

**Forest Carbon Partnership Facility (FCPF) Readiness Mechanism
Readiness Preparation Proposal (R-PP) External Review Template**
(interim, December 13, 2012, from Program Document FMT 2009-1, Rev. 6)

Guidelines for Reviewers:

- 1) *FCPF REDD Country Participant R-PPs will be reviewed and assessed by the FCPF Participants Committee, the FCPF's governing body, taking TAP comments into account. External (Technical Advisory Panel or other) and Bank reviewers may provide recommendations on how a draft R-PP could be enhanced, using this template on a pilot basis until a process is approved by the PC.*
- 2) *One set of criteria should be used for review: specific standards each of the current 6 components of an R-PP should be met.*
- 3) *Your comments will be merged with other reviewer comments (without individual attribution) into a synthesis document that will be made public, in general, so bear this in mind when commenting.*
- 4) *Please provide thoughtful, fair assessment of the draft R-PP, in the form of actionable recommendations for the potential enhancement of the R-PP by the submitting country. A REDD Country Participant would be allowed three submissions of an R-PP to the PC for consideration.*

Objectives of a Readiness Preparation Proposal (condensed directly from Program Document FMT 2009-1, Rev. 3)

The purpose of the R-PP is to build and elaborate on the previous Readiness Plan Idea Note (R-PIN) or a country's relevant comparable work, to assist a country in laying out and organizing the steps needed to achieve 'Readiness' to undertake activities to reduce emissions from deforestation and forest degradation (REDD), in the specific country context. The R-PP provides a framework for a country to set a clear roadmap, budget, and schedule to achieve REDD Readiness. The FCPF does not expect that the activities identified in the R-PP and its Terms of Reference (ToR) would actually occur at the R-PP stage, although countries may decide to begin pilot activities for which they have capacity and stakeholder support. Instead, the R-PP consists of a summary of the current policy and governance context, what study and other preparatory activities would occur under each major R-PP component, how they would be undertaken in the R-PP execution phase, and then a ToR or work plan for each component. The activities would generally be performed in the next, R-PP execution phase, not as part of the R-PP formulation process.

Review of R-PP of (fill in country name): URUGUAY		
Reviewer (fill in):		PC Review
Date of review (fill in):		November 28, 2013
Standard	November 25, 2013	
1a: National Readiness Management Arrangements	Standard Largely Met	
1b: Information Sharing and Early Dialogue with Key Stakeholder Groups	Standard Partially Met	
1c: Consultation and Participation Process	Standard Largely Met	

2a: Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy, and Governance	Standard Largely Met	
2.b: REDD-plus strategy Options	Standard Largely Met	
2.c: REDD-plus implementation framework	Standard Largely Met	
2.d: Social and Environmental Impacts during Readiness Preparation and REDD-plus Implementation	Standard partially Met	
3: a National Forest Reference Emission Level and/or a Forest Reference Level	Standard Met	
4a: National Forest Monitoring System	Standard Largely Met	
4b: Designing an Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards	Standard partially Met	
5. Schedule and Budget	Standard Met	
6. Program Monitoring & Evaluation Framework	Standard Met	

Standards to be Met by R-PP Components

(From Program Document FMT 2009-1, Rev. 6:)

Component 1. Organize and Consult

Standard 1a: National Readiness Management Arrangements:

The cross-cutting nature of the design and workings of the national readiness management arrangements on REDD, in terms of including relevant stakeholders and key government agencies beyond the forestry department, commitment of other sectors in planning and implementation of REDD readiness. Capacity building activities are included in the work plan for each component where significant external technical expertise has been used in the R-PP development process, and mechanisms for addressing grievances regarding consultation and participation in the REDD-plus process, and for conflict resolution and redress of grievances.

Reviewer's assessment of how well R-PP meets this standard, and recommendations:

The Document R-PP contains an identification and characterization of key stakeholders for REDD+ in Uruguay. A "Mesa REDD+" will be established and is proposed that will serve to lead the design, development and implementation of the National REDD+ Strategy, and to coordinate and conduct the Readiness process.

