations for each sub-component and assessment criteria are given in Annex 3.

Component 1 – Organization of preparation and consultation

Component 1a. National REDD+ arrangements

- **Civil society:** The representatives of civil society recognize that the establishment of institutions and structures for the management of REDD+, through CN-REDD, CONA-REDD and the CODEPA-REDD, offers a means of supervising the REDD+ readiness process, cross-sector coordination and information feedback, although the grievance mechanism is not yet in place. However, the lack of budget allocation for these platforms renders their operationalization problematic and the private sector is poorly represented. Moreover, civil society has doubts about real respect for the quotas within CODEPA-REDD, in terms both of respect for the committee seats reserved for the rights-holders and the increased number of public sector representatives. CACO-REDD also expressed its concern regarding the transparency of the budgets for REDD+, in particular the resources allocated to activities in support of civil society. The operationalization of the platforms and allocated budgets, and heightened transparency, were identified as priority actions.
- **Public sector:** The ministry-based REDD+ focal points noted that the institutions for REDD+ had clearly been put in place (CN-REDD, CONA-REDD, CODEPA-REDD). This makes representation at various levels and cross-sector coordination possible. They commented, however, that the lack of a budget limits the operationalization of CONA-REDD and the CODEPA-REDD, with the consequence that the capacities of the members of these platforms remain too limited to permit of effective technical supervision. This point was identified as a priority in order to ensure effective governance of the REDD+ process. It has also been noted that CN-REDD has effective technical supervision and budget management although the empowerment of the fiduciary unit remains a challenge. Finally, the representatives recognized that traditional or customary mechanisms exist which could underpin the construction of an as yet non-existent formal information feedback and grievance mechanism.
- **Technical and financial partners:** The representatives recognized that the establishment of CN-REDD, CONA-REDD and the CODEPA-REDD constitutes progress in implementing a management structure for REDD+, but that with the exception of CN-REDD, the other structures should still be operationalized through the allocation of budgets dedicated to their operation and improved transparency in decision-making on the part of these bodies. The importance of ensuring that CONA-REDD is embedded in the new government was noted, in liaison with the Prime Minister in particular. In addition, the participants were of the opinion that CN-REDD had a good capacity for technical supervision even though inter-ministerial coordination remains problematic, and also that the management of funds was satisfactory despite not being directly managed by CN-REDD. Finally, the representatives of the technical and financial partners highlighted the poor dissemination of information and the absence of the grievance mechanism.

- **CODEPA-REDD:** The CODEPA-REDD representatives assessed the progress of this sub-component primarily in relation to the CODEPAs. The establishment by decree of the CODEPAs represents a substantial advance in ensuring the representation of the various stakeholder groups at departmental level. It was noted that the CODEPAs are operational, as they have already held a number of meetings, but that the absence of funding and equipment (internet access etc.) means that they cannot yet operate in a regular and effective way, in particular as regards involving representatives of indigenous peoples. It was also pointed out that the presence of CN-REDD facilitators in three departments has helped to strengthen the technical supervision and information capacity within the CODEPAs and that it would therefore be important to extend this arrangement to other departments. It was recommended that the financial and material means of the CODEPAs should be facilitated, and their communication capacities strengthened, in order to ensure that they can operate in an effective and consistent manner.

Component 1b. Consultation, participation and awareness

- **Civil society:** CACO-REDD is of the opinion that the CONA-REDD, CODEPA-REDD and CACO REDD+ platforms allow effective representation of the various stakeholder groups, with clear and transparent mechanisms for the self-appointment of representatives within these platforms, including indigenous peoples and women. The absence of a budget, however, renders the operation of these platforms problematic and communication and reporting within the CODEPAs are not inclusive. The existence of a [communication plan](#), the organization of awareness-raising workshops and the translation of documents into local languages have enabled the dissemination of information and communication. Efforts are still needed to strengthen the sharing of information with civil society, to ensure that documents are shared with sufficient time for consultation and to improve the traceability of comments and the return of documents. Improved communication towards the departments and local populations through the CODEPAs and CACO-REDD, together with improvements to the consultation process (traceability, return of documents) were included in the recommendations, as was the distribution and use of communication tools that are adapted to local populations. It was noted that there is scope for improvement in the process for the selection and appointment of civil society representatives within the CODEPAs who participate at the meetings in Brazzaville.
- **Public sector:** The public sector representatives recognized that the existence of the various platforms referred to above has facilitated the consultations, promoting commitment on the part of stakeholders through concertation workshops during which the documents are presented and discussed. Yet the participation of women appears to be limited as the group of focal points is largely male, and there is no mechanism to ensure the participation of women. The group noted that the time between the dissemination of documents and the consultation was not sufficient to allow effective participation and that the consultations were superficial with sometimes long periods for the return of documents. It was noted, moreover, that representative participation sometimes lacked continuity, and representatives did not always pass on information to the persons or institutions they represent, thereby reducing the effectiveness of the consultations; hence the encouragement to formalize the responsibilities of the representatives (focal points within the ministries) to disseminate information within their stakeholder groups. Finally, the focal points recommended the creation of a website, the intensification of communication efforts and the dissemination of information within reasonable time periods in order to improve participation and the transparency of the consultations.
- **Technical and financial partners:** The participants pointed out that a number of mechanisms (mailing list, information sheets) and platforms (CACO-REDD, focal points) exist to allow the participation of stakeholders. The quality of participation was questioned, however, in particular the legitimate representation of the indigenous peoples and the continuity of representation by the ministry-based focal points. The participants also noted the lack of transparency on the modalities of the consultation process and on the dissemination of results, in particular

in the records of the consultation discussions. The dissemination of information also appears to be problematic, not allowing stakeholders access to documents in sufficient time or by an appropriate method (limited internet access). It was recommended that the role of the departmental representatives in relaying and disseminating information be strengthened.

- **CODEPA-REDD:** The representatives stressed that the CODEPAs were involved in the consultation process and they allow the various stakeholder groups to choose their representatives to participate in the consultations. Although efforts have been made in some departments to conduct the meetings in the local language and to integrate the indigenous peoples, young people and women, it was noted that the involvement of these groups varied from department to department according to the prioritization for forest development and REDD+. The participants also highlighted the problem of access to information and to documents prior to the consultations, and the lack of systematic return of the documents consulted within the time periods set at the meetings. Improvement of the conduct of consultations was adopted as a recommendation.

Component 2 – Preparation of the REDD+ Strategy

Component 2a. Assessment of land use, drivers of change in the allocation of land, forest laws, policies and governance

- **Civil society:** The CACO-REDD identified the relevant existing instruments on land use and land tenure systems (laws, plans) but has not detailed how these instruments were taken into account in establishing links and the ranking of drivers of deforestation. It was remarked, however, that the multi-sector approach to this question was taken into account and that the assessment of these questions for REDD+ had contributed to the amendment of several provisions, such as the revision of the Environment Law and the Forest Code which now recognizes customary rights. The resolution of discrepancies between the various policies and the deployment of the PNAT (National Land Allocation Plan) has been prioritized for implementation in the coming months.
- **Public sector:** The ministry-based focal points within the ministries noted the existence of an analysis of the current situation with respect to land changes, land issues and laws and policies and an assessment of the drivers of deforestation and other relevant studies which allowed the drivers to be ranked. The links between REDD+ and other political processes and laws (land laws, forest laws, environmental laws) have also been established, REDD+ having been a catalyst for the adoption or revision of laws or policies, although their implementation and the harmonization of sectoral provisions remain a challenge. The group therefore recommended that REDD+ should be formally involved in the sectoral PNAT working groups and that landowners should be more actively involved to ensure their support for the activities proposed for REDD+ in the long term. The failure to leverage existing experiences in sustainable agriculture was signaled as a weakness.
- **Technical and financial partners:** The representatives identified a number of studies conducted in order to analyze recent land use changes and issues of land tenure and access to resources. They noted the efforts made to access the various strategies and policies in the various sectors which have to be taken into account. It was nevertheless stressed that there is a lack of coordination between the various sectoral issues in the analyses, a failure to take account of the drivers of deforestation in the non-forest sector (agriculture, for example) and the links between the main drivers and the actions proposed. The operationalization of CONA-REDD in order to address these questions and the realization of the link between REDD+ and the PNAT were identified as priority actions.

- **CODEPA-REDD:** Although the representatives highlighted the lack of information on the analyses of changes in land use and land issues, it was noted that discussions had taken place at departmental level on the identification and ranking of the drivers of deforestation, their link with the proposed REDD+ activities and the implications for forest laws and policies. The extent to which the inputs from these discussions have been taken into account in the [national REDD+ strategy](#) currently under preparation has yet to be verified, in particular the measures for addressing illegal deforestation. Similarly, discussions on land issues were initiated during the consultations at departmental level, but it was noted that information on the action plans for tackling these issues remains limited and there is a disconnect between the national and department level process for land allocation. It was recommended that the implementation of land reforms be expedited, including the law on land use planning, with the support of CONA-REDD.

Component 2b. Strategic REDD+ options

- **Civil society:** The representatives noted the low level of civil society participation in drawing up the REDD+ strategy and the need to place emphasis on firewood, charcoal production and agriculture as priority actions. The lack of consistency between land-related situations and state goals for afforestation and access to land was also remarked upon. Finally, although a dialog on the development of the national land allocation plan (PNAT) has been initiated, as yet there is no detailed action plan for addressing potential conflicts between the national development plan, other sectoral policies and REDD+. The group's recommendations placed emphasis on the urgent need to adopt the PNAT and on the enforcement of laws with relevance to REDD+ and the dissemination of draft provisions to CACO-REDD.
- **Public sector:** The public sector representatives recognized that the development of the REDD+ strategy had prompted a multi-sector consultation process at public sector level (REDD+ focal points, panel staffed by high-level segment and 'experts') yet without having culminated in the prioritization of strategic options due to delays in certain necessary elements such as the SESA. It was also noted that, in spite of the multi-sector workshops and those involving the food processing industry, uncertainties remain as to the involvement of this sector in the establishment of strategic options. The recommendation was therefore to work with this sector and to finalize the SESA and other relevant elements (such as the application of the PCI) in order to prioritize the strategic actions.
- **Technical and financial partners:** Although progress has been made on the analysis of strategic options (development of cocoa, conversion timber etc.) the representatives of the technical and financial partners underscored the failure to take account of agriculture and fuelwood issues and the mismatch between certain strategic REDD+ options and the actions proposed. Moreover, the need was noted to clarify the implementation of key actions (good forest practices, agriculture etc.) and to identify the implementation areas in order to prioritize the strategic options appropriately. This point forms one of the priority recommendations to allow the finalization of a coherent REDD+ strategy.
- **CODEPA-REDD:** The participants recognized that discussion on the prioritization of strategic options and their social and environmental feasibility had been initiated and that the CODEPAs had been involved in it, but the potential for reduction had yet to be defined. The participants urged the sharing of the results of these discussions as there appears to be a lack of clarity on the finalization of the national REDD+ strategy. Furthermore, although discussions on the land allocation strategy and the implementation of the PNAT have contributed to initiating a cross-sector dialog, the participants recommended that coordination between sectors be strengthened, to allow improved integration of the national REDD+ strategy with other sectoral policies.

Component 2c. Implementation framework

- **Civil society:** The CACO-REDD noted that significant progress has been made on the adoption of laws and regulations for REDD+, in particular the incorporation of REDD+ into the [new draft Forest Code](#), in spite of the slowness of the implementation processes. Although draft provisions exist for the definition of carbon rights, the benefit-sharing arrangement and the registry system for REDD+, it appears that these draft provisions are not well known to CACO-REDD and that experience on these subjects is lacking; therefore the dissemination of the draft provisions was requested in order to allow inputs from the various stakeholders. Similarly, the training of members on the benefit-sharing arrangements and the sale of carbon was deemed necessary.
- **Public sector:** The participants recognized that a number of laws and regulations have been adopted which will facilitate the implementation of REDD+, with regard both to the level of governance structures (CONA- REDD, CODEPA-REDD) and key issues (land use planning, indigenous people, forestry system) However, a large number of implementation decrees have yet to be adopted in order to make this legal framework enforceable. Furthermore, the focal points identified that a number of draft provisions for the implementation framework (carbon rights and sharing, complaints regulations, benefit-sharing arrangement, register of REDD+ activities) have been drawn up and they recommended that the processes be expedited in order to organize consultations and to finalize the important frameworks for the operationalization of REDD+. The development of a specific and publicly accessible REDD+ database was also called for.
- **Technical and financial partners:** The representatives noted a positive REDD+ integration approach in the Forest Code and the Environment Law currently under revision – rather than creating a new legal framework – although these laws have yet to be finalized. Concerns over the transparency of the Forest Code finalization process were expressed. The participants noted progress in the drafting of the provisions on the implementation framework, in particular with the conduct of studies on the [benefit-sharing arrangement](#) and on the [legal and implementation framework](#). It was similarly stressed that reflection had been initiated on carbon rights, the REDD+ financing modalities and the registry of projects but that the provisions and mechanisms for implementing these elements were as yet non-existent. The representatives recommended in particular that the existing experiences of LDFs should be capitalized on and that local development NGOs be drawn upon for defining the benefit-sharing arrangement and for training communities on the use of the funds.
- **CODEPA-REDD:** The representatives noted substantial progress on the incorporation of REDD+ in the revised Environment Law and Forest Code, as well as the creation by presidential decree of management structures for REDD+ and the potential role of CONA-REDD in influencing the bringing forward of sectoral laws. It was also noted that discussions had been initiated on the guidelines on [carbon rights](#), [benefit-sharing](#), the [grievance mechanism](#) and the [REDD+ registry](#). The participants urged that priority be given to finalizing the provisions to establish these guidelines and mechanisms, in particular on the benefit-sharing arrangement, in order to allow field trials to be put in place.

Component 2d. Social and environmental impacts

- **Civil society:** The participants recognized the existence of the [Principles, Criteria and Indicators \(PCI-REDD+\)](#) as a means of addressing the social and environmental safeguards and the environmental impact assessments. However, civil society noted that the SESA had not benefited from a participatory process for the identification of social and environmental impacts and these representatives therefore requested that the capacities of stakeholders be strengthened in this area, and requested the distribution of a preliminary [draft of the SESA](#) and the [ESMF](#) to the stakeholders¹.
- **Public sector:** The focal points noted that the PCI-REDD+ had been developed through a participatory process but that they are not operational and therefore it is necessary to disseminate them and to train the actors on this instrument. It was also mentioned that the SESA is currently in the process of

consolidation under the responsibility of a multi-actor panel which supervises the consultations at local level. The participants urged CN-REDD to expedite the process in order to complete the SESA and ESMF and to prioritize the strategic options of the national REDD+ strategy, taking the finalized versions of these instruments into account.

- **Technical and financial partners:** The representatives recognized that the social and environmental aspects are taken into account in the context of the PCI-REDD, which were developed through a participatory process. The use of the PCI-REDD for REDD+ activities has yet to be clarified. As work on the SESA and the national REDD+ strategy is currently under way in parallel, the participants pointed out that the national REDD+ strategy must be revised to incorporate the results of the SESA.
- **CODEPA-REDD:** The CODEPA representatives noted that the social and environmental impact had been identified in two departments and they recommended that this identification should proceed in the other 10 departments in order to define appropriate strategic options. It was stressed that the results of the SESA could not yet been fully taken into account for prioritizing the strategic options. The participants urged that the SESA and ESMF preparation process be expedited in order to finalize the REDD+ strategy.

Component 3 – Reference emission levels/reference levels

- **Civil society:** The members of CACO-REDD debated in plenary session on the importance of assessing this component, which requires technical knowledge of the subject. The group agreed that civil society could not exclude certain components of the assessment and that the workshop contributed to the capacity building process. Those members who were interested and/or had knowledge of the subject then formed the group which went on to perform an assessment of the component. This group nevertheless recognized the need to strengthen the capacities of CACO-REDD on the technical aspects of the REL and requested access to the data and documents.
- **Public sector:** By consensus, the ministry-based REDD+ focal points decided not to assess this component due to the lack of technical expertise in this subject. Very few focal points were aware that the [REL for Congo](#) had been published in January 2016. They had therefore not had the opportunity to assess the content of the component and considered themselves unable to express an opinion on the subject.
- **Technical and financial partners:** The representatives recognized the substantial progress constituted by the presentation of the REL to the UNFCCC, on the basis of reliable historical data, the results of which are comparable to those obtained for the ERPD which used a different methodology. It was noted, however, that a problem of consistency exists between the results of the REL and the strategic options (on agriculture in particular) and a lack of justification for the adjustments. Furthermore, work on the allometric equations has yet to be carried out. A closer collaboration with the universities was recommended for this work.
- **CODEPA-REDD:** By consensus, the CODEPA-REDD decided not to assess this component due to the lack of technical expertise in this subject.

¹ It is noted that a consultation process on the SESA was launched by CN-REDD during the R-Package consultation phase.

Component 4 – Forest monitoring systems and safeguard measures

Component 4a. National forest monitoring system

- **Civil society:** This component has not been assessed by civil society due to a lack of time.
- **Public sector:** By consensus, the ministry-based REDD+ focal points decided not to assess this component due to the lack of technical expertise in this subject.
- **Technical and financial partners:** The participants highlighted the existence of numerous tools to support the MRV system, defined conceptually, but also the lack of consistency between these tools and the lack of centralization and access to data. It was recommended that the system be operationalized, in particular through the implementation of pilot activities and the establishment of collaboration with the universities of the DRC. Finally, it was recognized that the mandates were partially defined with the existence of a [MRV system](#) at the CNIAF but that mandates for the procedures and dissemination of results must be prioritized in the readiness activities.
- **CODEPA-REDD:** By consensus, the CODEPA-REDD decided not to assess this component due to the lack of technical expertise in this subject.

