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| ***Readiness Preparation Proposal (R-PP)***    ***for Country: xxx*** *[[* name of country *]]*  ***Date of submission or revision:*** *[[* add date here *]]* **Version 6 Working Draft** **April 20, 2012**  Forest Carbon Partnership Facility **(FCPF)**  The United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries **(UN-REDD)** |

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| *Disclaimer: The World Bank and the UN-REDD Programme do not guarantee the accuracy of the data included in the Readiness Preparation Proposals (R-PPs) submitted by REDD Country Participants and accepts no responsibility whatsoever for any consequence of their use. The boundaries, colors, denominations, and other information shown on any map in the R-PPs do not imply on the part of the World Bank any judgment on the legal status of any territory or the endorsement or acceptance of such boundaries.* |

**Note: This version is for use by:**

1) FCPF REDD-plus Country Participants submitting revised or new R-PPs to the FCPF FMT for PC 12 meeting in Colombia, June 27 – 29, 2012 or afterwards.

2) UN-REDD countries submitting National Programmes, as agreed.

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| **Overarching Guidelines for Preparing an R-PP** |

1. The Readiness Preparation Proposal (R-PP) is a document designed to assist a country prepare itself for involvement in REDD-plus, under either the FCPF or the UN-REDD Programme.
2. In this document, REDD-plus is understood to include the five activities listed in Decision 1/CP.16: *“reducing emissions from deforestation; reducing emissions from forest degradation; conservation of forest carbon stocks; sustainable management of forest; enhancement of forest carbon stocks*.” References are made throughout to this December, 2010, COP 16 Long-term Cooperative Action (LCA) decision, " *Decision 1/CP.16, The Cancun Agreements: Outcome of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention*," which has significant UNFCCC guidance for REDD-plus activities.
3. **Safeguards overview:** If a Readiness Grant from the FCPF is expected to support any of the country’s ‘REDD-plus readiness’ preparation work and be channeled through the World Bank, the relevant World Bank’s safeguard policies apply to this work and have to be complied with. Application of the various requirements of the policies will depend upon the stage of readiness and types of projects, activities, or policies/regulations, and related impacts.

For UN-REDD countries: the UN-REDD Programme is developing a Tool that will guide the application of its Social and Environmental Principles and Criteria (SEPC), currently being developed with guidance from its Policy Board and through a public consultation process (for more details see <http://www.un-redd.org/Multiple_Benefits_SEPC/tabid/54130/Default.aspx>). The proposed application of the SEPC is for: 1) assisting countries in formulating national REDD-plus programmes and initiatives for which they seek UN-REDD support; 2) reviewing national programmes prior to submission for a UN-REDD Policy Board decision on funding; and 3) assessing national programme delivery.

1. **Common Approach for Delivery Partners:** The “Common Approach to Environmental and Social Safeguards for Multiple Delivery Partners” provides an overarching framework for the World Bank and development agencies to be Delivery Partners to provide and manage R-PP Formulation and/or Preparation grants to FCPF REDD Country Participants. Thus, it provides a common platform for risk management and quality assurance in the REDD-plus Readiness Preparation process, and is relevant to many components in the R-PP. The Participants Committee of the FCPF approved the Common Approach in June, 2011; the final document is attached as Annex E. Under the Common Approach, Delivery Partners shall achieve “substantial equivalence” to the material elements of the World Bank’s environmental and social safeguard policies and procedures. This equivalence will be demonstrated during the administration of the FCPF Readiness Preparation grant agreement by the Delivery Partner for a given country, by complying with the material elements, and by implementing the guidelines listed below. FCPF will sign a Transfer Agreement with each Delivery Partner to move FCPF funds to the Delivery Partner for a country. The four guidelines are:
2. FCPF Guidelines and generic Terms of Reference for Strategic Environmental and Social Assessment (SESA) and the associated Environmental and Social Management Framework (ESMF), compliant with the relevant WB safeguard policies and procedures (Annexes C and D);
3. FCPF/UN REDD Guidelines on Stakeholder Engagement in REDD-plus Readiness (Annex B);
4. FCPF Guidelines on the Disclosure of Information (within Annex E, the Common Approach);
5. FCPF Guidelines for Establishing Grievance and Redress Mechanisms at the Country level (now incorporated into this R-PP template in component 1a, paragraph 7).

Delivery Partners will need to implement the guidelines included in these annexes and the grievance mechanisms text in component 1a, to comply with the Common Approach and be consistent with the Cancun COP text on REDD-plus.