Recommendations:

In order to achieve sustainability of the process, a formalization of the Mesa REDD+ is recommended - establishment by Decree, including the definition of the structure and functioning.

Provide additional information on the specific unit of the Ministry (Ministry of Housing, Land Use, Planning, and Environment) - as a Unit of Climate Change and REDD+ - that will support with logistics, operations and technical advice.

Provide a diagram showing/illustrating the institutional arrangements, relationships and roles of each institution and relevant actor.

The principal actors that are participating a very Montevideo-centric. A specific plan on how to involve the more rural actors in the process would help ensure their consent, as

most activities would occur in the rural areas of Uruguay.

There is little discussion of the role by the NGO sector in the process. Perhaps working with specific, larger environmental NGOs could be proposed in addition to the inclusion of the larger NGO network organization.

Conclusion: Standard Largely Met

Standard 1b: Information Sharing and Early Dialogue with Key Stakeholder Groups:

The R-PP presents evidence of the government having undertaken an exercise to identify key stakeholders for REDD-plus, and commenced a credible national-scale information sharing and awareness raising campaign for key relevant stakeholders. The campaign's major objective is to establish an early dialogue on the REDD-plus concept and R-PP development process that sets the stage for the later consultation process during the implementation of the R-PP work plan. This effort needs to reach out, to the extent feasible at this stage, to networks and representatives of forest-dependent indigenous peoples and other forest dwellers and forest dependent communities, both at national and local level. The R-PP contains evidence that a reasonably broad range of key stakeholders has been identified, voices of vulnerable groups are beginning to be heard, and that a reasonable amount of time and effort has been invested to raise general awareness of the basic concepts and process of REDD-plus including the SESA.

Reviewer's assessment of how well R-PP meets this standard, and recommendations:

Work has been done to identify and characterize the key stakeholders, and has designed the process for early dissemination, but Uruguay has not begun the process information sharing, inter-sectoral dialogue and awareness raising campaign for key relevant stakeholders.

Recommendations:

As soon as possible, Uruguay must implement the Early Dialogue process on REDD+ with key stakeholders, other actors and interest groups.

It is unclear from the text just what activities have already occurred to identify stakeholders. The plan for the creation of explanatory materials is good, but from the budget, it is unclear how they plan to utilize those materials.

Local, early workshops explaining REDD+ to stakeholders in the interior would help better identify stakeholders.

Conclusion: Standard Partially Met

Standard 1c: Consultation and Participation Process

Ownership, transparency, and dissemination of the R-PP by the government and relevant stakeholders, and inclusiveness of effective and informed consultation and participation by relevant stakeholders, will be assessed by whether proposals and/ or documentation on the following are included in the R-PP (i) the consultation and participation process for R-PP development thus far³ (ii) the extent of ownership within

³ Did the R-PP development, in particular the development of the ToR for the strategic environmental and social assessment and the Consultation and Participation Plan, include civil society, including forest dwellers and Indigenous Peoples representation? In this context the representative(s) will be determined in one of the following ways: (i) self-determined representative(s) meeting the following requirements: (a) selected through a participatory, consultative process; (b) having national coverage or networks; (c) previous experience working with the Government and UN system; (d) demonstrated experience serving as a representative, receiving input from, consulting with, and providing feedback to, a wide scope of civil society including Indigenous Peoples organizations; or (ii) Individual(s) recognized as legitimate

government and national stakeholder community; (iii) the Consultation and Participation Plan for the R-PP implementation phase (iv) concerns expressed and recommendations of relevant stakeholders, and a process for their consideration, and/or expressions of their support for the R-PP.

Reviewer’s assessment of how well R-PP meets this standard, and recommendations:

Uruguay’s RPP has a “Map of Actors” and a preliminary consultation proposal with objectives and goals. The proposal includes scope and content of consultation, and schedule for two national workshops and various local workshops.