Component 4b. System of information on the multiple advantages, other impacts, governance and safeguards

- **Civil society:** CACO-REDD noted that they were aware of the list of non-carbon benefits, whereas the social and environmental impacts have yet to be identified through the SESA process. Moreover, civil society mentioned that they had participated in workshops on the SIS but that no documents on the structure, mandates and resources have yet been distributed, an action requested by the civil society representatives in their recommendations.
- **Public sector:** The participants noted that although the NFI had already carried out a national forest survey – in which the stakeholders were involved – understanding and identification of the non-carbon benefits remain limited. For all these reasons, it was recommended that activities to raise awareness of the non-carbon benefits for local communities be reinforced. Similarly, the focal points highlighted the fact that the SIS mandates and resources are not yet in place.
- **Technical and financial partners:** The partners recognized that the non-carbon benefits have been identified, although the results of the mapping have not yet been published. It was also noted that reflection on the SIS had been initiated, as had a dialog on the role of the OI-REDD (Independent REDD + Observatory) but it will be necessary to operationalize the [SIS](#), currently defined conceptually, in particular by clarifying the objectives in order to take account of the needs of the donors, to define the responsibilities of the various actors and the involvement of civil society, including the Independent REDD + Observatory.
- **CODEPA-REDD:** The CODEPA representatives noted that the non-carbon benefits had been identified in two departments and they recommended that this identification should proceed in the other 10 departments. They also urged CN-REDD to initiate discussions with the CODEPA-REDD on the preparation and implementation of the Safeguard Information System and its multiple benefits.

Summary of the results of self-assessment for all sectors

No	Criterion for	Strengths	Weaknesses	Recommended activities	Indicator
Component 1. Organization of preparation and consultation					
1a. National REDD+ management arrangements					
1	Accountability and transparency	<ul style="list-style-type: none"> • Creation of CN-REDD, CONA-REDD and the CODEPAs by presidential decree • Representation at national and departmental level 	<ul style="list-style-type: none"> • CONA-REDD and the CODEPAs not operational due to lack of funding • Pending the allocation of funding, the CODEPAs are operating in an ad hoc manner • Inadequate capacities and ownership of the REDD+ process on the part of members of CONA-REDD and the 	<ul style="list-style-type: none"> • Strengthen the capacities of CONA-REDD and the CODEPAs • Improve communication on the management decisions taken in meetings 	
2	Operational mandate and budget	<ul style="list-style-type: none"> • A presidential decree precisely defines the mandates for CN-REDD, CONA-REDD and the CODEPA-REDD 	<ul style="list-style-type: none"> • CONA-REDD and the CODEPA-REDD have no budget • Lack of material resources for the CODEPAs (computing, internet access etc.) • Just one CONA-REDD meeting 	<ul style="list-style-type: none"> • Include a budgetary heading in the State budget to allow the operation of CONA-REDD and the CODEPA-REDD 	
3	Mechanisms for multi-sector coordination and cross-sector collaboration	<ul style="list-style-type: none"> • The establishment of CONA-REDD should allow multi-sector and cross-sector coordination through its representatives • Designation of ministry-based REDD+ focal points connected with REDD+ • Inter-ministerial panel staffed by high-level segment 	<ul style="list-style-type: none"> • CONA-REDD is not operational, therefore multi-sector and cross-sector coordination is not effective • Lack of continuity in REDD+ focal points • No REDD+ activities at local level to demonstrate cross-sector coordination • Coordination with non-forest sectors remains problematic 	<ul style="list-style-type: none"> • Operationalize CONA-REDD so that it can ensure multi-sector and cross-sector coordination, in liaison with the Prime Minister in particular • Expedite progression to the investment phase in order to implement activities 	
4	Technical supervision capacity	<ul style="list-style-type: none"> • Good technical supervision for CN-REDD though its various units and those of the CNIAF • Existence of CN-REDD representatives in 3 departments 	<ul style="list-style-type: none"> • Poor grasp of the REDD+ process on the part of some stakeholders, limiting their role and effectiveness in technical supervision 	<ul style="list-style-type: none"> • Capacity building among the stakeholders • CN-REDD should demonstrate greater leadership in relation to other ministries 	

				<ul style="list-style-type: none"> Integrate CN-REDD facilitators into all departments 	
5	Fund management capacity	<ul style="list-style-type: none"> Relatively effective budgetary management and monitoring by the FEDP 	<ul style="list-style-type: none"> Readiness funds managed by the FAO for UN-REDD and the FEDP on behalf of the FCPF Dependence of the fiduciary unit on other structures Lack of budgetary transparency for REDD+ readiness, in particular activities for civil society 	<ul style="list-style-type: none"> Strengthening of the capacities of the fiduciary unit, to ensure its empowerment 	
6	Mechanism for information feedback and grievances	<ul style="list-style-type: none"> Traditional mechanisms exist for feeding information back to CONA-REDD and the CODEPA-REDD 	<ul style="list-style-type: none"> The mechanism for information feedback and the settlement of grievances is not yet in place 	<ul style="list-style-type: none"> Analysis the conflict settlement mechanisms in order to structure the information feedback and grievance mechanism 	
1b. Consultation, participation and awareness					
7	Participation and commitment of major stakeholders	<ul style="list-style-type: none"> The various stakeholder groups are represented in the CODEPA-REDD, CONA-REDD and CACO-REDD Participation of indigenous peoples in the CODEPAs and CONA-REDD Ministry-based REDD+ focal points 	<ul style="list-style-type: none"> Low level of private sector participation Management structures not operational due to a lack of budget Poor operation of some CODEPAs (civil society representation, activity reports without consensus) Lack of continuity in the participation of representatives Definition of representation and participation remains complex, in particular for the indigenous peoples Involvement varies from department to department according to the prioritization of forest development and REDD+ 	<ul style="list-style-type: none"> Formalization of the responsibilities of the REDD+ focal points in order to ensure consistent participation and information feedback. Establish mechanisms for the representation of women in the REDD+ management structures 	
8	Consultation process	<ul style="list-style-type: none"> Self-selection of representatives in the various stakeholder sectors 	<ul style="list-style-type: none"> Delays in the distribution of documents that influence the 	<ul style="list-style-type: none"> Strengthen communication and awareness in the 	

		<ul style="list-style-type: none"> for the consultations • Gender quotas for the CODEPAs • Multi-stakeholder workshops 	<ul style="list-style-type: none"> delegation of representatives • Short notice periods for the consultations • Little working time in the technical supervision structures • Sometimes superficial treatment during workshops • Lack of documentation on the 	<ul style="list-style-type: none"> departments, for local populations in particular • Distribution of documents within reasonable periods to allow time for reading and delegation for effective participation 	
9	Information dissemination and access to information	<ul style="list-style-type: none"> • Existence of a communication plan • Translation of the R-PP into the Lingala and Kituba languages • Organization of workshops and communication notes • Existence of information sheets and mailing lists • Appointment of substitutes in some CODEPAs 	<ul style="list-style-type: none"> • Lack of radio and television broadcasts • Absence of a website and social networks • Lack of information dissemination to the communities • Distribution of some documents over the internet when the majority of stakeholders have no internet access 	<ul style="list-style-type: none"> • Urge CACO-REDD to take on the role of communicator • Formalize the role of the CODEPAs and civil society representatives in order to improve departmental communication to the communities • Create a website and newsletters • Use of social networks • Print and distribute documents 	
10	Use and disclosure of the results of consultations	<ul style="list-style-type: none"> • Organization of concertation and document validation workshops • Distribution of documents after revision • CN-REDD shares progress during workshops 	<ul style="list-style-type: none"> • Lack of documentation, in the records, on discussions during consultations • Insufficient time to comment on the documents • Lack of traceability of changes • Amended documents not returned to the stakeholders 	<ul style="list-style-type: none"> • Improve the mechanism for the return of amended documents and traceability of changes • Improve time management in the revision of documents 	

Component 2. Preparation of the REDD+ strategy				
2a. Assessment of land use, drivers of change in the allocation of land, forest laws, policies and governance				
11	Assessment and analysis	<ul style="list-style-type: none"> • Study of the drivers of deforestation (BRLi) • Fuelwood study • Analysis of the implementation framework and the legal framework (Agrer) • Analysis of land issues (PRONAR) • The incorporation of REDD+ in the PNAT • FLEGT study conducted by the EFI • Client Earth diagnostic study on land issues • The existence of tools: policy act for land-use planning, new Forest Code • Leverage effect of REDD+ for the revision of laws and policies 	<ul style="list-style-type: none"> • Lack of coordination between the various components of the analysis of the legal framework, forest policy, the PNAT and land issues. • Problem of overlapping uses of land • Missing environment implementing legislation 	<ul style="list-style-type: none"> •
12	Ranking of the direct and indirect drivers of forest development	<ul style="list-style-type: none"> • Ranking of the drivers of deforestation at departmental level 	<ul style="list-style-type: none"> • Low level of involvement and engagement on the part of landowners in the proposed actions • Little account taken of agriculture in the strategy – the main driver of deforestation 	<ul style="list-style-type: none"> •
13	Linking these favorable/unfavorable elements and the activities of REDD+	<ul style="list-style-type: none"> • Link between fuelwood and pilot projects such as PRONAR • Links between forest developments and agriculture • Progress in the ERPD, which contributes to the strategy • Discussions on the ranking of [...] 	<ul style="list-style-type: none"> • Inadequate links between the key drivers and the actions • Existing experiences of sustainable agriculture not capitalized on 	<ul style="list-style-type: none"> • Prioritize the intensification of agriculture

14	Action plans to take account of rights to natural resources,	<ul style="list-style-type: none"> • Existence of structures: Local Development Fund, VPA for traceability of wood, OI REDD • Efforts made to gather the 	<ul style="list-style-type: none"> • Lack of involvement on the part of sectoral actors • Sectoral strategies and policies not available 	<ul style="list-style-type: none"> • Operationalize CONA-REDD in order to ensure cross-sector coordination • Speed up the land reforms 	
	land tenure systems and governance	strategies and policies of the various sectors	<ul style="list-style-type: none"> • Failings in implementation (PDL) • Problem of policy consistency and overlapping land uses unresolved • Disconnect between the national and departmental processes for land allocation 		
15	Impact on forest laws and policies	<ul style="list-style-type: none"> • Amendments to laws and other instruments: Environment Law, Forest Code which recognizes customary rights • FLEGT/REDD overlap 	<ul style="list-style-type: none"> • Lack of detail in the examination of non-forest sectors • Poor progress over land issues 	<ul style="list-style-type: none"> • Realize linkage between REDD and the PNAT • Develop measures to tackle unplanned deforestation 	
2b. Strategic REDD+ options					
16	Selection and prioritization of strategic options for REDD+	<ul style="list-style-type: none"> • Workshops on the development of the national REDD+ strategy with focal points within the ministries, panel staffed by 'experts' and high-level segment • Cross-sector coordination taken into account • Emphasis placed on the implementation of good practices in the forest sector 	<ul style="list-style-type: none"> • Low level of civil society participation in the development of the national REDD+ strategy • Delay in the preparation of the allometric equations • Fuelwood issues not assessed • Lack of clarity on the influence of REDD+ on good practices within the forest sector • Lack of progress on issues of sustainable agriculture • Potential for emissions reductions not defined 	<ul style="list-style-type: none"> • Involve civil society to a greater extent • Place greater emphasis on fuelwood/charcoal production and on agriculture in the national REDD+ strategy • Expedite the prioritization of strategic options • Need to identify the location of the priority areas for each activity • Need to prioritize the strategic options 	

17	Feasibility assessment	<ul style="list-style-type: none"> • Existence of a strategic study on the development of cocoa • Discussions at departmental level of the social and environmental impacts of the various strategic options 	<ul style="list-style-type: none"> • Unplanned deforestation not taken into account • Delay in preparation of the SESA • Need to identify where the actions will be implemented 	<ul style="list-style-type: none"> • Complete the SESA • Finalize the management of the PCI-REDD in the field 	
18	Impacts of strategic options on the sectoral policies in force	<ul style="list-style-type: none"> • Launch of the national land allocation plan • Multisectoral workshops, in particular involving ministries, agro-industry and the mining industry • Work started on the legal framework for conversion wood by the Independent FLEGT Observatory 	<ul style="list-style-type: none"> • Lack of consistency between the strategic options and the proposed options • Potential problems of conflict between the NDP and REDD+ • Uncertainty over the concretization of the strategic options with regard to agro-industry • Need to strengthen cross-sector coordination mechanisms 	<ul style="list-style-type: none"> • Adopt the PNAT and ensure its consistency with REDD+ • Work closely with agro-industry over the use of non-afforested areas • Strengthen cross-sector coordination 	
2c. Implementation framework					
19	Adoption and enforcement of laws and regulations	<ul style="list-style-type: none"> • Inclusion of REDD+ in the revision of the Forest Code and the Environment Law • Law on land-use planning • The PNAT has been launched • FLEGT process 	<ul style="list-style-type: none"> • Lack of enforcement of forest legislation • Implementation decrees non-existent: law on indigenous peoples, law on land-use planning • Slowness of the FLEGT process • Slow progress on the finalization of the laws and codes under revision • The PNAT is not yet operational 	<ul style="list-style-type: none"> • Enforcement of forest policy and law • Adoption of the PNAT • Monitoring of the decrees and laws relating to REDD+ • Potential for CONA-REDD to influence progress on sectoral laws 	
20	Implementation guidelines	<ul style="list-style-type: none"> • Draft provisions on carbon rights, the benefit-sharing arrangement, the funding modalities, the grievance mechanism and the approval of pilot projects • Study of the implementation framework (Agrer) • Study on benefit-sharing (EFI) 	<ul style="list-style-type: none"> • provisions under development and little information on their progress 	<ul style="list-style-type: none"> • Expedite validation of the provisions • Dissemination and consultation with stakeholders on the draft provisions • Involve development NGOs for the management of interests and conflicts • Draw on the assessment of strengths and weakness of the LDF process. 	

21	Benefit-sharing arrangement	<ul style="list-style-type: none"> • Preliminary provision on benefit-sharing • Preliminary study on the LDFs (experience acquired) 	<ul style="list-style-type: none"> • No concrete experience of benefit-sharing 	<ul style="list-style-type: none"> • Expedite the process for implementation of the benefit-sharing arrangement 	
22	National REDD+ registry and REDD+ monitoring system	<ul style="list-style-type: none"> • Start of a reflection on the registry system 	<ul style="list-style-type: none"> • Absence of a system or registry of REDD+ projects and activities 	<ul style="list-style-type: none"> • Put in place the national registry and activity monitoring system • Disseminate information on the development of the project system or registry 	
2d. Social and environmental impacts					
23	Analysis of issues relating to social and environmental safeguards	<ul style="list-style-type: none"> • Existence of the PCI-REDD and PCIVs developed through participatory processes • Existence of a multi-actor panel for finalizing the SESA following the preliminary SESA study carried out by BRLi • Workshops on the impacts and benefits in 2 departments 	<ul style="list-style-type: none"> • No participatory process for the SESA • Poor ownership of the social and environmental impacts on the part of civil society • PCI-REDD not operational • Lack of consistency between the PCI-REDD and the strategy 	<ul style="list-style-type: none"> • Strengthen the capacities of stakeholders on the social and environmental impacts • Expedite consultations on the SESA – not only validation of the documents but also identification of the social and environmental impacts • Distribute the finalized versions of the PCI-REDD and clarify their use • Extend the identification of social and environmental impacts to all departments 	
24	The design of the REDD+ strategy based on impact	<ul style="list-style-type: none"> • Consultations at departmental level on the social and environmental impacts 	<ul style="list-style-type: none"> • SESA in the process of finalization • Absence of the SESA is preventing the prioritization of the strategic options 	<ul style="list-style-type: none"> • Expedite the SESA development process • Use the results of the SESA to prioritize the strategic options 	
25	Environmental and Social Management Framework	<ul style="list-style-type: none"> • 	<ul style="list-style-type: none"> • ESMF in the process of finalization 	<ul style="list-style-type: none"> • Expedite the ESMF development process 	

3. Reference emission levels/reference levels

26	Demonstration of the method	<ul style="list-style-type: none"> • Submission of the FREL to the UNFCCC • 2 methodologies used for the UNFCCC and the ERPD with similar results • Reliable historical analysis: correlation of the remote sensing 	<ul style="list-style-type: none"> • Lack of consistency: some drivers taken into account in the reference level but are not reflected in the strategic options • FREL: appropriate method but adjustments not clearly justified • Low level of participation on the part 	<ul style="list-style-type: none"> • Strengthening of the capacities of civil society with regard to the FREL 	
			civil society in the FREL process		
27	Use of historical data and adaptation to the national context	<ul style="list-style-type: none"> • ERPD: adjustments based on the PDSA • Existence of the forest cover change map 	<ul style="list-style-type: none"> • Lack of consistency: some drivers taken into account in the reference level but are not reflected in the strategic options • FREL: appropriate method but adjustments not clearly justified • Confidentiality in the fields of activity • Lack of transparency in the data and documents 	<ul style="list-style-type: none"> • Facilitate access to the data and to the forest cover map 	
28	Technical feasibility of the methodological approach and compliance with the UNFCCC guidelines and with IPCC recommendations and guidelines	<ul style="list-style-type: none"> • Data can be verified for the historical calculation 	<ul style="list-style-type: none"> • Emissions projections based on the standard equations, work on allometric equations has barely started • Collaboration between CN-REDD and the universities is limited • Agriculture not taken into account (on slash-and-burn in particular) 		

Component 4. Forest monitoring systems and safeguard measures					
4a. National forest monitoring system					
29	Explanation of the monitoring method	<ul style="list-style-type: none"> • Existence of tools: NFS plots, Global Forest Watch, FLEGT, remote sensing • Training of CNIAF agents 	<ul style="list-style-type: none"> • Lack of consistency in the structures of the various tools • No data centralization 	<ul style="list-style-type: none"> • Operationalization of the MRV system • Implementation of pilot activities to test the system 	
30	Demonstration of the first phases of application		<ul style="list-style-type: none"> • Identify the implementation areas for REDD+ in order to analyze possible leakages • Limited collaboration with the universities 		
31	Institutional arrangements and capacity	<ul style="list-style-type: none"> • Separation of the CN-REDD and CNIAF functions • MRV unit based at the premises of 	<ul style="list-style-type: none"> • Mandates for the procedures and dissemination of results have yet to be defined 	<ul style="list-style-type: none"> • Work on implementing the procedures and the dissemination of data 	
		<ul style="list-style-type: none"> • Needs identified 	<ul style="list-style-type: none"> • Need to clarify the role of the OI-REDD 		
4b. System of information on the multiple advantages, other impacts, governance and safeguards					
32	Identification of aspects not connected with carbon and relevant social and environmental issues	<ul style="list-style-type: none"> • Incorporation of some socio-economic parameters in the NFS • Mapping of non-carbon benefits in progress (UNEP-WCMC) • Identification of non-wood benefits in 2 departments 	<ul style="list-style-type: none"> • The mapping study on non-carbon benefits not published • Limited understanding of the non-carbon benefits among local communities and indigenous populations. 	<ul style="list-style-type: none"> • Extend identification of the non-wood benefits to the other departments • Strengthen awareness-raising activities on the non-carbon benefits for the stakeholders 	
33	Monitoring, reporting, and exchange of information	<ul style="list-style-type: none"> • Work has started on the SIS • Dialog on the development of the OI-REDD • Communication between the OI-FLEGT and OI-REDD actors • Existence of the WRI Forest Transparency Initiative 	<ul style="list-style-type: none"> • Work is still needed on the SIS at conceptual level • The information management mechanism has yet to be defined • Lack of clarity on the role of the OI-REDD and the involvement 	<ul style="list-style-type: none"> • Clarify the objectives of the SIS • Take the procedures of the fund donors into account • Initiate discussions on the SIS with stakeholders • Expedite the operationalization of the SIS 	
34	Institutional arrangements and capacity	<ul style="list-style-type: none"> • Identification of the actors who need to be involved in the SIS 	<ul style="list-style-type: none"> • Lack of coordination between the actors involved in the SIS 	<ul style="list-style-type: none"> • Initiate discussions on the SIS with stakeholders 	

4.2. REDD+ readiness progress indicators

Progress indicators by component for each stakeholder group

In order to obtain final progress indicators for each sub-component representing the assessment of all sectors, an average was calculated from the results for all sectors of the criteria for assessment available in the *Progress indicators by criterion for each stakeholder group* table and not from the averages obtained by sector for each sub-component. This thus avoids approximations due to the separate calculation of averages for each sector.