If the environmental and social safeguard policies and procedures of a Delivery Partner are more stringent and/or protective than those of the World Bank, then those shall apply to activities undertaken under the FCPF Readiness Fund by that Delivery Partner.

1. **REDD-plus Readiness core components:** The R-PP provides a framework for taking stock of the national situation with respect to deforestation, forest degradation, and the other REDD-plus activities, and also for addressing this situation by undertaking analytical work and by publically consulting on the core components of REDD-plus readiness. COP 16 LCA decision in paragraph 71 now requests developing country Parties to develop the four main elements listed below in quotation marks, which are consistent with the R-PP's major components, in a somewhat different order. These four core COP decision elements (and where they are addressed in the R-PP) are summarized below, plus a fifth element critical to R-PP development under the FCPF (assessment of land use, forest law, policy and governance):
   * + 1. **REDD-plus strategy:** Identification of REDD-plus strategy options in R-PP component 2b: a set of program or policy actions to reduce deforestation and/or forest degradation and enhance and conserve carbon stocks, that directly addresses the key drivers of deforestation and degradation identified in the assessment above. The REDD-plus strategy options include adjustments to address the legal, regulatory, institutional and capacity gaps affecting the effectiveness to respond to the priority environmental and social considerations associated with the key drivers of deforestation and forest degradation. This strategy also includes work developing the REDD-plus institutional and legal implementation framework necessary to implement these strategy options. The selection and design of strategy options should be guided by the assessment, the findings of analytical studies during implementation of the R-PP work, as well as the results from consultations and the public participation of the REDD-plus readiness process;

The Cancun COP REDD-plus text refers to “A national strategy or action plan” (Decision 1/CP.16 paragraph 71 (a)).

* + - 1. **Assessment of land use, forest law, policy, and governance:** Identification of REDD-plus strategy options requires an assessment of the situation with respect to deforestation, forest degradation, conservation and sustainable management of forests and relevant governance issues, which includes the identification of priority environmental and social considerations associated with the key drivers of deforestation and forest degradation (R-PP component 2a);
      2. **Reference emission level and/or forest reference level:** an estimate of historic forest cover change and greenhouse gas (GHG) emissions and uptake from deforestation and/or forest degradation and the other REDD-plus activities, reflecting national circumstances, potentially including forward-looking projections of emissions (R-PP component 3);

The Cancun COP REDD-plus text refers to "A national forest reference emission level and/or forest reference level” (Decision 1/CP.16 paragraph 71 (b)).

* + - 1. **Monitoring system:** to measure, report and verify the effect of the REDD-plus strategy on GHG emissions and other multiple benefits, and to monitor the drivers of deforestation and forest degradation, as well as other variables relevant to the implementation of REDD-plus (R-PP component 4);

The Cancun COP REDD-plus text refers to "A robust and transparent national forest monitoring system" (Decision 1/CP.16 paragraph 71 (c)).

* + - 1. **Social and environmental Impacts:**  Assessment of key social and environmental risks and potential impacts (both positive and negative) of REDD-plus strategy options, implementation framework, etc. consistent with World Bank and/or other Delivery Partner safeguard policies as provided for under the Common Approach. The assessment of risks and potential impacts during preparation of the REDD-plus strategy will be integrated into the preparation of the REDD-plus strategy itself, and an Environmental and Social Management Framework (ESMF) will be prepared to manage these risks and impacts during implementation of the REDD-plus strategy (as elaborated in component 2d). Table 1 below provides an overview of Strategic Environmental and Social Assessment (SESA) activities,by Readiness Phase and R-PP components. Note that SESA activities take place throughout components 1, 2, and 4b in particular; and that most of the activities take place after the R-PP has been written, during the Readiness Preparation phase (i.e., implementation of R-PP workplan). For UN-REDD countries, refer to paragraph 3 of Overarching Guidelines above.
      2. The Cancun COP REDD-plus text refers to "A system for providing information on how the safeguards referred to in appendix 1 to this decision are being addressed…" (Decision 1/CP.16 paragraph 71 (d)). Box 2d-1 in component 2d lists all the 7 safeguards principles from this text.