Recommendations:

Uruguay’s RPP should consider the design and implementation of a comprehensive consultation process - not only dialogue -, including a participatory assessment of problematic, necessary workshops with all stakeholders and groups of interest, with aim of identifying solutions and policy proposals to address main drivers of deforestation and forest degradation.

Uruguay has a strong public comment mechanism within MVOTMA that would be leveraged. More specific ideas on how they plan to incorporate REDD+ activities to the existing system would be useful. Public comment periods, meetings, announcements in the areas of REDD+ activities could be planned. The public comment system in Uruguay favors those living in Montevideo (ease of access, information, etc.). A concrete plan for extending this system outside of Montevideo so that all parties had an equal chance for participating/commenting would increase the equity for all stakeholders.

Conclusion: Standard Met

Component 2. Prepare the REDD-plus Strategy

Standard 2a: Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy, and Governance:

A completed assessment is presented that: identifies major land use trends; assesses direct and indirect deforestation and degradation drivers in the most relevant sectors in the context of REDD-plus; recognizes major land tenure and natural resource rights and relevant governance issues; documents past successes and failures in implementing policies or measures for addressing drivers of deforestation and forest degradation; identifies significant gaps, challenges, and opportunities to address REDD; and sets the stage for development of the country’s REDD strategy to directly address key land use change drivers.

Reviewer’s assessment of how well R-PP meets this standard, and recommendations:

The document presents clearly a dynamics of forest ecosystems in Uruguay, and describes the interaction between productive sectors and forest conservation, including pressures and main drivers of deforestation and forest degradation, and status of native forest. Also includes regulatory framework and current institutional capabilities.

Recommendations

It is required additional information on land tenure, provision of key ecosystem services, existing

representative(s) of a national network of civil society and/or Indigenous Peoples organizations (e.g., the GEF Small Grants National Steering Committee or National Forest Program Steering Committee).

ecosystem services payments systems. Also information on main drivers, in particular, on agriculture unsustainable practices, mining and livestock, and additional information on the influence of different sectoral policies on rates of deforestation and forest degradation.

Conclusion: Standard Largely Met

Standard 2.b: REDD-plus strategy Options:

The R-PP should include: an alignment of the proposed REDD-plus strategy with the identified drivers of deforestation and forest degradation, and with existing national and sectoral strategies, and a summary of the emerging REDD-plus strategy to the extent known presently, and of proposed analytic work (and, optionally, ToR) for assessment of the various REDD-plus strategy options. This summary should state: how the country proposes to address deforestation and degradation drivers in the design of its REDD-plus strategy; a plan of how to estimate cost and benefits of the emerging REDD-plus strategy, including benefits in terms of rural livelihoods, biodiversity conservation and other developmental aspects; socioeconomic, political and institutional feasibility of the emerging REDD-plus strategy; consideration of environmental and social issues; major potential synergies or inconsistencies of country sector strategies in the forest, agriculture, transport, or other sectors with the envisioned REDD-plus strategy; and a plan of how to assess the risk of domestic leakage of greenhouse benefits. The assessments included in the R-PP eventually should result in an elaboration of a fuller, more complete and adequately vetted REDD-plus strategy over time.

Reviewer’s assessment of how well R-PP meets this standard, and recommendations:

In general terms, the R-PP includes appropriate identification of proposals and strategic options to address the main drivers of deforestation and degradation of forest.

Recommendations:

Taking into account that Uruguay will also focus on forest degradation control, a clear and comprehensive Strategic Option on this subject must be proposed. Current proposal focuses exclusively on the control of invasive alien species, however, it is necessary to include other issues, such as selective logging control.

The strategy is clear, specific, and appears feasible and within the capabilities of the implementing institutions. A list of expected outcomes and indicators of success would help to identify the drivers at this early stage would be beneficial to evaluate the progress as activities are implemented.

Considering the land tenure in Uruguay with most private forest and plantation, the Document should also consider the design of a fair and equitable benefit sharing mechanism, as ways to include vulnerable groups that depend to some extent of forest ecosystems.