	Civil society	Public sector	TFP	CODEPAs	All sectors
Component 1. Organization of preparation and consultation					
1a. National REDD+ management arrangements					
1b. Consultation, participation and awareness					
Component 2. Preparation of the REDD+ strategy					
2a. Assessment of land use, drivers of change in the allocation of land, forest laws, policies and governance					
2b. Strategic REDD+ options					
2c. Implementation framework					
2d. Social and environmental impacts					
Component 3. Reference emission levels/reference levels					
Component 4. Forest monitoring systems and safeguard measures					
4a. National forest monitoring system					
4b. System of information on the multiple advantages, other impacts, governance and safeguards					

Progress indicators by criterion for each stakeholder group

Component	Sub-components	N°	Criterion for assessment	Civil society	Public sector	TFP	CODEP A-REDD:	All sectors
Component 1. Organization of preparation and consultation	1a. National REDD+ management arrangements	1	Accountability and transparency	Orange	Yellow	Orange	Green	Yellow
		2	Operational mandate and budget	Red	Orange	Orange	Orange	Orange
		3	Mechanisms for multi-sector coordination and cross-sector collaboration	Yellow	Yellow	Orange	Yellow	Yellow
		4	Technical supervision capacity	Orange	Orange	Yellow	Orange	Orange
		5	Fund management capacity	Red	Yellow	Orange	White	Orange
		6	Mechanism for information feedback and grievances	Yellow	Red	Red	Yellow	Orange
	1b. Consultation, participation and awareness	7	Participation and commitment of major stakeholders	Orange	Yellow	Yellow	Yellow	Yellow
		8	Consultation process	Green	Yellow	Orange	Green	Yellow
		9	Information dissemination and access to information	Orange	Orange	Red	Orange	Orange

		10	Use and disclosure of the results of consultations					
Component 2. Preparation of the REDD+ strategy	2a. Assessment of land use, drivers of change in the allocation of land, forest laws, policies and governance	11	Assessment and analysis					
		12	Ranking of favorable/unfavorable elements, direct and indirect elements, the development of forests					
		13	Links between these favorable/unfavorable elements and the REDD+ activities					
		14	Action plans to take into account the rights to natural resources, land tenure systems and governance					
		15	Impact on forest laws and policies					
		16	Selection and prioritization of strategic options for REDD+					
	2b. Strategic REDD+ options	17	Feasibility assessment					

		18	Impacts of strategic options on the sectoral policies in force						
	2c. Implementation framework	19	Adoption and enforcement of laws and regulations						
		20	Implementation guidelines						
		21	Benefit-sharing arrangement						
		22	National REDD+ registry and REDD+ monitoring system						
		23	Analysis of issues relating to social and environmental safeguards						
	2d. Social and environmental impacts	24	The design of the REDD+ strategy based on impact						
		25	Environmental and Social Management Framework						
		26	Demonstration of the method						
	3. Reference emission levels/reference levels	27	Use of historical data and adaptation to the national context						

		28	Technical feasibility of the methodological approach and compliance with the UNFCCC guidelines and with IPCC recommendations and guidelines					
Component 4. Forest monitoring systems and safeguard measures	4a. National forest monitoring system	29	Explanation of the monitoring method					
		30	Demonstration of the first phases of application					
		31	Institutional arrangements and capacity					
	4b. System of information on the multiple advantages, other impacts, governance and safeguards	32	Identification of aspects not connected with carbon and relevant social and environmental issues					
		33	Monitoring, reporting, and exchange of information					
		34	Institutional arrangements and capacity					

4.3. Results of the workshop

The table below presents the explanations provided during the workshop and the recommendations made for each criterion.

No	Criterion for assessment	Explanations provided by CN-REDD	General recommendations during the workshop	Validation workshop result
Component 1. Organization of preparation and consultation				
1a. National REDD+ management arrangements				
1	Accountability and transparency	Decrees exist for the establishment and operation of each institution, and they guarantee transparency		
2	Operational mandate and budget	The budgets are not sufficient to implement everything. It is necessary to seek out additional funds, even starting from a sound basis with the additional donation from the FCPF.	Seeking funds	
3	Mechanisms for multi-sector coordination and cross-sector collaboration	The panels and ministry-based focal points exist; by definition, CONA-REDD is a multi-sectoral decision-making platform, but efforts have still to be made in order to consolidate this coordination.	Maintain and strengthen cross-sector dialog	
4	Technical supervision capacity	Capacities lie solely with CN-REDD through lack of funds.		
5	Fund management capacity	Fund management is supervised and subject to strict rules imposed by the fund donors. There are still some improvements to be made, however, in strengthening the capacities of the fiduciary unit in particular.	Strengthen the capacities of the fiduciary unit.	
6	Mechanism for information feedback and grievances	The recruitment process is under way; this dossier is a priority for the FCPF budget for validation of the ER program in particular. A draft prepared by the national party already exists. The process is on track and should be complete in October 2016.		
1b. Consultation, participation and awareness				
7	Participation and commitment of major stakeholders	This is fairly good thanks to the composition of the CODEPAs which (i) prioritizes minorities and (ii) consists of representatives of each sector/stakeholder concerned (public sector, private sector, civil society and indigenous populations, gender)	Strengthen the involvement of stakeholders at all levels	
8	Consultation process	It is the stakeholders themselves who choose their representative. Integration of indigenous populations in		

No	Criterion for assessment	Explanations provided by CN-REDD	General recommendations during the workshop	Validation workshop result
		<p>decision-making (through the position notes they write on the process, i.e. on the ER-PIN which had led to the non-validation of the document by the carbon fund in the first place)</p> <p>The ToR are drawn up, attendance registers provide evidence of the composition of the persons consulted and allow a degree of traceability, the records of discussion at each consultation and the departmental report are available.</p>		
9	Information dissemination and access to information	<p>Information is disseminated via a number of channels. However, modern means of communication are not yet used (i.e. website, social networks etc.). For example, there is no on-line media library which makes available all the key documents of the REDD+ process.</p> <p>Technical communication still requires improvement</p>	<p>Develop a web platform</p> <p>Implement the communication plan and involve the REDD structures</p>	
10	Use and disclosure of the results of consultations	<p>Progress has been made, in particular with regard to the PCIs of the RLs etc. However, improvement is still needed in the disclosure of results.</p>		
Component 2. Preparation of the REDD+ strategy				
2a. Assessment of land use, drivers of change in the allocation of land, forest laws, policies and governance				
11	Assessment and analysis	A large study on the drivers of deforestation has been carried out, making it possible to identify the strategic options and sub-options (i.e. land-use planning etc.)		
12	Ranking of the direct and indirect drivers of forest development	<p>Above-cited study</p> <p>A fifth option has been integrated into the national strategy (mines), thereby covering all the drivers of deforestation.</p>		
13	Links between these favorable/unfavorable elements and the REDD+ activities	Effective incorporation in the ER-Program and in the national REDD+ strategy. For each sup-option, the latter highlights the links.		
14	Action plans to take into account the rights to natural resources, land tenure systems and governance	At this stage, the definition is in progress, in particular within the context of the ER-Program.	Integrate the REDD process into the national land allocation plan	
15	Impact on forest laws and policies			
2b. Strategic REDD+ options				

No	Criterion for assessment	Explanations provided by CN-REDD	General recommendations during the workshop	Validation workshop result
16	Selection and prioritization of strategic options for REDD+	The national strategy is currently being redrafted and will be validated on July 15, 2016.	Redrafting of the strategy and incorporation of elements from the SESA	
17	Feasibility assessment	Elements from the final SESA will be inserted in September 2016.		
18	Impacts of strategic options on the sectoral policies in force	Movement during the last workshop on land-use planning (end of June): reflection under way on taking account of the overlapping of land uses.		
2c. Implementation framework				
19	Adoption and enforcement of laws and regulations	The new laws have not yet been adopted and are not enforced.	Develop enforcement provisions for the new Forest Code and promote a dialog between the partners in order to expedite finalization of the new Forest Code.	
20	Implementation guidelines	Early stages in the ER-PD.	Write a procedures manual for each tool	
21	Benefit-sharing arrangement	Process under way.	Update and implement the benefit-sharing arrangement	
22	National REDD+ registry and REDD+ monitoring system	Early stages of a REDD registry, but still at the design stage	Develop and validate registry models	

2d. Social and environmental impacts				
23	Analysis of issues relating to social and environmental safeguards		Finalize the SESA and ESMF, strengthen capacities with regard to SESA and conduct tests on the application of the national standards	
24	The design of the REDD+ strategy based on impact			
25	Environmental and Social Management Framework			
3. Reference emission levels/reference levels				
26	Demonstration of the method	The national experts have conducted their work and documented it. They are awaiting feedback from the UNFCCC for validation. The detail of the methodology used is given on page 26 of the R-Package.	Finalize the FREL report, incorporating the comments of the UNFCCC	
27	Use of historical data and adaptation to the national context			
28	Technical feasibility of the methodological approach and compliance with the UNFCCC guidelines and with IPCC recommendations and guidelines			
Component 4. Forest monitoring systems and safeguard measures				
4a. National forest monitoring system				
29	Explanation of the monitoring method			
30	Demonstration of the first phases of application	Permanent monitoring parcels exist and the MRV+ remote sensing team has been trained. Historical data is available and it is therefore easy to connect new data.		
31	Institutional arrangements and capacity	The tasks are clearly defined and the work well distributed		

4b. System of information on the multiple advantages, other impacts, governance and safeguards				
32	Identification of aspects not connected with carbon and relevant social and environmental issues	The study has been done with partners but not distributed.	Operationalize the SIS	
33	Monitoring, reporting, and exchange of information			
34	Institutional arrangements and capacity			

4.4. Progress indicators from the validation workshop

Progress indicators by component for each stakeholder group

In order to obtain final progress indicators for each sub-component representing the assessment of all sectors, an average was calculated from the results for all sectors of the criteria for assessment available in the *Progress indicators by criterion for each stakeholder group* table and not from the averages obtained by sector for each sub-component. This thus avoids approximations due to the separate calculation of averages for each sector.

	Public sector	Civil society	TFPs	All sectors
Component 1. Organization of preparation and consultation				
1a. National REDD+ management arrangements	Green	Yellow	Yellow	Yellow
1b. Consultation, participation and awareness	Green	Orange	Green	Yellow
Component 2. Preparation of the REDD+ strategy				
2a. Assessment of land use, drivers of change in the allocation of land, forest laws, policies and governance	Green	Green	Green	Green
2b. Strategic REDD+ options	Yellow	Yellow	Yellow	Yellow
2c. Implementation framework	Yellow	Yellow	Yellow	Yellow
2d. Social and environmental impacts	Yellow	Red	Yellow	Orange

Component 3. Reference emission levels/reference levels				
Component 4. Forest monitoring systems and safeguard measures				
4a. National forest monitoring system				
4b. System of information on the multiple advantages, other impacts, governance and safeguards				

Progress indicators by criterion for each stakeholder group

Component	Sub-components	N°	Criterion for assessment	Public sector	Civil society	TFP	All sectors
Component 1. Organization of preparation and consultation	1a. National REDD+ management arrangements	1	Accountability and transparency	Green	Yellow	Green	Green
		2	Operational mandate and budget	Green	Orange	Yellow	Yellow
		3	Mechanisms for multi-sector coordination and cross-sector collaboration	Green	Yellow	Yellow	Yellow
		4	Technical supervision capacity	Green	Orange	Yellow	Yellow
		5	Fund management capacity	Green	Green	Green	Green
		6	Mechanism for information feedback and grievances	Orange	Yellow	Yellow	Yellow
	1b. Consultation, participation and awareness	7	Participation and commitment of major stakeholders	Green	Orange	Green	Yellow
		8	Consultation process	Green	Green	Green	Green
		9	Information dissemination and access to information	Green	Orange	Yellow	Yellow
		10	Use and disclosure of the results of consultations	Green	Orange	Green	Yellow

Component 2. Preparation of the REDD+ strategy	2a. Assessment of land use, drivers of change in	11	Assessment and analysis				
		12	Ranking of favorable/unfavorable elements, direct and indirect elements, the development of forests				
	the allocation of land, forest laws, policies and governance	13	Links between these favorable/unfavorable elements and the REDD+ activities				
		14	Action plans to take into account the rights to natural resources, land tenure systems and governance				
		15	Impact on forest laws and policies				
	2b. Strategic REDD+ options	16	Selection and prioritization of strategic options for REDD+				
		17	Feasibility assessment				
		18	Impacts of strategic options on the sectoral policies in force				
			19	Adoption and enforcement of laws and regulations			

	2c. Implementation framework	20	Implementation guidelines	Yellow	Orange	Orange	Orange
		21	Benefit-sharing arrangement	Orange	Yellow	Yellow	Yellow
		22	National REDD+ registry and REDD+ monitoring system	Yellow	Orange	Orange	Orange
	2d. Social and environmental impacts	23	Analysis of issues relating to social and environmental safeguards	Green	Yellow	Green	Green
		24	The design of the REDD+ strategy based on impact	Yellow	Red	Yellow	Orange
		25	Environmental and Social Management Framework	Yellow	Red	Orange	Orange
3. Reference emission levels/reference levels	26	Demonstration of the method	Green	Yellow	Green	Green	
	27	Use of historical data and adaptation to the national context	Green	Yellow	Green	Green	
	28	Technical feasibility of the methodological approach and compliance with the UNFCCC guidelines and with IPCC recommendations and guidelines	Yellow	Yellow	Green	Yellow	

Component 4. Forest monitoring systems and safeguard measures	4a. National forest monitoring system	29	Explanation of the monitoring method				
		30	Demonstration of the first phases of application				
		31	Institutional arrangements and capacity				
	4b. System of information on the multiple advantages, other impacts, governance and safeguards	32	Identification of aspects not connected with carbon and relevant social and environmental issues				
		33	Monitoring, reporting, and exchange of information				
		34	Institutional arrangements and capacity				

4.5. Final result

In the interests of legitimacy and representation, it has been decided to retain and incorporate the revisions from the workshop and to give an average of both sets of results. The table below presents these results.

Progress indicator by criterion

No	Criterion for assessment	Initial feedback (Draft 0)	Validation workshop result	Final average
Component 1. Organization of preparation and consultation				
1a. National REDD+ management arrangements				
1	Accountability and transparency			
2	Operational mandate and budget			
3	Mechanisms for multi-sector coordination and cross-sector collaboration			
4	Technical supervision capacity			
5	Fund management capacity			
6	Mechanism for information feedback and grievances			
1b. Consultation, participation and awareness				
7	Participation and commitment of major stakeholders			
8	Consultation process			
9	Information dissemination and access to information			
10	Use and disclosure of the results of consultations			
Component 2. Preparation of the REDD+ strategy				
2a. Assessment of land use, drivers of change in the allocation of land, forest laws, policies and governance				
11	Assessment and analysis			
12	Ranking of the direct and indirect drivers of forest development			
13	Links between these favorable/unfavorable elements and the REDD+ activities			
14	Action plans to take into account the rights to natural resources, land tenure systems and governance			
15	Impact on forest laws and policies			

No	Criterion for assessment	Initial feedback (Draft 0)	Validation workshop result	Final average
2b. Strategic REDD+ options				
16	Selection and prioritization of strategic options for REDD+			
17	Feasibility assessment			
18	Impacts of strategic options on the sectoral policies in force			
2c. Implementation framework				
19	Adoption and enforcement of laws and regulations			
20	Implementation guidelines			
21	Benefit-sharing arrangement			
22	National REDD+ registry and REDD+ monitoring system			
2d. Social and environmental impacts				
23	Analysis of issues relating to social and environmental safeguards			
24	The design of the REDD+ strategy based on impact			
25	Environmental and Social Management Framework			
3. Reference emission levels/reference levels				
26	Demonstration of the method			
27	Use of historical data and adaptation to the national context			
28	Technical feasibility of the methodological approach and compliance with the UNFCCC guidelines and with IPCC recommendations and guidelines			
Component 4. Forest monitoring systems and safeguard measures				
4a. National forest monitoring system				
29	Explanation of the monitoring method			
30	Demonstration of the first phases of application			
31	Institutional arrangements and capacity			

4b. System of information on the multiple advantages, other impacts, governance and safeguards				
32	Identification of aspects not connected with carbon and relevant social and environmental issues			
33	Monitoring, reporting, and exchange of information			
34	Institutional arrangements and capacity			

Progress indicator by component

	Final average All sectors
Component 1. Organization of preparation and consultation	
1a. National REDD+ management arrangements	
1b. Consultation, participation and awareness	
Component 2. Preparation of the REDD+ strategy	
2a. Assessment of land use, drivers of change in the allocation of land, forest laws, policies and governance	
2b. Strategic REDD+ options	
2c. Implementation framework	
2d. Social and environmental impacts	
Component 3. Reference emission levels/reference levels	
Component 4. Forest monitoring systems and safeguard measures	
4a. National forest monitoring system	
4b. System of information on the multiple advantages, other impacts, governance and safeguards	

ANNEXES

ANNEX 1 – LISTS OF PARTICIPANTS IN THE CONSULTATIONS

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DU DEVELOPPEMENT DURABLE
ET DE L'ENVIRONNEMENT

CABINET

COORDINATION NATIONALE REDD


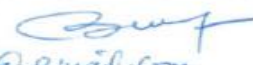

REPUBLIQUE DU CONGO
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ATELIER DE VALIDATION DU RAPPORT R-PACKAGE

SALLE DE CONFERENCES ESPACE TRAITEUR










LISTE DE PRESENCE











Mardi, le 05 Juillet 2016







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49.				
50.				