1. **Key questions to address:** Through its R-PP, the country lays out a roadmap of preparation activities needed to undertake the work in the core components listed above, indicating:
   1. How REDD-plus preparation work will be organized and managed in the country, including procedures for information sharing, consultations with and participation by concerned stakeholder groups;
   2. What capacity building and financial resources are needed and who would fund and undertake them (e.g., domestic agencies, NGOs, women’s organizations, foundations, private sector, international donors, etc.);
   3. How the country intends to allocate available funding, sets a plan and schedule the identified activities, including funding arrangement such as the support foreseen from the FCPF or UN-REDD.
2. **Readiness Package:** The outcome of the REDD-plus readiness preparation phase is anticipated to be a Readiness Package (R-Package), to be prepared after the execution of the studies and activities proposed in the R-PP, if a country decides to pursue financing of REDD-plus emissions reduction activities on the ground. The R-Package content has not been defined yet, but is likely to contain the following elements:
   1. Results of studies, consultations and actions implemented to date (in the context of the execution of the R-PP): Implementation actions that have already occurred as part of the national preparation for REDD-plus readiness, e.g., enacted legislation or regulations defining carbon rights, establishment of monitoring plots, and creation of new funding mechanism.
   2. Actions still being planned: A forward-looking part, which specifies what remains to be done to achieve the state of REDD-plus readiness.
   3. Preliminary identification of potential emissions reduction activities, potentially including a proposed set of specific land parcels, land use activities and practices, policies, institutional arrangements, estimates of emissions reductions, and estimated financing and costs. (Note that the Readiness grant does not finance any pilot projects implemented on the ground).
   4. A summary of SESA activities and outcomes.
   5. An ESMF that will serve as the framework for managing environmental and social risks and to mitigating potential adverse impacts of projects, activities, or policies/regulations that may occur in the future as the REDD-plus strategy is funded and implemented on the ground.
3. **The R-PP development and implementation process should be a significant, inclusive, forward-looking and coordinated effort** undertaken in consultation with relevant stakeholders in the country about their ideas and concerns regarding REDD-plus, with a view to reaching a common vision of the role of the national REDD-plus strategy in national development and to engaging stakeholders in R-PP activities and the implementation of the REDD-plus strategy.
4. **Incorporation of gender into Readiness:**  Women playa unique role in natural resource management in many countries that is relevant to REDD-plus Readiness. During the process of mapping stakeholders for REDD-plus in component 1b and 1c and as part of the SESA process, countries should identify key gender concerns, especially potential gender-based risks or unequal benefits that can hamper the welfare of different social groups, especially women and youth, children, and people with disabilities. Targeted opportunities should be identified that can help reduce gender-based disparities in access to and benefits from REDD-plus interventions. This work should include direct engagement with these social groups as well as with other institutions that have the relevant expertise. This analysis of gender concerns should be consistent with World Bank Gender and Development Operational Policy (OP 4.20), or with comparable Delivery Partner gender policies (such as those of UNDP’s Programme and Operations Policy and Procedure (POPP) and Environmental and Social Screening Procedures). In component 1c, the Consultation and Participation Plan should specifically address the results of this analysis.
5. **FIP:** R-PP development and implementation should be coordinated with Forest Investment Program (FIP) design and implementation, if the country is also a FIP participant. Investment plans produced for the FIP process, to the extent feasible, should avoid duplication of other activities proposed in the R-PP. Ideally these investment plans will be built on and be reflected within R-PP activities, in order to promote synergism between the Readiness and investment phases of REDD-plus. This may require coordination across institutions or working groups responsible for the R-PP and FIP processes.
6. **Information sharing and consultation:** The national focal point for REDD-plus should share the R-PP with as many of the stakeholders, especially indigenous peoples, women’s organizations, youth groups, NGOs, CSOs referred to in the R-PP as possible, and engage in discussions with these stakeholders on the R-PP as soon as possible. It is good practice to disclose the draft R-PP prior to its submission to FCPF or UN-REDD, in the national language if possible, as well as in a track change version showing what has been changed from previous versions. Consultation with relevant stakeholders could then be followed up during the work funded by the R-PP by broad-ranging and targeted consultation with and engagement of relevant stakeholders, as provided for in the Consultation and Participation Plan.

**Validation of the R-PP:** For UN-REDD countries, as part of the ongoing consultation process, a stakeholder consultation meeting (“validation meeting” or equivalent) with the participation of the UN Resident Coordinator (or designate), national government counterpart (or designate), and• civil society/indigenous peoples representatives, is required prior to submitting the R-PP to the UN-REDD Programme’s Secretariat. Evidence of the consultation should be appropriately documented e.g. via signed minutes of meetings. Guidelines for the validation process that countries participating in the UN-REDD Programme should follow are presented in the UN-REDD Programme Rules of Procedure and Operational Guidance[[1]](#footnote-1). FCPF countries should also hold a validation meeting with key stakeholders to discuss the R-PP draft prior its submission to FCPF. The UN-REDD validation standards should apply to a joint FCPF/UN-REDD validation process in countries that submit an R-PP to both programs, since they are more specific, as long as the country agrees. Information sharing and consultations leading to the validation of the R-PP should include culturally sensitive consultations with key stakeholders, including indigenous peoples and vulnerable groups.