Conclusion: Standard Largely Met

Standard 2.c: REDD-plus implementation framework:

Describes activities (and optionally provides ToR in an annex) and a work plan to further elaborate institutional arrangements and issues relevant to REDD-plus in the country setting. Identifies key issues involved in REDD-plus implementation, and explores potential arrangements to address them; offers a work plan that seems likely to allow their full evaluation and adequate incorporation into the eventual Readiness Package. Key issues are likely to include: assessing land ownership and carbon rights for potential REDD-plus strategy activities and lands; addressing key governance concerns related to REDD-plus; and institutional arrangements needed to engage in and track REDD-plus activities and transactions.

Reviewer’s assessment of how well R-PP meets this standard, and recommendations:

R-PP presents the whole legal framework of Uruguay, as adequate to design and to implement the

National REDD+ Strategy. Uruguay's R-PP stands out with the incentive system proposal that includes various compensation mechanisms for forest owners, and presents an interesting and financially sustainable proposal.

Recommendations:

Consider including in the R-PP activities related with harmonization of policies, development of awareness, capacity building, and mainstreaming process.

Conclusion: Standard Largely Met

Standard 2.d: Social and Environmental Impacts during Readiness Preparation and REDD-plus Implementation:

The proposal includes a program of work for due diligence in the form of an assessment of environmental and social risks and impacts as part of the SESA process. It also provides a description of safeguard issues that are relevant to the country's readiness preparation efforts. For FCPF countries, a simple work plan is presented for conducting the SESA process, cross referencing other components of the R-PP as appropriate, and for preparing the ESMF.

Conclusion: Standard Partially Met

Reviewer's assessment of how well R-PP meets this standard, and recommendations:

Recommendations:

The R-PP should review the objectives and scope of the SESA, and the difference with the process of Environmental Impact Assessment. The R-PP must include a proposal to realize an impact assessment of strategic options, with identification of appropriate measures to mitigate negative impacts. In this process, special attention should be given to vulnerable groups that depend to some extent of forest ecosystems.

Component 3. Develop a National Forest Reference Emission Level and/or a Forest Reference Level

Standard 3: a National Forest Reference Emission Level and/or a Forest Reference Level

Present work plan for how the reference level for deforestation, forest degradation (if desired), conservation, sustainable management of forest, and enhancement of carbon stocks will be developed. Include early ideas on a process for determining which approach and methods to use (e.g., forest cover change and GHG emissions based on historical trends, and/or projections into the future of historical trend data; combination of inventory and/or remote sensing, and/or GIS or modeling), major data requirements, and current capacity and capacity requirements. Assess linkages to components 2a (assessment of deforestation drivers), 2b (REDD-plus strategy activities), and 4 (monitoring system design).

(FCPF and UN-REDD recognize that key international policy decisions may affect this component, so a stepwise approach may be useful. This component states what early activities are proposed.)

Reviewer's assessment of how well R-PP meets this standard, and recommendations:

The document presents necessary information and technical proposal to establish reference level.

While the revised R-PP included additional, and helpful, information on data gaps listed in the first version, further information could be gathered by fomenting investigation to researchers at the various academic institutions listed.

Conclusion: Standard Met

Component 4. Design Systems for National Forest Monitoring and Information on Safeguards

Standard 4a: National Forest Monitoring System:

The R-PP provides a proposal and workplan for the initial design, on a stepwise basis, of an integrated monitoring system of measurement, reporting and verification of changes in deforestation and/or forest degradation, and forest enhancement activities. The system design should include early ideas on enhancing country capability (either within an integrated system, or in coordinated activities) to monitor emissions reductions and enhancement of forest carbon stocks, and to assess the impacts of the REDD-plus strategy in the forest sector.

The R-PP should describe major data requirements, capacity requirements, how transparency of the monitoring system and data will be addressed, early ideas on which methods to use, and how the system would engage participatory approaches to monitoring by forest-dependent indigenous peoples and other forest dwellers. It should also address independent monitoring and review, involving civil society and other stakeholders, and how findings would be fed back to improve REDD-plus implementation. The proposal should present early ideas on how the system could evolve into a mature REDD-plus monitoring system with the full set of capabilities.