Atelier d'examen de l'avancement du R-Package en République du Congo : Plateforme CACO-REDD

18 Mai 2016

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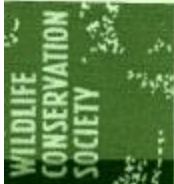
Atelier d'examen de l'avancement du R-Package en République du Congo : Points Focaux Ministeres

20 Mai 2016

Hôtel Radisson, Brazzaville



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ANNEX 2 – LIST OF QUESTIONS FOR SELF ASSESSMENT ADAPTED FOR CONGO

No	Criterion for assessment	Diagnostic questions
Component 1. Organization of preparation and consultation		
1a. National REDD+ management arrangements		
1	Accountability and transparency	What proof is there that the REDD+ institutions are operating transparently?
2	Operational mandate and budget	What is there to demonstrate that the budgets of the REDD+ institutions are adequate, predictable and sustainable?
3	Mechanisms for multi-sector coordination and cross-sector collaboration	Are the REDD+ institutions effective in coordinating the REDD+ activities across the various sectors?
4	Technical supervision capacity	Are the REDD+ institutions effective in the multi-sector supervision of REDD+ activities?
5	Fund management capacity	Do the REDD+ institutions have effective, efficient and transparent budgetary management (including coordination with other partners)?
6	Mechanism for information feedback and grievances	Is there a functional mechanism for information feedback and grievances? Are there adequate resources and expertise? Are the actors informed of the mechanism and do they have access to it? What is there to indicate that the mechanism is effective?
Component 2. Preparation of the REDD+ strategy		
2a. Assessment of land use, drivers of change in the allocation of land, forest laws, policies and governance		
11	Assessment and analysis	Does the assessment include: An analysis of recent changes in land use An analysis of the problems associated with land tenure systems and the registration of property titles, rights to natural resources (including traditional and customary) An analysis of forest laws, policies and governance

12	Ranking of the direct and indirect drivers and barriers	<p>How has the analysis been used to establish the order of the drivers that need to be addressed by the programs and REDD+ Strategy?</p> <p>Did the analysis examine the main obstacles to the activities of enhancement of forest carbon stocks?</p>
13	Links between these elements and the REDD+ activities	What is there to indicate that the systematic links between the drivers of the REDD+ activities have been identified?
14	Action plans to take into account the rights to natural resources, land tenure systems and governance	<p>Do the actions plans define the concrete steps and resources required?</p> <p>Actions to make progress in the short, medium and long term on issues of land ownership, rights to natural resources, livelihoods and governance in the regions prioritized by the REDD+ programs</p>
15	Impact on forest laws and policies	Does the assessment highlight the implications of the implementation of the strategic options on forest laws and policies in the long term?
2b. Strategic REDD+ options		
16	Selection and prioritization of strategic options for REDD+	<p>Has there been a participatory and transparent prioritization of the strategic options?</p> <p>Has the emissions reduction potential of the activities been estimated, and in what way has it informed the development of the REDD+ strategy?</p>
17	Feasibility assessment	Have the strategic REDD+ options been assessed and prioritized according to their social, environmental and political feasibility?
18	Impacts of strategic options on the sectoral policies in force	<p>Have major discrepancies been identified between the strategic REDD+ options and the policies or programs of other sectors associated with the forest sector (agriculture and transport, for example)?</p> <p>It there an approved procedure for remedying the discrepancies?</p> <p>Are the strategic options contributing to development objectives and are they mobilizing the engagement of communities?</p>
2c. Implementation framework		
19	Adoption and enforcement of laws and regulations	Have laws and/or regulations associated with the REDD+ activities and programs been adopted? Are they enforced?

20	Implementation guidelines	Does the implementation framework define: carbon rights, the benefit-sharing arrangements, the REDD+ financing modalities, pilot project approval procedures the grievance mechanisms
21	Benefit-sharing arrangement	What is there to indicate that the benefit-sharing arrangements are transparent?
22	National REDD+ registry and REDD+ monitoring system	Is there a national system or operational registry which brings together all information on the national and sub-national REDD+ programs and projects? Does it offer public access to information on REDD+?
2d. Social and environmental impacts		
23	Analysis of issues relating to social and environmental safeguards	What is the evidence that issues relating to social and environmental safeguards have been identified during consultations on the strategy?
24	The design of the REDD+ strategy based on impact	Was consideration given to the results of the SESA and any social and environmental impacts in prioritizing and defining the strategic REDD+ options?
25	Environmental and Social Management Framework	What is the evidence that the ESMF is in place and that it is being used to manage any environmental and social risks and effects associated with the REDD+ activities?
Component 3. Reference emission levels/reference levels		
26	Demonstration of the method	Is the methodology clearly documented? If additional data are required, is there a plan for additional measurements?
27	Use of historical data and adaptation to the national context	To what extent does the establishment of the REL/RL take account of the historical data? What reasons or data demonstrate that the projected adjustments are credible and defensible? Have data and documents been provided to allow the reconstruction or independent verification of the REL/RL?

28	Technical feasibility of the methodological approach and compliance with the UNFCCC guidelines and with IPCC recommendations and guidelines	<p>Is the REL/RL (presented in the readiness package) based on transparent, comprehensive and precise information that is compatible with UNFCCC guidelines and the latest IPCC guidance and guidelines?</p> <p>Will it be possible for the IPCC to perform a technical assessment of the data sets, approaches, methods, models (where applicable) and assumptions used to define the REL/RL?</p>
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Component 4. Forest monitoring systems and safeguard measures

4a. National forest monitoring system

29	Explanation of the monitoring method	<p>Is the choice of methods used in the MRV supported by explicit reasons?</p> <p>Has the system been examined technically and approved at national level?</p> <p>Is it compatible with national and international guidelines?</p> <p>Have any sources of uncertainty been identified?</p>
30	Demonstration of the first phases of application	<p>What is there to indicate that the system is capable of monitoring the results of activities prioritized by the national REDD+ strategy (as opposed to the FREL)?</p> <p>Is the system capable of assessing the displacement of emissions (leakage)?</p> <p>How do the major stakeholders participate in the development and first phases of application of the system?</p> <p>How does the system allow comparison of the forest cover assessment and the carbon level?</p>
31	Institutional arrangements and capacity	<p>Have the mandates for the tasks associated with monitoring been clearly defined?</p> <p>Are data shared transparently?</p> <p>Needs/resources required (capacities, training, equipment, software and budget required, for example): have these been defined and estimated?</p>

4b. System of information on the multiple advantages, other impacts, governance and safeguards

32	Identification of aspects not connected with carbon and relevant social and environmental issues	<p>Have the social and environmental problems and benefits not connected with carbon been identified?</p> <p>Are there any recommendations for capacity building?</p>
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33	Monitoring, reporting, and exchange of information	<p>Does the system provide for the regular dissemination of data relating to non-carbon aspects and safeguards?</p> <p>Does the system provide for the collection and dissemination of information on:</p> <p>rural livelihoods, conservation and biodiversity,</p> <p>the provision of eco-system related services, the main governance drivers,</p> <p>the application of safeguards</p>
34	Institutional arrangements and capacity	<p>Are the mandates for tasks concerning non-carbon aspects and safeguards clearly defined?</p> <p>Have the necessary resources been calculated and planned?</p>

ANNEX 3 – DETAILED RESULTS OF SELF-ASSESSMENT FOR EACH STAKEHOLDER GROUP

Civil society

No	Criterion for assessment	Diagnostic questions	Strengths	Weaknesses	Improvement measures	Indicator
Component 1. Organization of preparation and consultation						
1a. National REDD+ management arrangements						
1	Accountability and transparency	What is there to demonstrate that the REDD+ institutions and structures are operating openly, responsibly and transparently?	Creation of CODEPA, CONATEDD, CN-REDD	<ul style="list-style-type: none"> - CODEPA and CONAREDD are not operational - Are the CODEPA quotas effective? Are the quotas met? How representative are the representatives in practice? - CACO-REDD has not been involved in the establishment of the CODEPAs - Committee seats not associated with the rights-holders in the CODEPAs (for example, seat allocated to civil society taken by government) - CODEPA quotas: civil society should have 5 representatives and indigenous populations 5 representatives. Over time, CN-REDD has increased the number of CODEPAs without consulting other stakeholders. 		
2	Operational mandate and budget	What is there to demonstrate that the national REDD+ institutions are operating on the basis of precise mandates with adequate, predictable and sustainable budgets?	- Decree defines the precise mandates of CONAREDD and CODEPA	- CODEPA and CONAREDD have no budget	- Set up an independent budget for CONAREDD and CODEPA	

3	Mechanisms for multi-sector coordination and cross-sector collaboration	How do the national REDD+ institutions and structures verify that the activities are coordinated and integrated with the more general national or sectoral policies/programs (environment, national resources management, infrastructure development etc.?)	- Multisectoral framework in place for CONAREDD and CODEPA	- Is the cross-sector coordination effective? Does real coordination exist?	- Operationalize CONAREDD to play its leadership role vis-à-vis CN-REDD	
4	Technical supervision capacity	How effective and efficient are the REDD+ institutions and structures in running and supervising the multi-sector REDD+ readiness activities, including the technical preparations?	Existence of CN-REDD representatives at departmental level	- CN-REDD representatives at departmental level influence the other stakeholders on the technical preparations		
5	Fund management capacity	How do the national REDD+ institutions and structures demonstrate effective, efficient and transparent budgetary management and coordinate with the projects of other development partners?		- Lack of transparency in budgetary management, no accessibility to the REDD+ readiness budgets managed by CN-REDD and other donors for the activities of the CACO-REDD civil society - Low level of private sector involvement	- Put in place a mechanism for accessing the information and the management of funds for CACO-REDD	

6	Mechanism for information feedback and grievances	<p>What is the evidence to demonstrate that information and grievance feedback operates at national, sub-national and local scale? What is there to demonstrate that it has a clearly defined mandate and has adequate expertise and resources? What is there to indicate that the actors are informed of the mechanism and that they have access to it? What is there to indicate that the mechanism responds to the information fed back?</p>	<ul style="list-style-type: none"> - Existing mechanism for feeding back information to the CODEPAs and CONAREDD 	<ul style="list-style-type: none"> - Mechanism not operational as new authorities are not in place (CACO-REDD at departmental level) in order to feed the information back. - The complaints settlement mechanism is not yet in place 	
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1b. Consultation, participation and awareness

7	Participation and commitment of major stakeholders	What are the institutional mechanisms that allow full, effective and constant participation on the part of stakeholders? What mechanisms help to mobilize marginalized groups such as women, young people, indigenous populations and forest-dependent local populations? What participatory mechanisms are used to permit participation in REDD+ readiness on the part of indigenous populations and forest-dependent local populations?	<ul style="list-style-type: none"> - Existence of departmental committees and platforms, national committee, CACO-REDD, (status and nature of CACO), private sector platform - (Theoretical) existence of budgets for the CODEPAs - Communication plan (IEC unit) 	<ul style="list-style-type: none"> - No budget for CACO-REDD; no allocated budget in the REDD+ budgets - No disbursements for the CODEPAs for meetings - Poor operation of the CODEPAs: activity reports done without the participation of all members and communications with the members and the CN-REDD representative - Problem of participation on the part of the CODEPA representatives at meetings in Brazzaville - Hasty training of CONA-REDD prior to the COP-21 but lack of budget Communication: difficulties in disseminating messages in the departments, for remote forest villages in particular 	<ul style="list-style-type: none"> - Improve the process for the selection and appointment of civil society delegates within the CODEPAs participating at the meetings in Brazzaville. - Prioritize awareness-raising among local populations and allocate the required budgets 	
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8	<p>Consultation process</p>	<p>What is the evidence to demonstrate that the consultation processes at national and local scale are clear, representative and transparent and that they give access to information in good time and in a way that is adapted to the cultural context? What evidence is there that the paus has applied a process of self-selection in identifying the stakeholders during the consultations? What is the evidence to confirm that the institutions and decision-making processes of the indigenous populations have been capitalized upon to enrich the consultations and enhance participation? What data demonstrates that the processes take account of the specific characteristics of gender and encourage the widest participation?</p>	<ul style="list-style-type: none"> - Participation of civil society in the REDD+ bodies - Self-selection of CACO-REDD representatives for CONAREDD - Delegation of CODEPAs by CACO-REDD – clear and approved decision-making process. <p>Participation of indigenous peoples in CACO-REDD Participation of women in the CODEPAs – quotas</p>	<p>- ditto communication/awareness-raising – see 7</p>	<p>- Enhance communication in the departments</p>	
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9	Information dissemination and access to information	<p>How have the REDD+ institutions and structures ensured the dissemination and disclosure of information in good time and in a transparent, full, monitored manner that is adapted to the cultural context (on the REDD+ strategy, the reference levels and MRV etc.)?</p> <p>What is there to indicate that the information is accessible to the stakeholders and is received by them in a format and language that they understand?</p> <p>What means of communication are used to inform the stakeholders effectively, in particular those who have had little or no access to the relevant information?</p>	<ul style="list-style-type: none"> - Structures communication plan planned for communication (CODEPAs) Translation of the RPP into Lingala and Kituba efforts to consult in the local language (in the case of the ER Program – Sanga) Communication workshops and notes 	<ul style="list-style-type: none"> - Ditto communication plan 7/8, in particular communication in the local language for indigenous populations Communication tools for CACO-REDD not distributed - No radio/TV broadcasts on REDD 	<ul style="list-style-type: none"> - More radio and television broadcasts - Urge CACO-REDD to take on a communication role - Place emphasis on the CODEPAs and civil society representative in communication with the departments 	
10	Use and disclosure of the results of the consultations	<p>How are the results of the consultations integrated (incorporated, disseminated, disclosed and taken into account) in the management arrangements, in the development of the strategy and in the technical activities associated with the definition of the reference levels and monitoring systems?</p>	<ul style="list-style-type: none"> - Concertation and document validation workshops - CACO-REDD process – review of the implementation framework with the support of the IUCN for organizing CACO-REDD consultation 	<ul style="list-style-type: none"> - Comments not taken into account, traceability of changes - No delegation of responsibility for CACO-REDD feedback - Problem amended document return e.g. national REDD strategy 	<p>Improve the mechanism for the return of amended documents: traceability of changes and tracking of amendments</p>	

Component 2. Preparation of the REDD+ strategy

2a. Assessment of land use, drivers of change in the allocation of land, forest laws, policies and governance

11	Assessment and analysis	Does the summary of work carried out during the formulation and preparation of the R-PP include an analysis of recent changes in land use and an assessment of the problems associated with land tenure systems and the registration of property titles, with rights to natural resources (including traditional and customary rights), with the laws, policies and forest governance?	<ul style="list-style-type: none"> - Formulation of the policy act relating to land management - New Forest Code - Recognition of customary land rights - Overlapping uses 	<ul style="list-style-type: none"> - No management body for conflicts and complaints - absence of cross-sector collaboration (inter-ministerial) 	Creation of institutional anchorage for conflict management	
12	Ranking of favorable/unfavorable elements, direct and indirect elements, the development of forests	How has the analysis of recent changes in land use and of land issues been used to establish the order of the drivers that need to be addressed by the programs and policies of the REDD+ Strategy? Did the analysis examine the main obstacles to the activities of enhancement of forest carbon stocks which have to be supported by the programs and policies of the REDD+ strategy?	- Existence of the PNAT, PRONAR, SNR	<ul style="list-style-type: none"> - Implementing provisions non-existent - Initiatives and programs, but low level of involvement on the part of the populations 		
13	Links between these favorable/unfavorable elements and the activities of REDD+	What is there to indicate that systematic links between the drivers, the obstacles to the activities of enhancement of forest carbon stocks and REDD+ activities have been identified?	- Awareness-raising, cross-sector rapprochement REDD+ focal points within several ministries	Drivers of deforestation: agriculture, mines, logging, infrastructures		

14	Action plans to take into account the rights to natural resources, land tenure systems and governance	Do the action plans to make progress in the short, medium and long term on issues of land ownership, rights to natural resources, livelihoods and governance in the regions prioritized by the REDD+ programs define concrete steps and the required resources?	- Existence of Local Development Funds – In the Local Development Fund, VPA which there is no helps with wood traceability, development plan for the populations Independent REDD Observatory which are marginalized. There are REDD to strengthen failings in implementation of forest governance		
15	Impact on forest laws and policies	Does the assessment highlight the implications for forest laws and policies in the long term?	- The assessment has helped to contribute to the amendment of a number of provisions, revision of the Environment Law and the Forest Code which recognizes customary rights		
2b. Strategic REDD+ options					
16	Selection and prioritization of strategic options for REDD+	Have the strategic options for REDD+, prioritized on the basis of an in-depth assessment of the direct and indirect drivers of deforestation, of obstacles to the enhancement of carbon stocks and other factors, been selected as part of a participatory and transparent process? Has the emissions reduction potential of the activities been estimated, and in what way has it informed the development of the REDD+ strategy?		- Low level of participation on the part of civil society more in the development of the strategy. Civil society will place greater emphasis on fuelwood and the investments relating to charcoal production and agriculture as priority actions - Involve civil society in the decision on the strategy relating to charcoal - Place greater emphasis on fuelwood/charcoal production: Brazzaville network in particular - Place greater emphasis on agriculture in the strategy and priority actions	