1. This document guides the country in developing its R-PP. It addresses the core components of REDD-plus readiness, and is comprised of two parts for each component:
2. A summary of relevant activities already taken and a work plan of work to be done in the future in relation to each component (e.g., studies, data collection, pilot programs, workshops, etc.). The body of this guideline document contains space to this effect in each component. Feel free to take as much space as necessary, but strive to limit the length of each component to the page length estimates if possible; and
3. An optional annex allowing the country to present more details, or a fuller plan and/ordraft input to terms of reference (ToR) for the work to be undertaken for that component. Important information should not be left in the annexes only; instead it should be presented, or at least summarized, in the main text of the R-PP.
4. **Standards:** Note that the standard to be met for each subcomponent is included in the component, to guide your decisions about what text to include and what to stress or delete.
5. **Good practices:** Emerging good practices listed for some components provide guidelines on how a country should work to address that component based on experience that has emerged from previous FCPF countries developing their R-PPs and presenting them to the FCPF Participants Committee and the independent Technical Advisory Panel experts for assessment. These good practices should be followed, to the extent feasible.
6. **Annexes:** Annexes to this document are provided to offer specific guidelines on some components, draft terms of reference for studies, lists of analytic tools that may help you organize your work, etc., by component.
7. **Length:** Please keep the length of the body of the R-PP to 75 pages, and the total length of the document (including annexes) to a maximum of 150 pages. Include in the main text any material you consider essential in order for others to understand the work you propose to perform, and why, to address your specific country context. Other details, lists, and background should be noted in the main text, but moved to an annex.
8. **Submission date and revision:** Please put the date of submission on the first page. For any revision to the R-PP, add the new date, and show your changes in Track Changes mode in Word, as underlined text, or in a clear table of changes made, to help reviewers assess the revisions.
9. **Submission:** The national focal point for REDD-plus should submit the completed R-PP to the FCPF Facility Management Team at [fcpfsecretariat@worldbank.org](mailto:fcpfsecretariat@worldbank.org). If the country is participating under UN-REDD Programme, once agreed between the government and the three participating UN agencies, the completed R-PP should be submitted to the UN-REDD Programme’s Secretariat at [un-redd@un-redd.org](mailto:un-redd@un-redd.org). It should be submitted through the country’s UN Resident Coordinator, along with signed validation meeting (or equivalent) minutes.
10. **Disclaimer:** Please note the disclaimer on the front of this document regarding use of maps or other information and include it on the front of your submitted R-PP document. Review the R-PP text, maps, data, etc. to be certain they do not contain any information that may reflect national political or other positions but may also be policy sensitive to other countries or parties.