(FCPF and UN-REDD recognize that key international policy decisions may affect this component, so a staged approach may be useful. The R-PP states what early activities are proposed.

Reviewer’s assessment of how well R-Plan meets this standard, and recommendations:

Recommendations. R-PP document presents necessary activities to develop a National Monitoring System. However, it lacks a description of the institutional roles. The RPP should include a description of the unit to design and perform monitoring system, including current capabilities and needs - human resources, software and hardware. Also, it is necessary includes a description of the level of participation of different institutions.

Conclusion: Standard Largely Met

Standard 4b: Designing an Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards :

The R-PP provides a proposal for the initial design and a workplan, including early ideas on capability (either within an integrated system, or in coordinated activities), for an integrated monitoring system that includes addressing other multiple benefits, impacts, and governance. Such benefits may include, e.g., rural livelihoods, conservation of biodiversity, key governance factors directly pertinent to REDD-plus implementation in the country.

(The FCPF and UN-REDD recognize that key international policy decisions may affect this component, so a staged approach may be useful. The R-PP states what early activities are proposed.)

Reviewer’s assessment of how well R-Plan meets this standard, and recommendations:

The document does not clearly identify the potential co-benefits to be derived from the implementation of the National REDD+ Strategy. The R-PP should identify environmental and socio-economic benefits, and to provide preliminary indicators to carry out the Monitoring for REDD + co-benefits. The budget of this component should be revised.

The plan shown makes logical sense in the workflow for the social component, but it is unclear what specific activities would take place beyond the early action items. This may not be feasible at this time, however.

Conclusion: Standard Partially Met

Component 5. Schedule and Budget

Standard 5: Completeness of information and resource requirements

The R-PP proposes a full suite of activities to achieve REDD readiness, and identifies capacity building and financial resources needed to accomplish these activities. A budget and schedule for funding and technical support requested from the FCPF and/or UN-REDD, as well as from other international sources (e.g., bilateral assistance), are summarized by year and by potential donor. The information presented reflects the priorities in the R-PP, and is sufficient to meet the costs associated with REDD-plus readiness activities identified in the R-PP. Any gaps in funding, or sources of funding, are clearly noted.

Recommendations:

The R-PP proposes a full suite of activities to achieve REDD readiness, and identifies capacity building and financial resources needed to accomplish these activities. A budget and schedule for funding and technical support requested from the FCPF and/or UN-REDD, as well as from other international sources (e.g., bilateral assistance), are summarized by year and by potential donor. The information presented reflects the priorities in the R-PP, and is sufficient to meet the costs associated with REDD-plus readiness activities identified in the R-PP. Any gaps in funding, or sources of funding, are clearly noted.

It is necessary to review the Tables of different components. Component 4 is suggested to separate tables for components 4a and 4b. The amount allocated to the component Monitoring Co-benefits (4b) is very small.

Component 6. Design a Program Monitoring and Evaluation Framework

Standard 6: The R-PP adequately describes the indicators that will be used to monitor program performance of the Readiness process and R-PP activities, and to identify in a timely manner any shortfalls in performance timing or quality. The R-PP demonstrates that the framework will assist in transparent management of financial and other resources, to meet the activity schedule.

Reviewer’s assessment of how well R-PP meets this standard, and recommendations:

The Document presents clearly the products, and means of verification for each of the components. Once the recommendations for different components are met, will be possible to

incorporate other performance criteria.

The indicators chosen are common and are useful to identify the functioning of the plan. However, they do little to examine the actual impacts the activities are having. Attendance at a workshop or number of meetings do not mean much in the impacts. Some suggestions would be to have attendee surveys and follow-up on a few individuals after some time to analyze the impact the workshop had. Meetings can be held with no real output. Number of decisions made, policies created (and then their impacts tracked) would be a more useful evaluation tool perhaps. Some portion of the proposed funds could go towards the creation of these indicators as most actors do not have the training/capacity to design sophisticated/useful indicators or evaluation schemes.

Conclusion: Standard Met