17	Feasibility assessment	Have the strategic options for REDD+ been assessed and prioritized according to their social, environmental and political feasibility, the risks and possibilities they represent and a cost-benefit analysis?	<ul style="list-style-type: none"> - Notion of planned deforestation not taken into account 	<ul style="list-style-type: none"> - Problem of consistency of the policies, including overlapping uses of land and allocation of permits with no communication or coordination 	<ul style="list-style-type: none"> - Resolve the problems of overlapping permits: a provision on the issue is required 	No position - insufficient information to take a position
18	Impacts of strategic options on the sectoral policies in force	<p>Have major discrepancies between the priority strategic REDD+ options and the policies or programs conducted by other sectors associated with the forest sector (agriculture and transport, for example) been found?</p> <p>Have a calendar and a procedure for remedying these discrepancies and integrating the strategic REDD+ options into the applicable development policies been established?</p> <p>Are the strategic options contributing to development objectives and are they mobilizing the engagement of communities?</p>	<ul style="list-style-type: none"> - Launch of the national land allocation plan - Bodies for managing existing land-related aspects 	<ul style="list-style-type: none"> - Lack of consistency between land-related situations and state goals (e.g. afforestation and access to land) - Potential problems of conflict between the NDP and REDD 	<ul style="list-style-type: none"> - Urge the adoption of the PNAT and ensure participation on the part of civil society - Ensure consistency between the PNAT and REDD+ 	No position - insufficient information to take a position
2c. Implementation framework						
19	Adoption and enforcement of laws and regulations	Have laws and/or regulations associated with the REDD+ activities and programs been adopted? What data shows that the laws and policies for REDD+ are enforced?	<ul style="list-style-type: none"> - Inclusion of the definition of the forest in the new Forest Code - New Forest Code: chapter on REDD+ - FLEG process - The PNAT has been launched 	<ul style="list-style-type: none"> - slow application of the FLEGT process - Lack of enforcement of forest legislation - Absence of the PNAT 	<ul style="list-style-type: none"> - Enforce forest legislation - Enforce forest policy - Bring FLEGT forward - Urge the adoption of policies and laws, the PNAT in particular 	

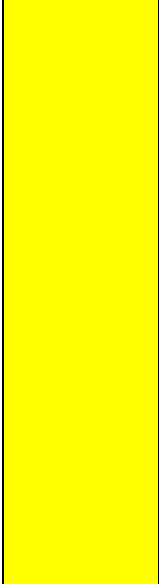
20	Implementation guidelines	What evidence is there to demonstrate that the implementation framework defines carbon rights, the benefit-sharing arrangements, the REDD+ financing modalities, the official pilot project approval procedures and the grievance mechanisms?	<ul style="list-style-type: none"> - Draft provision on carbon rights - draft benefit-sharing model (LDF model already exists in the protected areas and forest concessions) Existence of an initial revision of a REDD+ project registration system. 	<ul style="list-style-type: none"> - Confusion over the status of provisions on carbon rights, little knowledge of the draft law on the part of CACO-REDD - Lack of experience in the sharing of benefits from the REDD+ activities - Lack of transparency in the management of REDD+ funds (at the readiness process level) - Registration system for non-operational projects 	<ul style="list-style-type: none"> - Dissemination and consultation on the draft provision on carbon and carbon rights 	
21	Benefit-sharing mechanism	What is there to indicate that the benefit-sharing arrangements are transparent?		<ul style="list-style-type: none"> - No concrete experience as yet of the sharing of benefits from the sale of carbon 	<ul style="list-style-type: none"> - Train CACO-REDD members on the sharing of benefits from the sale of carbon 	No position - insufficient information to take a position
22	National REDD+ registry and REDD+ monitoring system	Is there a national georeferenced system or an operational registry containing all relevant information (location, ownership structure, accounting of carbon emissions and financial flows) for the national and sub-national REDD+ programs and projects? Does it offer public access to information on REDD+?		<ul style="list-style-type: none"> - No information on the existence of a system or registry of REDD+ projects and initiatives 	<ul style="list-style-type: none"> - Disseminate the information on the project systems or registries 	

2d. Social and environmental impacts

23	Analysis of issues relating to social and environmental safeguards	What evidence is there to show that the issues relating to social and environmental safeguards applicable to the national context have been fully analyzed as part of adapted studies or diagnoses and consultation processes?	<ul style="list-style-type: none"> - Existence of laws: Decree 415 on the social and environmental impacts; Law 0391 on the environment and Law 16200 Forest Code (under revision): Law no. 5 on indigenous peoples - PCIV document, PCI-REDD document developed through participatory processes 	<ul style="list-style-type: none"> - Low level of participation on the part of civil society - Selective stakeholder consultations on the PCI REDD at departmental level - No transparent and participatory process for the SESA - Low level of ownership of the social and environmental impacts on the part of civil society 	<ul style="list-style-type: none"> - Monitoring of the EISs - Involve civil society in the validation of the EISs - Draw up a calendar for consultations on the SESA - Consultations on the SESA should allow identification of the social and environmental impacts and not only consultation on the final document - Strengthen the capacities of civil society on the social and environmental impacts 	
24	The design of the REDD+ strategy based on impact	How have the results of the SESA and the social and environmental impacts identified (positive and negative) been used to prioritize and define the strategic REDD+ options?		<ul style="list-style-type: none"> - Absence of the SESA is preventing the prioritization of the strategic options 	Make the SESA report available to civil society	
25	Environmental and Social Management Framework	What is the evidence that the ESMF is in place and that it is being used to manage any environmental and social risks and effects associated with the REDD+ activities?		<ul style="list-style-type: none"> - Absence of the SESA is preventing development of the ESMF 	<ul style="list-style-type: none"> - Draw up the ESMF and make it available to civil society 	

3. Reference emission levels/reference levels

26	Demonstration of the method	Is the preliminary sub-national or national REL or RL presented (in the readiness package) through a clearly documented methodology based, where applicable, on a gradual approach? Are plans concerning additional measures and data requirements provided, and is the relationship between the sub-national reference level and the changing national reference level demonstrated (where applicable)?	<ul style="list-style-type: none"> - Existence of a multi-actor team trained on the national FREL and the sub-national FREL 	<ul style="list-style-type: none"> - Very low level of participation on the part of the CACO-REDD representatives in the national and sub-national FREL development process - CACO-REDD not taken into account in some training actions relating to the national and sub-national FREL 	<ul style="list-style-type: none"> - Strengthen the capacities of CACO-REDD (MRV group) in terms of training on the FREL - Strong CACO-REDD representation in implementing the FREL 	
27	Use of historical data and adaptation to the national context	To what extent does the establishment of the REL/RL take account of historical data and, if it is adapted to the national situation, what reasons and data demonstrate that the projected adjustments are credible and defensible? Have data and documents been provided in a transparent manner and in sufficient quantity to allow the reconstruction or independent verification of the REL/RL?	<ul style="list-style-type: none"> - Existence of official deforestation authorizations - Existence of the forest cover change map 	<ul style="list-style-type: none"> - Absolute confidentiality in the fields of activity - Lack of transparency in the data and documents - Inadequate access to the forest cover map 	<ul style="list-style-type: none"> - Facilitate access to the activity data - Demand transparency in access the data and documents - Free access to the forest cover map 	

28	<p>Technical feasibility of the methodological approach and compliance with the UNFCCC guidelines and with IPCC recommendations and guidelines</p>	<p>Is the REL/RL (presented in the readiness package) based on transparent, comprehensive and precise data, compatible with the UNFCCC guidelines and the latest IPCC recommendations and guidelines, and does it allow for a technical assessment of the data sets, approaches, methods, models (where applicable) and assumptions used to define the REL/RL?</p>	<p>- Take the UNFCCC guidelines and IPCC guidelines into account</p>	<p>- Forest carbon is not fully accounted (soil, dead wood)</p>	<p>- Take forest carbon accounting into account</p>	
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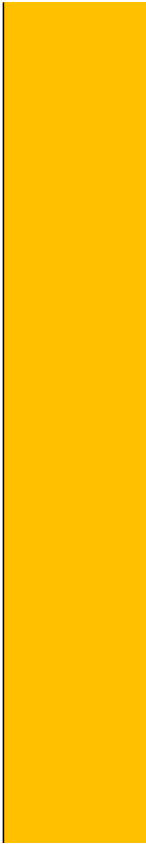
Component 4. Forest monitoring systems and safeguard measures

4a. National forest monitoring system

29	Explanation of the and run?	<p>Is the choice of method used or proposed (combining remote sensing and ground measurements for the forest carbon survey, the resolution, coverage and precision of the system, the integration of carbon and gas reservoirs) supported by explicit reasons or evidence?</p> <p>Has the system been examined technically and approved at national level? Is it compatible with national and international guidelines both currently in force and under development? Have any sources of uncertainty been identified, as far as possible?</p>	supported by explicit reasons or evidence?			
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30	Demonstration of the first phases of application	<p>What is there to indicate that the system is capable of monitoring the activities prioritized by the national REDD+ strategy?</p> <p>How does the system identify and assess emissions displacement (leakage) and, if applicable, what are the initial results?</p> <p>How do the major stakeholders participate in the development and first phases of application of the system (including data collection and any verification of the results), or are they consulted in this regard? What evidence is there that the system allows comparison of the change in forest coverage and carbon levels (and the associated GHG emissions) with the reference estimates used to establish the REL/RL?</p>				
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31	Institutional arrangements and capacities	<p>Are the mandates for tasks associated with forest monitoring clearly defined (processing of satellite data, forest survey, dissemination of information)? What is there to indicate that transparent mechanisms for the public dissemination of data relating to the forests and to emissions have been presented and are at least in their first phases of application? Have the requirements for related resources been defined and estimated (capacities, training, equipment, software and the required budget, for example)?</p>				
4b. System of information on the multiple advantages, other impacts, governance and safeguards						
32	Identification of aspects not connected with carbon and relevant social and environmental issues	<p>How have the non-carbon aspects and social and environmental problems relevant to REDD+ readiness been identified? Have capacity-building recommendations been made in this regard?</p>	<p>- Existence of a list of non-carbon benefits in the benefit-sharing plan</p>	<p>- Social and environmental impacts not identified</p>	<p>Strengthen the capacities of civil society on the non-carbon benefits and social and environmental impacts</p>	

33	Monitoring, reporting, and exchange of information	<p>What is there to indicate that a transparent mechanism for the regular dissemination of data relating to non-carbon aspects and safeguards has been presented and that it is at least in the first phases of application?</p> <p>How is the following information disseminated: quantitative or qualitative variables of paramount importance demonstrating the improvement in rural livelihoods, conservation and biodiversity, the provision of ecosystem-related services, the main drivers of governance directly connected with REDD+ readiness and the application of safeguards taking due account of the specific monitoring provisions contained in the ESMF?</p>	Consultation workshops on the safeguards and the SIS	SIS not available	- Make documents on the safeguards and the SIS available to the stakeholders	
34	Institutional arrangements and capacities	Are the mandates for tasks concerning non-carbon aspects and safeguards [...]				

Public sector

No	Criterion for assessment	Diagnostic questions	Strengths	Weaknesses	Improvement measures	Indicator
Component 1. Organization of preparation and consultation						
1a. National REDD+ management arrangements						
1	Accountability and transparency	What is there to demonstrate that the REDD+ institutions and structures are operating openly, responsibly and transparently?	<ul style="list-style-type: none"> - Creation of CONA-REDD and the CODEPAs by decree - Representation of the various levels (departmental and national) 	<ul style="list-style-type: none"> - Inadequate ownership and capacities relating to the REDD+ process on the part of members of CONA-REDD and the CODEPAs - Low level of private sector participation - No activities by the REDD+ bodies to date 	<ul style="list-style-type: none"> - Strengthen the capacities of CONA-REDD members and the CODEPAs 	
2	Operational mandate and budget	What is there to demonstrate that the national REDD+ institutions are operating on the basis of precise mandates with adequate, predictable and sustainable budgets?	Clear mandates for the REDD+ institutions	<ul style="list-style-type: none"> - No budget to allow financial autonomy to ensure the participation of members 	<ul style="list-style-type: none"> - Establish a budget at local level, at treasury level (funds mobilization) 	
3	Mechanisms for multi-sector coordination and cross-sector collaboration	How do the national REDD+ institutions and structures verify that the activities are coordinated and integrated with the more general national or sectoral policies/programs (environment, national resources management, infrastructure development etc.?)	Various sectors are represented in the REDD+ institutions	<ul style="list-style-type: none"> - Cross-sector coordination is not clearly defined in the mandates of the institutions for REDD+ - No REDD+ activities at local level and therefore no demonstration of cross-sector coordination 	<ul style="list-style-type: none"> - Expedite progression to the investment phase in order to enable cross-sector coordination at local level through the implementation of activities 	

4	Technical supervision capacity	How effective and efficient are the REDD+ institutions and structures in running and supervising the multi-sector REDD+ readiness activities, including the technical preparations?	- Good technical supervision of the REDD+ readiness activities by CN-REDD through the various units	- Poor grasp of the REDD+ process on the part of some stakeholders, limiting their role and effectiveness in technical supervision	- Capacity building among the stakeholders	
5	Fund management capacity	How do the national REDD+ institutions and structures demonstrate effective, efficient and transparent budgetary management and coordinate with the projects of other development partners?	- Relatively effective (audits) and transparent budgetary monitoring	- Dependence of the fiduciary unit on other structures	- Strengthening of the capacities of the fiduciary unit, to ensure its empowerment	
6	Mechanism for information feedback and grievances	What is the evidence to demonstrate that information and grievance feedback operates at national, sub-national and local scale? What is there to demonstrate that it has a clearly defined mandate and has adequate expertise and resources? What is there to indicate that the actors are informed of the mechanism and that they have access to it? What is there to indicate that the mechanism responds to the information feedback?	- Existence of traditional and customary conflict settlement mechanisms on which the information feedback mechanism can be built	- Absence of formal information feedback mechanisms accessible to all stakeholders	- Analyze the existing conflict settlement mechanisms in order to structure the information feedback and grievance mechanism	

1b. Consultation, participation and awareness

7	Participation and commitment of major stakeholders	<p>What are the institutional mechanisms that allow full, effective and constant participation on the part of stakeholders? What mechanisms help to mobilize marginalized groups such as women, young people, indigenous populations and forest-dependent local populations?</p> <p>What participatory mechanisms are used to permit participation in REDD+ readiness on the part of indigenous populations and forest-dependent local populations?</p>	<ul style="list-style-type: none"> - Concertation workshops - Inter-ministerial high level segment (PNAT) - Existence of focal points within the ministries - Existence of the CODEPAs - Existence of CACO-REDD which involves the indigenous populations - Gender quotas for the CODEPAs 	<ul style="list-style-type: none"> - Delays in the distribution of documents that influence the delegation of representatives - French/English issues - No continuity in the participation of individuals: focal point systems not always followed - System of representation within the structures: dissemination of information by the focal points 	<ul style="list-style-type: none"> - Formalization of the responsibilities of the focal points would ensure consistency in participation and the dissemination of records of proceedings and information - Distribution of documents in due time, to allow time for reading and delegation for effective participation - Creation of a website with a bibliography of documents, and easy and timely access - Ensure that there are mechanisms for the representation of women in the REDD+ institutions, the focal points in particular 	
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8	<p>Consultation process</p>	<p>What is the evidence to demonstrate that the consultation processes at national and local scale are clear, representative and transparent and that they give access to information in good time and in a way that is adapted to the cultural context? What evidence is there that the paus has applied a process of self-selection in identifying the stakeholders during the consultations? What is the evidence to confirm that the institutions and decision-making processes of the indigenous populations have been capitalized upon to enrich the consultations and enhance participation? What data demonstrates that the processes take account of the specific characteristics of gender and encourage the widest participation?</p>	<ul style="list-style-type: none"> - Nature of the workshops: all are entitled to speak and there is feedback from the working groups - Positive experience with the development of the REDD+ strategy: review of the strategy in the light of participants' feedback 	<p>Sometimes superficial treatment during workshops</p> <ul style="list-style-type: none"> - Little working time in the technical structures - operation of the CODEPAs: resources for communication are lacking 	<ul style="list-style-type: none"> - Improve the involvement of key sectors, mines for example - Allow sufficient working time within the structures 	
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9	Information dissemination and access to information	<p>How have the REDD+ institutions and structures ensured the dissemination and disclosure of information in good time and in a transparent, full, monitored manner that is adapted to the cultural context (on the REDD+ strategy, the reference levels and MRV etc.)? What is there to indicate that the information is accessible to the stakeholders and is received by them in a format and language that they understand? What means of communication are used to inform the stakeholders effectively, in particular those who have had little or no access to the relevant information?</p>	<ul style="list-style-type: none"> - The workshops organized allow the dissemination of information - Establishment of the CODEPAs 	<ul style="list-style-type: none"> - Absence of a website and social networks - Lack of information dissemination to the communities; information remains at departmental level 	<ul style="list-style-type: none"> - Improve communication on the part of the CODEPAs: dissemination of messages to local populations; operational resources for communication - Use of social networks - Communication delegates identified by district or village? - Creation of a website 	
10	Use and disclosure of the results of the consultations	<p>How are the results of the consultations integrated (incorporated, disseminated, disclosed and taken into account) in the management arrangements, in the development of the strategy and in the technical activities associated with the definition of the reference levels and monitoring systems?</p>	<ul style="list-style-type: none"> - Comments/feedback are given during the workshops - The documents are generally disseminated after distribution 	<ul style="list-style-type: none"> - Insufficient time for submitting comments on the documents - Sometimes the response to comments is very long 	<ul style="list-style-type: none"> - Improve time management in the revision of documents 	

Component 2. Preparation of the REDD+ strategy

2a. Assessment of land use, drivers of change in the allocation of land, forest laws, policies and governance

11	Assessment and analysis	Does the summary of work carried out during the formulation and preparation of the R-PP include an analysis of recent changes in land use and an assessment of the problems associated with land tenure systems and the registration of property titles, with rights to natural resources (including traditional and customary rights), with the laws, policies and forest governance?	<ul style="list-style-type: none"> - Analysis of the current situation: land changes, land-related issues and laws and policies - Map-based analysis - Involvement of the MNAT: land allocation strategy (SNAT to the PNAT) The incorporation of REDD+ in the PNAT - Policy act for land management and development - Formation of links between REDD and other political processes and laws (land laws, forest laws, environmental laws) - Leverage effect of REDD (transparent international process) 	<ul style="list-style-type: none"> - lack of harmonization of sectoral provisions: competition between the sectors and powers - Problem of overlapping uses - Enforcement provisions are lacking: land management, environment law 	<ul style="list-style-type: none"> - Need to ensure that REDD+ is taken into account in the PNAT working groups 	
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12	Ranking of favorable/unfavorable elements, direct and indirect elements, the development of forests	How has the analysis of recent changes in land use and of land issues been used to establish the order of the drivers that need to be addressed by the programs and policies of the REDD+ Strategy? Did the analysis examine the main obstacles to the activities of enhancement of forest carbon stocks which have to be supported by the programs and policies of the REDD+ strategy?	<ul style="list-style-type: none"> - BRLi study of the drivers of deforestation - CNIAF studies - Fuelwood study (CNREDD) <p>Analysis of land issues (e.g. PRONAR)</p> <p>Ranking of the drivers of deforestation: agriculture, fuelwood etc.</p>	- Low level of involvement and engagement on the part of landowners in the proposed actions	<ul style="list-style-type: none"> - Compilation of the provisions on land ownership - Involve landowners in the REDD+ activities to a greater extent 	
13	Links between these favorable/unfavorable elements and the activities of REDD+	What is there to indicate that systematic links between the drivers, the obstacles to the activities of enhancement of forest carbon stocks and REDD+ activities have been identified?	<ul style="list-style-type: none"> - Link between fuelwood and pilot projects such as PRONAR - Link between forest development (community development plans) and the problems of agriculture and the UPARA (pilot unit for afforestation and reforestation) 	Failure to leverage existing experiences in sustainable agriculture, for example in the research and development programs	- Place greater emphasis on intensified agriculture through research and development	

14	Action plans to take into account the rights to natural resources, land tenure systems and governance	Do the action plans to make progress in the short, medium and long term on issues of land ownership, rights to natural resources, livelihoods and governance in the regions prioritized by the REDD+ programs define concrete steps and the required resources?	<p><i>Same comments as for criterion 11</i></p> <ul style="list-style-type: none"> - Analysis of the current situation: land changes, land-related issues and laws and policies - Map-based analysis - Involvement of the MNAT: land allocation strategy (SNAT to the PNAT) The incorporation of REDD+ in the PNAT - Policy act for land management and development - Formation of links between REDD and other political processes and laws (land laws, forest laws, environmental laws) - Leverage effect of REDD (transparent international process) 	<p><i>Same comments as for criterion 11</i></p> <ul style="list-style-type: none"> - lack of harmonization of sectoral provisions: competition between the sectors and powers - Problem of overlapping uses - Enforcement provisions are lacking: land management, environment law 	<p><i>Same comments as for criterion 11</i></p> <ul style="list-style-type: none"> - Need to ensure that REDD+ is taken into account in the PNAT working groups 	
15	Impact on forest laws and policies	Does the assessment highlight the implications for forest laws and policies in the long term?	Consistency and logic of the analysis, in particular on land use and the PNAT	NTR	REDD can be a driver for accelerating the drafting of enforcement provisions for new laws	

2b. Strategic REDD+ options						
16	Selection and prioritization of strategic options for REDD+	<p>Have the strategic options for REDD+, prioritized on the basis of an in-depth assessment of the direct and indirect drivers of deforestation, of obstacles to the enhancement of carbon stocks and other factors, been selected as part of a participatory and transparent process?</p> <p>Has the emissions reduction potential of the activities been estimated, and in what way has it informed the development of the REDD+ strategy?</p>	<ul style="list-style-type: none"> - Specific workshops on the strategy: participation of the ministry-based focal points, panel staffed by experts and high-level segment on the strategy - Enhancement of participation - The importance of research and development is taken into account - The importance of inter-ministerial coordination is taken into account 	<ul style="list-style-type: none"> - Insufficient resources for interventions - CNIAF - Delays in progress in the required research (e.g. allometric equations) 	<ul style="list-style-type: none"> - Expedite the prioritization of strategic options - Finish the research processes on the allometric equations - prioritization of this activity to complete the strategy 	
17	Feasibility assessment	<p>Have the strategic options for REDD+ been assessed and prioritized according to their social, environmental and political feasibility, the risks and possibilities they represent and a cost-benefit analysis?</p>	<p>SESA study to identify the risks PCIs almost finalized (prior reflection on impacts)</p>	<ul style="list-style-type: none"> - the SESA study is delayed 	<p>Complete the SESA as soon as possible</p> <ul style="list-style-type: none"> - Expedite the realizations of the study - Finalize and validate the PCI application process 	

18	Impacts of strategic options on the sectoral policies in force	Have major discrepancies between the priority strategic REDD+ options and the policies or programs conducted by other sectors associated with the forest sector (agriculture and transport, for example) been found? Have a calendar and a procedure for remedying these discrepancies and integrating the strategic REDD+ options with the applicable development policies been established? Are the strategic options contributing to development objectives and are they mobilizing the engagement of communities?	<ul style="list-style-type: none"> - Multi-sectoral workshops between ministries, for example, agro-industry ATAMA and Eco Oil, the mining industry 	<ul style="list-style-type: none"> - no firm agreement with the food processing industry - Uncertainty over the concretization of the strategic options with regard to the food processing industry 	Work in liaison with the food processing industry to encourage the use of non-forested areas/areas of savanna based on the cartographic studies and studies on the potential of the land	
2c. Implementation framework						
19	Adoption and enforcement of laws and regulations	Have laws and/or regulations associated with the REDD+ activities and programs been adopted? What data shows that the laws and policies for REDD+ are enforced?	<ul style="list-style-type: none"> - Laws and regulations: decree on the organization/management of REDD+; existence of structures (CONA-REDD etc.); statute and internal regulations for CONA-REDD, law on land-use planning; BRLi and AGRER analysis (implementation 	<ul style="list-style-type: none"> - Implementation decrees required: law on indigenous peoples, law on land-use planning - Non-validation of the draft law on the forestry system 	Monitoring of the publication of implementing decrees for provisions relating to REDD+	
20	Implementation guidelines	What evidence is there to demonstrate that the implementation framework defines carbon rights, the benefit-sharing arrangements, the REDD+ financing modalities, the official pilot project approval procedures and the grievance mechanisms?	<ul style="list-style-type: none"> - Draft provision on carbon and sharing rights - Decree on the organization and management of REDD+ - Study in progress on the governance of pilot projects - Preliminary provision on the settlement of complaints 	Non-validation of provisions	Expedite the validation of provisions and modalities of governance	

21	Benefit-sharing mechanism	What is there to indicate that the benefit-sharing arrangements are transparent?	Preliminary provision on benefit-sharing	No validated benefit-sharing arrangement	Expedite the process	
22	National REDD+ registry and REDD+ monitoring system	Is there a national georeferenced system or an operational registry containing all relevant information (location, ownership structure, accounting of carbon emissions and financial flows) for the national and sub-national REDD+ programs and projects? Does it offer public access to information on REDD+?	<ul style="list-style-type: none"> - SIFODD (information system for forest management and sustainable development) is under development - Website of the MEFDD (Ministry of the Forest Economy and Sustainable Development) 	<ul style="list-style-type: none"> - No database specific to REDD+ (and on the projects) - No REDD+ website or other publicly accessible tool 	Establishment of the REDD+ system/database	
2d. Social and environmental impacts						
23			<ul style="list-style-type: none"> - Existence of the PCI-REDD developed through a consultation process at local level - Existing community consultations for activities in the forest sector, on the social and environmental impacts - Existence of a panel for finalizing the SESA following the BRLi study 	PCI REDD are not operational	<ul style="list-style-type: none"> - Workshops for training actors on PCI-REDD monitoring - Dissemination of the adopted version of the PCI-REDD 	

24	The design of the REDD+ strategy based on impact	How have the results of the SESA and the social and environmental impacts identified (positive and negative) been used to prioritize and define the strategic REDD+ options?	Consultations at local level on the social and environmental impacts according to the proposed REDD+ activities	SESA in the process of finalization	<ul style="list-style-type: none"> - Expedite the finalization process - Use the SESA to prioritize the strategic options 	
25	Environmental and Social Management Framework	What is the evidence that the ESMF is in place and that it is being used to manage any environmental and social risks and effects associated with the REDD+ activities?	Consultations at local level on the social and environmental impacts according to the proposed REDD+ activities	- ESMF in the process of finalization	<ul style="list-style-type: none"> - Expedite the finalization process - Implement the ESMF to address the social and environmental impacts 	
3. Reference emission levels/reference levels						
26	Demonstration of the method	Is the preliminary sub-national or national REL or RL presented (in the readiness package) through a clearly documented methodology based, where applicable, on a gradual approach? Are plans concerning additional measures and data requirements provided, and is the relationship between the sub-national reference level and the changing national reference level demonstrated (where applicable)?				

27	Use of historical data and adaptation to the national context	To what extent does the establishment of the REL/RL take account of historical data and, if it is adapted to the national situation, what reasons and data demonstrate that the projected adjustments are credible and defensible? Have data and documents been provided in a transparent manner and in sufficient quantity to allow the reconstruction or independent verification of the REL/RL?			
28	Technical feasibility of the methodological approach and compliance with the UNFCCC guidelines and recommendations and guidelines of the IPCC	Is the REL/RL (presented in the readiness package) based on transparent, comprehensive and precise data, compatible with the UNFCCC guidelines and the latest IPCC recommendations and guidelines, and does it allow for a technical assessment of the data sets, approaches, methods, models (where applicable) and assumptions used to define the REL/RL?			

Component 4. Forest monitoring systems and safeguard measures

4a. National forest monitoring system

29	Explanation of the monitoring	<p>Is the choice of method used or proposed (combining remote sensing and ground measurements for the forest carbon survey, the resolution, coverage and precision of the system, the integration of carbon and gas reservoirs) and the improvements made to them in the long run supported by explicit reasons?</p> <p>Has the system been examined technically and approved at national level? Is it compatible with national and international guidelines, both currently in force and under development?</p> <p>Have any sources of uncertainty been identified, as far as possible?</p>				
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30	Demonstration of the first phases of application	<p>What is there to indicate that the system is capable of monitoring the activities prioritized by the national REDD+ strategy? How does the system identify and assess emissions displacement (leakage) and, if applicable, what are the initial results? How do the major stakeholders participate in the development and first phases of application of the system (including data collection and any verification of the results), or are they consulted in this regard? What evidence is there that the system allows comparison of the change in forest coverage and carbon levels (and the associated GHG emissions) with the reference estimates used to establish the REL/RL?</p>		
31	Institutional arrangements and capacities	<p>Are the mandates for tasks associated with forest monitoring clearly defined (processing of satellite data, forest survey, dissemination of information)? What is there to indicate that transparent mechanisms for the public dissemination of data relating to the forests and to emissions have been presented and are at least in their first phases of application? Have the requirements for related resources been defined and estimated (capacities, training, equipment, software and the required budget, for example)?</p>		

4b. System of information on the multiple advantages, other impacts, governance and safeguards

32	Identification of aspects not connected with carbon and relevant social and environmental issues	How have the non-carbon aspects and social and environmental problems relevant to REDD+ readiness been identified? Have capacity-building recommendations been made in this regard?	<ul style="list-style-type: none"> - NFS has already carried out a forest survey - Participation of stakeholders in the workshops (including communities and indigenous populations) during sessions for the feedback of the NFS survey results 	<ul style="list-style-type: none"> - Non-carbon benefits have not been clearly identified - Limited understanding of the non-carbon benefits (ecosystem services, preservation of fauna etc.) among local communities and indigenous populations. 	Strengthen awareness-raising activities on the non-carbon benefits for local communities and indigenous peoples	
33	Monitoring, reporting, and exchange of information	<p>What is there to indicate that a transparent mechanism for the regular dissemination of data relating to non-carbon aspects and safeguards has been presented and that it is at least in the first phases of application?</p> <p>How is the following information disseminated: quantitative or qualitative variables of paramount importance demonstrating the improvement in rural livelihoods, conservation and biodiversity, the provision of ecosystem-related services, the main drivers of governance directly connected with REDD+ readiness and the application of safeguards taking due account of the specific monitoring provisions contained in the ESMF?</p>		<ul style="list-style-type: none"> - Information system for monitoring non-carbon benefits and safeguards (SIS) is not yet in place 	Expedite the establishment of the information and monitoring system	
34	Institutional arrangements and capacities	Are the mandates for tasks concerning non-carbon aspects and safeguards clearly defined?	Mandates and resources in the process of definition	Mandates and resources not yet defined	- Expedite the definition of mandates and resources	

Technical and financial partners:

No	Criterion for assessment	Diagnostic questions	Strengths	Weaknesses	Activities required	Indicator
Component 1. Organization of preparation and consultation						
1a. National REDD+ management arrangements						
1	Accountability and transparency	What is there to demonstrate that the REDD+ institutions and structures are operating openly, responsibly and transparently?	Existence of CN- REDD, the CODEPAs, CONA-REDD		Improve communication on the management decisions taken in meetings (CONA-REDD, CODEPA-REDD)	
2	Operational mandate and budget	What is there to demonstrate that the national REDD+ institutions are operating on the basis of precise mandates with adequate, predictable and sustainable budgets?	Just one CONA-REDD meeting	State budget not available for CONA-REDD and the CODEPA-REDD	Check the provision for funds in the state budget for CONA-REDD and the CODEPA-REDD	
3	Mechanisms for multi-sector coordination and cross-sector collaboration	How do the national REDD+ institutions and structures verify that the activities are coordinated and integrated with the more general national or sectoral policies/programs (environment, national resources management, infrastructure development etc.?)	Efforts on sectoral consistency and coordination: ministry focal points, meetings with the various sectors, CONA-REDD	<ul style="list-style-type: none"> - Coordination with non-forest sectors remains problematic - No CONA-REDD meeting 	Ensure that CONA-REDD is embedded in the new government, in liaison with the Prime Minister in particular.	
4	Technical supervision capacity	How effective and efficient are the REDD+ institutions and structures in running and supervising the multi-sector REDD+ readiness activities, including the technical preparations?	Good technical capacity in CN-REDD and the CNIAF	Issue of inter-ministerial coordination problematic	CN-REDD should demonstrate greater leadership in relation to other ministries	

<p>5</p> <p>Fund management capacity</p>	<p>How are the institutions and structures demonstrating effective, efficient and transparent budgetary management and coordinating with the projects of other development partners?</p>	<p>Funds managed by the FEDP relatively reliable</p>	<p>Readiness funds not managed by CN-REDD: FAO for the UN-REDD funds and FEDP for the FCPF funds</p>		
<p>Mechanism for information feedback and grievances</p>	<p>What is the evidence to demonstrate that information and grievance feedback operates at national, sub-national and local scale?</p> <p>What is there to demonstrate that it has a clearly defined mandate and has adequate expertise and resources?</p> <p>What is there to indicate that the actors are informed of the mechanism and that they have access to it?</p> <p>What is there to indicate that the mechanism responds to the information fed back?</p>	<p>Experience of grievance and complaints mechanism with FSC certified companies</p>	<p>- no dissemination of information on the process - no feedback mechanism</p>	<p>Provide regular newsletters on the process in order to pass on information Create a website</p>	

1b. Consultation, participation and awareness

7	Participation and commitment of major stakeholders	<p>What are the institutional mechanisms that allow full, effective and constant participation on the part of stakeholders? What mechanisms help to mobilize marginalized groups such as women, young people, indigenous populations and forest-dependent local populations? What participatory mechanisms are used to permit participation in REDD+ readiness on the part of indigenous populations and forest-dependent local populations?</p>	<ul style="list-style-type: none"> - Information sheets - mailing list - MEFDD website - Existence of CACO-REDD - REDD management structures (CN-REDD etc.) - ministry-based focal points 	<ul style="list-style-type: none"> - Quality of the participation: issue of representation, in particular of indigenous peoples, within CACO-REDD - Definition of the representation remains complex with the indigenous peoples within CN-REDD - Lack of regularly in the representation of the ministry-based focal points 		
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8	Consultation process	<p>What is the evidence to demonstrate that the consultation processes at national and local scale are clear, representative and transparent and that they give access to information in good time and in a way that is adapted to the cultural context?</p> <p>What evidence is there that the paus has applied a process of self-selection in identifying the stakeholders during the consultations? What is the evidence to confirm that the institutions and decision-making processes of the indigenous populations have been capitalized upon to enrich the consultations and enhance participation?</p> <p>What data demonstrates that the processes take account of the specific characteristics of gender and encourage the widest participation?</p>		<p>- No description of the participation process: how are the consultations conducted? How can we ensure that all participants can express their opinion?</p>		
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9	Information dissemination and access to information	How have the REDD+ institutions and structures ensured the dissemination and disclosure of information in good time and in a transparent, full, monitored manner that is adapted to the cultural context (on the REDD+ strategy, the reference levels and MRV etc.)? What is there to indicate that the information is accessible to the stakeholders and is received by them in a format and language that they understand? What means of communication are used to inform the stakeholders effectively, in particular those who have had little or no access to the relevant information?		<ul style="list-style-type: none"> - Documents not available within a reasonable time period, sometimes on-line dissemination only when many have no internet access 	<ul style="list-style-type: none"> - Formalize the role of departmental representatives in communication: internet/download and communication, printing and distribution of documents 	
10	Use and disclosure of the results of consultations	How are the results of the consultations integrated (incorporated, disseminated, disclosed and taken into account) in the management arrangements, in the development of the strategy and in the technical activities associated with the definition of the reference levels and monitoring systems?		<ul style="list-style-type: none"> - lack of transparency on the results of the consultation process: minutes do not reflect the content of the discussions - Lack of transparency on the changes to the Forest Code: not taken into account in comments by civil society, drafting of enforcement provisions remains pending Time available for feedback/returns 		

Component 2. Preparation of the REDD+ strategy

2a. Assessment of land use, drivers of change in the allocation of land, forest laws, policies and governance

11	Assessment and analysis	Does the summary of work carried out during the formulation and preparation of the R-PP include an analysis of recent changes in land use and an assessment of the problems associated with land tenure systems and the registration of property titles, with rights to natural resources (including traditional and customary rights), with the laws, policies and forest governance?	<ul style="list-style-type: none"> - Policy act on land-use planning - REDD/FLEGT studies carried out by EFI - BRLi report on the drivers of deforestation - Client Earth diagnostic study on land issues 	Lack of coordination between the various components of the analysis of the legal framework, forest policy, the PNAT and sectoral issues.		
12	Ranking of favorable/unfavorable elements, direct and indirect elements, the development of forests	How has the analysis of recent changes in land use and of land issues been used to establish the order of the drivers that need to be addressed by the programs and policies of the REDD+ Strategy? Did the analysis examine the main obstacles to the activities of enhancement of forest carbon stocks which have to be supported by the programs and policies of the REDD+ strategy?		Little account taken of agriculture in the strategy (the main driver of deforestation in Congo)		
13	Links between these favorable/unfavorable elements and the REDD+ activities	What is there to indicate that systematic links between the drivers, the obstacles to the activities of enhancement of forest carbon stocks and REDD+ activities have been identified?	Progress through the ERPD, which contributes to the strategy	Inadequate links between the key drivers and the actions		

14	Action plans to take into account the rights to natural resources, land tenure systems and governance	Do the action plans to make progress in the short, medium and long term on issues of land ownership, rights to natural resources, livelihoods and governance in the regions prioritized by the REDD+ programs define concrete steps and the required resources?	Efforts made to gather the strategies and policies of various sectors in order to take them into account	<ul style="list-style-type: none"> - Lack of integration and involvement of sectoral actors: mines, agricultures etc. - Sectoral strategies and policies not available - Assumption in the REDD+ strategy that the PNAT is going to solve all the problems 	Operationalize CONA-REDD in order to ensure coordination	
15	Impact on forest laws and policies	Does the assessment highlight the implications for forest laws and policies in the long term?	importance of forest legislation: emphasis on enforcement of forest legislation, FLEGT/REDD overlap (e.g. between the independent REDD	<ul style="list-style-type: none"> - Lack of detail on the examination of non-forest sectors: agriculture etc. - Limited progress on land issues (e.g. SDCs) 	Realize linkage between REDD and the PNAT	
2b. Strategic REDD+ options						
16	Selection and prioritization of strategic options for REDD+	Have the strategic options for REDD+, prioritized on the basis of an in-depth assessment of the direct and indirect drivers of deforestation, of obstacles to the enhancement of carbon stocks and other factors, been selected as part of a participatory and transparent process? Has the emissions reduction potential of the activities been estimated, and in what way has it informed the development of the REDD+ strategy?	Emphasis placed on the forest sector: implementation of good practices	<ul style="list-style-type: none"> - Time lag between the development of the strategy and the assessment of the R-Package - Lack of clarity as to how REDD is going to influence the application of good forest practices - Fuelwood issues not assessed 	<ul style="list-style-type: none"> - More clarity as to how to apply measures in the forest sector (RIL, FLEGT, legality etc.) - Need to rank the activities - Need to identify the location of the priority areas for each activity 	

17	Feasibility assessment	Have the strategic options for REDD+ been assessed and prioritized according to their social, environmental and political feasibility, the risks and possibilities they represent and a cost-benefit analysis?	- Existence of a strategic study on the development of COCOA	- Absence of a clear mechanism for the implementation of key actions (e.g. RIL with forester, intensified agriculture and cocoa) - Lack of progress on issues of sustainable agriculture and other strategic options - Need to identify where the		
18	Impacts of strategic options on the sectoral policies in force	Have major discrepancies between the priority strategic REDD+ options and the policies or programs conducted by other sectors associated with the forest sector (agriculture and transport, for example) been found? Have a calendar and a procedure for remedying these discrepancies and integrating the strategic REDD+ options with the applicable development policies been established? Are the strategic options contributing to development objectives and are they mobilizing the engagement of communities?	Work started on the legal framework for conversion wood by the Independent FLEGT Observatory	- No legal framework for conversion wood - Mismatch between some strategic REDD+ options and the proposed actions (e.g. cassava plan)		
2c. Implementation framework						
19	Adoption and enforcement of laws and regulations	Have laws and/or regulations associated with the REDD+ activities and programs been adopted? What data shows that the laws and policies for REDD+ are enforced?	- Progress on the Mining Code - Progress on the revision of the Forest Code, the Environment Law and forest policy	- Laws not finalized - No clear mechanism for the incorporation of REDD issues in the framework laws (mines)		

20	Implementation guidelines	What evidence is there to demonstrate that the implementation framework defines carbon rights, the benefit-sharing arrangements, the REDD+ financing modalities, the official pilot project approval procedures and the grievance mechanisms?	<ul style="list-style-type: none"> - EFI study on benefit-sharing - Study of the implementation framework - work started on the project registry - Experience of the FLEGT/VPA in the complaints mechanism 	<ul style="list-style-type: none"> - No provision on carbon rights - No clear procedure for the registration of projects - No progress on the complaints mechanism 		
21	Benefit-sharing arrangement	What is there to indicate that the benefit-sharing arrangements are transparent?	Preliminary study on the LDFs (experience acquired)	<ul style="list-style-type: none"> - MBenefit-sharing arrangement: problems with the LDFs already known - Need to involve the rural development NGOs in order to strengthen the capacities of communities in the use of the benefits 	<ul style="list-style-type: none"> - Learn the lessons of the LDF: LDF funds audit - Use the assessment of strengths and weakness of the LDF process. - Involve development NGOs: management of interests and conflicts 	
22	National REDD+ registry and REDD+ monitoring system	Is there a national georeferenced system or an operational registry containing all relevant information (location, ownership structure, accounting of carbon emissions and financial flows) for the national and sub-national REDD+ programs and projects? Does it offer public access to information on REDD+?	Start of a reflection on the registry system	No progress in the registry process	Reflection on the public interface of the project registry	

2d. Social and environmental impacts						
23	Analysis of issues relating to social and environmental safeguards	What evidence is there to show that the issues relating to social and environmental safeguards applicable to the national context have been fully analyzed as part of adapted studies or diagnoses and consultation processes?	Existence of the PCI-REDD developed through participatory processes	Lack of consistency between the PCI-REDD and strategy and the practical aspects of REDD+	Clarify the use of the PCIs through the SESA	
24	The design of the REDD+ strategy based on impact	How have the results of the SESA and the social and environmental impacts identified (positive and negative) been used to prioritize and define the strategic REDD+ options?	Work has started on the SESA	Parallel work on the SESA and the strategy: to date, the social and environmental impacts are not taken into account	Complete the work on the SESA followed by strategic revision	
25	Environmental and Social Management Framework	What is the evidence that the ESMF is in place and that it is being used to manage any environmental and social risks and effects associated with the REDD+ activities?		Depends on the work on the SESA		

3. Reference emission levels/reference levels

26	Demonstration of the method	<p>Is the preliminary sub-national or national REL or RL presented (in the readiness package) through a clearly documented methodology based, where applicable, on a gradual approach? Are plans concerning additional measures and data requirements provided, and is the relationship between the sub-national reference level and the changing national reference level demonstrated (where applicable)?</p>	<ul style="list-style-type: none"> - Submission of the FREL to the UNFCCC - 2 methodologies used for the UNFCCC and the ERPD which produce similar results - Reliable historical analysis: correlation of the remote sensing information with the NFS plots 	<ul style="list-style-type: none"> - Problem of consistency: some drivers taken into account in the reference level but are not reflected in the strategic options - FREL: appropriate method but adjustments not clearly justified 		
27	Use of historical data and adaptation to the national context	<p>To what extent does the establishment of the REL/RL take account of historical data and, if it is adapted to the national situation, what reasons and data demonstrate that the projected adjustments are credible and defensible? Have data and documents been provided in a transparent manner and in sufficient quantity to allow the reconstruction or independent verification of the REL/RL?</p>	<ul style="list-style-type: none"> - ERPD: ERPD: adjustments based on the PDSA 	<p>Same comments as for criterion 26</p>		

28	Technical feasibility of the methodological approach and compliance with the UNFCCC guidelines and with IPCC recommendations and guidelines	Is the REL/RL (presented in the readiness package) based on transparent, comprehensive and precise data, compatible with the UNFCCC guidelines and the latest IPCC recommendations and guidelines, and does it allow for a technical assessment of the data sets, approaches, methods, models (where applicable) and assumptions used to define the REL/RL?	Data can be verified for the historical calculation	<ul style="list-style-type: none"> - Emissions projections based on the standard equations, work on allometric equations has barely started - Collaboration between CN-REDD and the universities is limited - Difficulties with access to the various development strategies - Agriculture not taken into account (slash-and-burn agriculture in particular) 		
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Component 4 Forest monitoring systems and safeguard measures

4a. National forest monitoring system

29	Explanation of the monitoring method	Is the choice of method used or proposed (combining remote sensing and ground measurements for the forest carbon survey, the resolution, coverage and precision of the system, the integration of carbon and gas reservoirs) and the improvements made to them in the long run supported by explicit reasons? Has the system been examined technically and approved at national level? Is it compatible with national and international guidelines, both currently in force and under development? Have any sources of uncertainty been identified, as far as possible?	<ul style="list-style-type: none"> - Existence of tools: NFS plots, Global Forest Watch, FLEGT, remote sensing - Training of CNIAF agents 	<ul style="list-style-type: none"> -Lack of consistency/structures of the various tools - No centralization of data in a database 	<ul style="list-style-type: none"> - Operationalization of the MRV system - Implementation of pilot activities to test the MRV system 	
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30	Demonstration of the first phases of application	<p>What is there to indicate that the system is capable of monitoring the activities prioritized by the national REDD+ strategy? How does the system identify and assess emissions displacement (leakage) and, where applicable, what are the initial results?</p> <p>How do the major stakeholders participate in the development and first phases of application of the system (including data collection and any verification of the results), or are they consulted in this regard? What evidence is there that the system allows comparison of the change in forest coverage and carbon levels (and the associated GHG emissions) with the reference estimates used to establish the REL/RL?</p>		<ul style="list-style-type: none"> - Identify the implementation areas for REDD+ in order to analyze possible leakages - Collaboration with the universities and other stakeholders is limited 		
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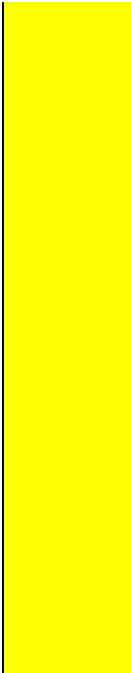
31	Institutional arrangements and capacity	Are the mandates for tasks associated with forest monitoring clearly defined (processing of satellite data, forest survey, dissemination of information)? What is there to indicate that transparent mechanisms for the public dissemination of data relating to the forests and to emissions have been presented and are at least in their first phases of application? Have the requirements for related resources been defined and estimated (capacities, training, equipment, software and the required budget, for example)?	<ul style="list-style-type: none"> - Separation of the CN-REDD/CNIAF boundaries - MRV unit based at the CNIAF - Needs identified 	<ul style="list-style-type: none"> - Mandates for the procedures and dissemination of results are not clearly defined - Need to clarify the role of the Independent REDD Observatory 	Work on establishing the procedures and the dissemination of data	
4b. System of information on the multiple advantages, other impacts, governance and safeguards						
32	Identification of aspects not connected with carbon and relevant social and environmental issues	How have the non-carbon aspects and social and environmental problems relevant to REDD+ readiness been identified? Have capacity-building recommendations been made in this regard?	<ul style="list-style-type: none"> - Incorporation of some socio-economic parameters in the NFS - mapping of non-carbon benefits in progress UNEP-WCMC 	The mapping study on non-carbon benefits not published		

33	Monitoring, reporting, and exchange of information	<p>What is there to indicate that a transparent mechanism for the regular dissemination of data relating to non-carbon aspects and safeguards has been presented and that it is at least in the first phases of application?</p> <p>How is the following information disseminated: quantitative or qualitative variables of paramount importance demonstrating the improvement in rural livelihoods, conservation and biodiversity, the provision of ecosystem-related services, the main drivers of governance directly connected with REDD+ readiness and the application of safeguards taking due account of the specific monitoring provisions contained in the ESMF?</p>	<ul style="list-style-type: none"> - Work has started on the SIS - Dialog on the development of the OI-REDD - Communication between the OI-REDD and OI-FLEGT actors - Existence of the Forest Transparency Initiative managed by the WRI 	<ul style="list-style-type: none"> - Work on the SIS is still at a theoretical/conceptual level - Mechanism of the system still not clear - Lack of clarity on the role of the OI-REDD and the involvement of civil society 	<ul style="list-style-type: none"> - Clarify the objectives of the SIS - Take the procedures of the fund donors into account 	
34	Institutional arrangements and capacity	Are the mandates for tasks concerning non-carbon aspects and safeguards clearly defined?	Identification of the actors who need to be involved in the SIS	Lack of coordination between the actors involved in the SIS		

CODEPAs


No	Criterion for assessment	Diagnostic questions	Strengths	Weaknesses	Improvement measures	Indicator
Component 1. Organization of preparation and consultation						
1a. National REDD+ management arrangements						
1	Accountability and transparency	What is there to demonstrate that the REDD+ institutions and structures are operating openly, responsibly and transparently?	Existence of structures: - Participation of the various stakeholder groups in the CODEPAs	- Ad hoc operation of the CODEPAs because of financing difficulties for regular meetings and the financing for participation of the indigenous peoples - No base/structure for the CODEPAs	Financial resources to allow the CODEPAs to operate autonomously in relation to CN-REDD	
2	Operational mandate and budget	What is there to demonstrate that the national REDD+ institutions are operating on the basis of precise mandates with adequate, predictable and sustainable budgets?	- Meetings held in the departments in accordance with the presidential decree - The mandates of the CODEPAs are clear	- Lack of equipment e.g. computing equipment - Access to information on-line etc. problematic - Lack of decentralization: resources managed by CN-REDD - Problem of access to the state budget	Internet connection for the CODEPAs	

3	Mechanisms for multi-sector coordination and cross-sector collaboration	How do the national REDD+ institutions and structures verify that the activities are coordinated and integrated with the more general national or sectoral policies/programs (environment, national resources management, infrastructure development etc.?)	Multi-sectoral coordination is laid down by decree and this is therefore a clear mandate for the CODEPAs	<ul style="list-style-type: none"> - Multi-sectoral coordination is difficult due to a lack of resources - Logistical constraints, reaching field locations in Lékoumou in particular 		
4	Technical supervision capacity	How effective and efficient are the REDD+ institutions and structures in running and supervising the multi-sector REDD+ readiness activities, including the technical preparations?	<ul style="list-style-type: none"> - Good supervision capacity among the CODEPAs - CN-REDD facilitators at departmental level (Likouala, Sangha, Niari) 	<ul style="list-style-type: none"> - Information is necessary for the coordinators - Need for CN-REDD facilitators in all departments (only 3 departments have them) 	Train the coordinators for communication on REDD (at CODEPA level)	
5	Fund management capacity	How do the national REDD+ institutions and structures demonstrate effective, efficient and transparent budgetary management and coordinate with the projects of other development partners?		CODEPAs have no budgets to manager Lack of information on the budgetary management of CN-REDD	Establish budgets for the CODEPAs	

6	<p>Mechanism for information feedback and grievances</p>	<p>What is the evidence to demonstrate that information and grievance feedback operates at national, sub-national and local scale? What is there to demonstrate that it has a clearly defined mandate and has adequate expertise and resources? What is there to indicate that the actors are informed of the mechanism and that they have access to it? What is there to indicate that the mechanism responds to the information fed back?</p>	<p>Existence of bodies that can play a role in information feedback - There are existing structures to be used in complaints management (traditional and state structures)</p>	<p>No formal mechanism as yet</p>	<p>Formalization of the mechanisms and procedures within the CODEPAs</p>	
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1b. Consultation, participation and awareness

7	Participation and commitment on the part of the major stakeholders	<p>What are the institutional mechanisms that allow full, effective and constant participation on the part of stakeholders? What mechanisms help to mobilize marginalized groups such as women, young people, indigenous populations and forest-dependent local populations? What participatory mechanisms are used to permit participation in REDD+ readiness on the part of indigenous populations and forest-dependent local populations?</p>	<ul style="list-style-type: none"> - CODEPAs allow participation on the part of civil society and the indigenous peoples - For some departments, there is self-selection of the representatives of the indigenous peoples in an assembly - In some departments, women are represented by the department for the integration of women and groups of young people are included 	<ul style="list-style-type: none"> - The participation of indigenous peoples is not achieved in all departments - Lack of resources necessary to operationalize the participation of existing bodies - Involvement varies from department to department according to the priority given to forest development and REDD+, in particular with regard to the participation of indigenous peoples which is not always guaranteed 		
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8	<p>Consultation process</p>	<p>What is the evidence to demonstrate that the consultation processes at national and local scale are clear, representative and transparent and that they give access to information in good time and in a way that is adapted to the cultural context?</p> <p>What evidence is there to show that the country has applied a self-selection process to during the consultations?</p> <p>What is the evidence to confirm the institutions and processes of decision making for indigenous populations are enriched through consultations that strengthen participation?</p> <p>What data demonstrates that the processes take account of the specific characteristics of gender and encourage the widest participation?</p>	<ul style="list-style-type: none"> - Each stakeholder group designates its representative - Work in focus groups - Meetings conducted in the local language 	<ul style="list-style-type: none"> - Information on the consultation process not far enough in advance: short notice impacts participation and representation 	<ul style="list-style-type: none"> - Distribute the documents in sufficient time to allow an examination of them before the consultations - Enhance the dissemination of information on all the REDD+ components (including the REL, MRV) to allow effective participation 	
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9	Information dissemination and access to information	How have the REDD+ institutions and structures ensured the dissemination and disclosure of information in good time and in a transparent, full, monitored manner that is adapted to the cultural context (on the REDD+ strategy, the reference levels and MRV etc.)? What is there to indicate that the information is accessible to the stakeholders and is received by them in a format and language that they understand? What means of communication are used to inform the stakeholders effectively, in particular those who have had little or no access to the relevant information?	<ul style="list-style-type: none"> - Existence of minutes of meetings and reports - Feedback on participation in REDD+ meetings on the part of the CODEPAs - Appointment of substitutes 	<ul style="list-style-type: none"> - Problem of internet access in order to access and distribute documents 	<ul style="list-style-type: none"> - Generalize and strengthen the distribution of newsletters in some departments 	
10	Use and disclosure of the results of consultations	How are the results of the consultations integrated (incorporated, disseminated, disclosed and taken into account) in the management arrangements, in the development of the strategy and in the technical activities associated with the definition of the reference levels and monitoring systems?	<ul style="list-style-type: none"> - Sharing the progress made on REDD+ by CN-REDD on a regular basis - Newsletters and leaflets 	<ul style="list-style-type: none"> - Feedback by CN-REDD on documents amended and decisions taken - Problems of feedback after consultations (e.g. COP-21) raised very frequently 	<ul style="list-style-type: none"> - Systematic feedback on the documents consulted within the time allowed - Minimize the time between the consultations and the dissemination of final reports 	

Component 2. Preparation of the REDD+ strategy

2a. Assessment of land use, drivers of change in the allocation of land, forest laws, policies and governance

11	Assessment and analysis	Does the summary of work carried out during the formulation and preparation of the R-PP include an analysis of recent changes in land use and an assessment of the problems associated with land tenure systems and the registration of property titles, with rights to natural resources (including traditional and customary rights), with the laws, policies and forest governance?		Lack of information on the analyses carried out	
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12	Ranking of favorable/unfavorable elements, direct and indirect elements, the development of forests	How has the analysis of recent changes in land use and of land issues been used to establish the order of the drivers that need to be addressed by the programs and policies of the REDD+ Strategy? Did the analysis examine the main obstacles to the activities of enhancement of forest carbon stocks which have to be supported by the programs and policies of the REDD+ strategy?	Ranking of the drivers of deforestation at departmental level	Lack of feedback after the discussions on the ranking of the drivers of deforestation		
13	Links between these favorable/unfavorable elements and the REDD+ activities	What is there to indicate that systematic links between the drivers, the obstacles to the activities of enhancement of forest carbon stocks and REDD+ activities have been identified?	Discussions on the drivers and REDD+ activities during consultations on the strategy	Work to develop the strategy is in progress: need to verify whether the inputs have been taken into account		

14	Action plans to take into account the rights to natural resources, land tenure systems and governance	Do the action plans to make progress in the short, medium and long term on issues of land ownership, rights to natural resources, livelihoods and governance in the regions prioritized by the REDD+ programs define concrete steps and the required resources?	Discussions on the implementation of land reforms during the workshops	<ul style="list-style-type: none"> - Lack of information on progress on the action plans, in particular with regard to land issues - Disconnect between the national and departmental processes for land allocation - The incorporation of REDD+ in the PNAT 	<ul style="list-style-type: none"> - Speed up the implementation of land reforms including the law on land-use planning - Role of CONA-REDD in implementing the action plans on land and land-use planning issues 	
15	Impact on forest laws and policies	Does the assessment highlight the implications for forest laws and policies in the long term?	Identification of the implications of REDD+ for the legal framework/potential sticking points during workshops on the strategy		Develop measures to tackle illegal (unplanned) deforestation	

2b. Strategic REDD+ options

16	Selection and prioritization of strategic options for REDD+	Have the strategic options for REDD+, prioritized on the basis of an in-depth assessment of the direct and indirect drivers of deforestation, of obstacles to the enhancement of carbon stocks and other factors, been selected as part of a participatory and transparent process? Has the emissions reduction potential of the activities been estimated, and in what way has it informed the development of the REDD+ strategy?	CODEPAs involved in discussion on the prioritization of the options	Emissions reduction potential for the strategic options not yet defined	Complete the prioritization process to allow implementation of the activities	
17	Feasibility assessment	Have the strategic options for REDD+ been assessed and prioritized according to their social, environmental and political feasibility, the risks and possibilities they represent and a cost-benefit analysis?	Discussions on the impact of the strategic options in August 2015 (2 groups, for northern and southern Congo)	Lack of clarity on how the recommendations are taken into account: strategy not yet finalized and disseminated	Ensure feedback and reporting back on discussions	

18	Impacts of strategic options on the sectoral policies in force	<p>Have major discrepancies between the priority strategic REDD+ options and the policies or programs conducted by other sectors associated with the forest sector (agriculture and transport, for example) been found?</p> <p>Have a calendar and a procedure for remedying these discrepancies and integrating the strategic REDD+ options with the applicable development policies been established?</p> <p>Are the strategic options contributing to development objectives and are they mobilizing the engagement of communities?</p>	<ul style="list-style-type: none"> - Discussions on the land allocation strategy and the implementation of the PNAT - Explanations provided on the options for ensuring that loggers implement good practices 	Need to strengthen cross-sector coordination mechanisms	Need to strengthen and structure exchanges between the various sectors	
2c. Implementation framework						
19	Adoption and enforcement of laws and regulations	<p>Have laws and/or regulations associated with the REDD+ activities and programs been adopted?</p> <p>What data shows that the laws and policies for REDD+ are enforced?</p>	<ul style="list-style-type: none"> - New Forest Code includes provisions on REDD - Decree 260 which creates the REDD+ structures - Revision of the Environment Law - CONA-REDD and CODEPA-REDD are cross-sectoral in nature: participation of the deputies - Involvement of REDD 	<ul style="list-style-type: none"> - Forest Code not validated - Environment Law under revision - Enforcement of forest legislation varies between departments - The PNAT under way: not yet operational 	Potential for CONA-REDD to influence the progress of the laws (Forest Code, Environment Law, Mining Code etc.)	

			in the PNAT			
20	Implementation guidelines	What evidence is there to demonstrate that the implementation framework defines carbon rights, the benefit-sharing arrangements, the REDD+ financing modalities, the official pilot project approval procedures and the grievance mechanisms?	<ul style="list-style-type: none"> - Discussions have started on carbon rights, benefit-sharing, the grievance mechanism - Documents prepared in draft form 	Provisions still under development	Expedite finalization of the provisions	
21	Benefit-sharing arrangement	What is there to indicate that the benefit-sharing arrangements are transparent?	<ul style="list-style-type: none"> - All stakeholders are involved in the discussion - Examples exist (e.g. financial audits/FSC audits) - Principle of transparency is accepted - Role of civil society in the monitoring-assessment offices of CONA-REDD and the CODEPAs 	Absence of practices	Expedite projects to allow benefit-sharing: practical experience	

22	National REDD+ registry and REDD+ monitoring system	Is there a national georeferenced system or an operational registry containing all relevant information (location, ownership structure, accounting of carbon emissions and financial flows) for the national and sub-national REDD+ programs and projects? Does it offer public access to information on REDD+?	Newsletters	Work in progress: the registry does not yet exist		
2d. Social and environmental impacts						
23	Analysis of issues relating to social and environmental safeguards	What evidence is there to show that the issues relating to social and environmental safeguards applicable to the national context have been fully analyzed as part of adapted studies or diagnoses and consultation processes?	Workshops on the impacts and benefits of REDD within the CODEPAs in 2 departments	This subject is not addressed across all departments	Extend the identification of social and environmental impacts to all departments	

24	The design of the REDD+ strategy based on impact	How have the results of the SESA and the social and environmental impacts identified (positive and negative) been used to prioritize and define the strategic REDD+ options?		- SESA/ESMF process has only just started to be disseminated at departmental level - Results not yet taken into account in the strategic options	Expedite the SESA/ESMF process	
25	Environmental and Social Management Framework	What is the evidence that the ESMF is in place and that it is being used to manage any environmental and social risks and effects associated with the REDD+ activities?		- SESA/ESMF process has only just started to be disseminated at departmental level - Results not yet taken into account in the strategic options	Expedite the SESA/ESMF process	
3. Reference emission levels/reference levels						
26	Demonstration of the method	Is the preliminary sub-national or national REL or RL presented (in the readiness package) through a clearly documented methodology based, where applicable, on a gradual approach? Are plans concerning additional measures and data requirements provided, and is the relationship between the sub-national reference level and the changing national reference level demonstrated (where applicable)?				

27	Use of historical data and adaptation to the national context	To what extent does the establishment of the REL/RL take account of historical data and, if it is adapted to the national situation, what reasons and data demonstrate that the projected adjustments are credible and defensible? Have data and documents been provided in a transparent manner and in sufficient quantity to allow the reconstruction or independent verification of the REL/RL?				
28	Technical feasibility of the methodological approach and compliance with the UNFCCC guidelines and with IPCC recommendations and guidelines	Is the REL/RL (presented in the readiness package) based on transparent, comprehensive and precise data, compatible with the UNFCCC guidelines and the latest IPCC recommendations and guidelines, and does it allow for a technical assessment of the data sets, approaches, methods, models (where applicable) and assumptions used to define the REL/RL?				

Component 4. Forest monitoring systems and safeguard measures

4a. National forest monitoring system

29	Explanation of the monitoring method	<p>Is the choice of method used or proposed (combining remote sensing and ground measurements for the forest carbon survey, the resolution, coverage and precision of the system, the integration of carbon and gas reservoirs) and the improvements made to them in the long run supported by explicit reasons? Has the system been examined technically and approved at national level? Is it compatible with national and international guidelines, both currently in force and under development? Have any sources of uncertainty been identified, as far as possible?</p>				
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30	Demonstration of the first phases of application	<p>What is there to indicate that the system is capable of monitoring the activities prioritized by the national REDD+ strategy? How does the system identify and assess emissions displacement (leakage) and, where applicable, what are the initial results?</p> <p>How do the major stakeholders participate in the development and first phases of application of the system (including data collection and any verification of the results), or are they consulted in this regard? What evidence is there that the system allows comparison of the change in forest coverage and carbon levels (and the associated GHG emissions) with the reference estimates used to establish the REL/RL?</p>				
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31	Institutional arrangements and capacity	<p>Are the mandates for tasks associated with forest monitoring clearly defined (processing of satellite data, forest survey, dissemination of information)? What is there to indicate that transparent mechanisms for the public dissemination of data relating to the forests and to emissions have been presented and are at least in their first phases of application? Have the requirements for related resources been defined and estimated (capacities, training, equipment, software and the required budget, for example)?</p>				
4b. System of information on the multiple advantages, other impacts, governance and safeguards						
32	Identification of aspects not connected with carbon and relevant social and environmental issues	How have the non-carbon aspects and social and environmental problems relevant to REDD+ readiness been identified? Have capacity-building recommendations been made in this regard?	Identification on non-carbon benefits in 2 departments (potential of non-wood products etc.)	No identification in 10 departments	Extend the identification process across the territory	

33	Monitoring, reporting, and exchange of information	<p>What is there to indicate that a transparent mechanism for the regular dissemination of data relating to non-carbon aspects and safeguards has been presented and that it is at least in the first phases of application?</p> <p>How is the following information disseminated: quantitative or qualitative variables of paramount importance demonstrating the improvement in rural livelihoods, conservation and biodiversity, the provision of ecosystem-related services, the main drivers of governance directly connected with REDD+ readiness and the application of safeguards taking due account of the specific monitoring provisions contained in the ESMF?</p>		Information system not in place	Initiate conversations on the information system with the CODEPAs	
34	Institutional arrangements and capacity	Are the mandates for tasks concerning non-carbon aspects and safeguards clearly defined?		Information not available	Initiate conversations on the information system with the CODEPAs	

ANNEX 4 – PHOTO GALLERY FROM THE CONSULTATIONS



ANNEX 5 – FINAL WORKSHOP COMMUNIQUE

MINISTRY OF SUSTAINABLE DEVELOPMENT,
FOREST ECONOMY AND THE ENVIRONMENT

OFFICE

REDD NATIONAL COORDINATION

REPUBLIC OF CONGO
Unity * Work * Progress

**Final communique sanctioning the work of the validation
workshop on the participatory self-assessment of the
REDD+ process(R-Package) in the Republic of Congo:**

Date: July 5, 2016

Venue: Espace Traiteur, Brazzaville

On July 5 2016, the validation workshop on the participatory self-assessment of the REDD+ process (R-Package) of the Republic of Congo was held in the conference room of the Espace Traiteur restaurant in Brazzaville.

Forty-seven (47) participants took part in this workshop, representing the public authorities, civil society, the private sector, the technical and financial partners, the WCS assessor, the resource person and CN-REDD.

On the opening ceremony

Just one address was delivered at the opening of the session. This was delivered by Mr **Georges Claver BOUNDZANGA**, REDD National Coordinator. In his introductory speech, the REDD National Coordinator first welcomed those delegates from within the country and then thanked the distinguished participants for attending the validation workshop on the participatory self-assessment report on the REDD+ process. He then reminded the meeting that for the Republic of Congo, REDD+ is a tool for sustainable development which aims to contribute to combating climate change, to sustainable development and the fight against poverty. He also pointed out that REDD+ is also called upon to contribute to the diversification of the national economy, including deriving value from carbon.

He went on to elucidate the key periods in the development of the REDD+ process, namely:

- i) the launch of the REDD+ process in February 2010;
- ii) the validation of the REDD+ Readiness Preparation Proposal in April 2010;
- iii) the high-level dialog in August 2015 during which the government reasserted its intention to progress to the investment phase
- iv) the presentation of the REDD+ tools to the COP-21 in November and December 2015;
- v) the mid-term review (MTR) in March 2015;
- vi) and finally the self-assessment or R-Package in April 2016

Mr **Georges Claver BOUNDZANGA** also reported the mismatch between the results of the mid-term review (MTR), which took place in March 2015, and the partial results of April 2016, resulting from the self-assessment of the process by stakeholders (R-Package).

Finally, on behalf of the Minister of Forest Economy, Sustainable Development and Environment, he declared the work of the validation workshop on the participatory self-assessment of the REDD+ process (R-Package) in the Republic of Congo to be open.

On the conduct of the work

A workshop executive committee was established. It was made up as follows:

- **Chair:** Mr **OMBOUANKOUI Louis**, Chair of the Departmental REDD Committee of Kouilou (CODEPA-REDD);

- **Vice-Chair:** Mr **Bernard MABOUNDA**, Chair of CACO REDD
- **Rapporteur:** Mr **Hugues KOUDIMBILA**, Head of the Information, Education and Communication Unit (IEC)/CN-REDD.

Secretariat

- Mrs **Dollorèce Lovia NSIMBA PASSY**, Assistant at the Action Unit, CN-REDD;
- Mrs **Jocelyne KENGUE**, Assistant at the Information, Education et Communication Unit (IEC), documentation section , CN-REDD;
- Mrs **Divine Fabéna BABINDAMANA**, Assistant at the SESA Unit, CN-REDD.

The appointment of the officers was followed by three presentations:

1- A presentation on the self-assessment, or R-Package, of the REDD+ process in the Republic of Congo: Report on the consultation by Mr **Tim Rayden** of WCS Congo. During his presentation, he first reminded the meeting of the objective of the self-assessment, which is to review the results of the stakeholder consultations. Mr **Tim Rayden** then presented the methodological approach adopted for facilitation, the components consulted upon and the concerns, observations and recommendations put forward by the stakeholders for each component.

This presentation was followed by a series of questions, bearing on:

- clarification of the color coding for the assessment;
- the interpretation of the color white in the assessment results;
- the reference date or the reference period to be taken into account in defining progress during the assessment;
- the existence of legal gaps during the consultations;
- details of the final results of the assessment;
- the updating of the additional information;
- the stakeholders' understanding of the assessment methodology.

The consultant gave responses to the various concerns of the stakeholders.

2- A presentation of the state of advancement of the REDD+ process by **Georges Claver BOUNDZANGA**, REDD National Coordinator.

During this presentation, he gave a reminder of the three phases of the REDD+ process, and informed the meeting that this self-assessment or R-Package will allow the Republic of Congo to move into the investment phase.

He then also presented the results anticipated for the Republic of Congo, whilst reporting on achievements so far, including:

- REDD+ bodies put in place;
- The REDD+ national strategy, phase 1 of which was validated in December 2014;
- The REDD+ Principles, Criteria and Indicators (PCI-REDD+), phase 1, of which was validated in December 2014;
- The communication plan validated in 2013;
- Etc.

3 – Presentation of the additional work plan by Mr **Tim Rayden** of WCS Congo.

After the various presentations, working groups were formed and were made up as follows:

Group 1: Public sector;

Group 2: Civil society and the indigenous component

Group 3: Technical and financial partners and the private sector

The results of the working groups were presented in plenary session and validated after overview.

On the closing ceremony

The closing ceremony was chaired by Mr **Georges Claver BOUNDZANGA**, REDD National Coordinator. In his closing address, he first congratulated the participants for their commitment and demonstration of responsibility in this final self-assessment process, or R-Package, which will allow the Republic of Congo to initiate the investment phase. He then informed the meeting that the results of this work will be taken into account in the final report on the self-assessment of the REDD+ process.

Then, on behalf of the Minister of Forest Economy, Sustainable Development and Environment, he declared the work of the validation workshop on the participatory self-assessment of the REDD+ process (R-Package) in the Republic of Congo to be closed.

July 5 2016

Drawn up in Brazzaville, on

The Participants