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| **Box 1: Early Lessons from FCPF R-PPs and UN-REDD National Programmes**  Assessment of early R-PPs by the Participants Committee and by the UN-REDD Programme suggests the following early lessons for countries preparing an R-PP, as well as preparing and implementing National Programmes:   1. **Develop some form of cross-sectoral REDD-plus working group:** The working group composition and national REDD-plus management processes need to be cross-sectoral and engage relevant sectors and stakeholders. Some working groups described to date in R-PPs were dominated by a single agency and did not include other key agencies (e.g., agriculture, mining, transportation) and interest forest agency. FCPF experience in R-PP and UN-REDD experience in developing National Programmes has made clear that REDD-plus readiness requires cross-sectoral coordination within multiple government agencies. These need to include forestry and environmental authorities, land management authorities, finance ministries, sub-national government agencies, all of whom may have responsibility on some aspects of the process. In some countries, forestry and environment agencies have to learn to work more closely together and cooperatively with civil society and indigenous peoples, as all have competencies related to REDD-plus. 2. **Create platforms for meaningful and effective stakeholder participation:** Participation and engagement is critical to developing viable REDD-plus strategies and implementation frameworks, and should begin as early as possible when a country begins considering participation in REDD-plus. REDD-plus requires extensive information sharing with and consultation among interested stakeholders including multi-sectoral government agencies, civil society, private sector, indigenous peoples, and development partners. Stakeholder consultation processes not only ensure wide-ranging acceptance and interest in REDD-plus, but also build the trust of stakeholders and support their capacity to participate in REDD-plus in a meaningful and effective way as an ongoing process. The readiness process needs to establish both formal and informal mechanisms for engagement and feedback to ensure adequate consultation among all these stakeholders.   For countries participating in the UN-REDD Programme or that otherwise follow a policy of Free, Prior and Informed Consent (FPIC), the engagement of indigenous and traditional forest-dependent peoples, is an on-going process, rather than a single event. Adequate time needs to be allowed for the careful management of awareness raising and engagement with local authorities communities as well as with national indigenous organizations and relevant intermediary groups Provision of enhanced local capacity for effective awareness raising and discussion of issues is important, as is carefully structuring an FPIC process and documenting its decisions. Refer to the UN-REDD Programme Guidelines on FPIC for more guidance on this.   1. **Invest significant effort in the Assessment of Land Use, Forest Law, Policy and Governance**: In order to provide insights for the REDD-plus strategy development, detailed qualitative and quantitative analysis of existing data and studies of land use trends and previous efforts to slow deforestation is required. Trends in sectors outside forests (e.g., mining, agriculture, transportation) may be important drivers of deforestation and degradation. REDD-plus strategy programs and actions need to respond to specific drivers in given regions and socioeconomic conditions in the country. Try to address key drivers and regions with REDD-plus strategy elements, or the solution will not match up with the causes. Begin consultation on the R-PP with relevant stakeholders during its development and discuss the structure of the Consultation and Participation Plan required in the R-PP. Discuss the consultations held to date, and the plans for further consultations, especially with forest-dependent indigenous peoples and vulnerable forest dwellers. 2. **Address proposed institutional arrangements for implementing REDD-plus and governance:** Discuss issues associated with the drivers of deforestation and the proposed REDD-plus strategy options as thoroughly as possible. They are considered critical to the potential success of REDD-plus and considerable attention is focused on them during the PC's assessment of each R-PP. Examples of institutional and governance issues in the REDD-plus context include: Does the country recognize the importance of evaluating current institutional arrangements, functioning, transparency, equity, etc. relevant to its proposed REDD-plus strategy and programs? Are there uncertainties regarding land tenure arrangements for some land uses or types of land ownership that may pose a barrier to realizing a specific proposed REDD-plus program?   Description of REDD-plus strategy options should include discussion of how countries plan to address assessments of tradeoffs between REDD-plus and other development objectives or land uses and costs-- including opportunity costs-- and benefits. Countries will need to consider how the strategy could enhance or detract from the multiple benefits of REDD-plus. Such potential benefits may include conservation of forest biodiversity, water regulation, soil conservation, timber, forest foods and other non-timber forest products. In order to effectively address the drivers and causes of deforestation, this assessment of tradeoffs will need to take into account social and environmental costs and benefits of retaining and restoring forests to ensure that these benefits continue to accrue to local communities and indigenous peoples dependent upon them.   1. **Provide detail and specifics wherever possible:** Overly general descriptions of consultations, drivers of deforestation, or REDD-plus strategy options in R-PPs have resulted in many questions, and requests for more specific, detailed revisions. Lists of potential activities have been considered less useful than an R-PP that clearly describes specific, high-priority activities directly aimed at addressing the prioritized drivers and underlying causes of deforestation, or other components. Countries often start with a list of deforestation drivers and potential activities to address them and refine them in participatory fashion as the strategy development process moves forward. Include all information necessary to describe the full set of proposed activities in and background for the R-PP right in the text under the proper component, rather than in a set of many annexes. Use the annexes for supplementary material, not to provide information essential to understanding the R-PP. 2. **Work diligently to make clear connections throughout the R-PP across these strongly interconnected components:** component 2a) assessment of the key drivers of deforestation and degradation; 2b) the REDD-plus strategy that is designed directly to address the drivers in 2a; 3) the reference level, which summarizes land use change and GHG emissions over time from the drivers, and may also project how existing or new drivers affect forest lands into the future, and 4) monitoring system, which needs to be designed to be capable of monitoring changes in the drivers, capture the effects of the REDD-plus strategy options as they are implemented, and compare results to the reference level. 3. **Establish coherence with work being conducted** in the context of other related initiatives, for example FLEGT, Forest Investment Program, and any other bilateral initiatives. The design of national REDD-plus strategies will be stronger and more likely to be effective if it builds upon lessons learned from experiences on implementing forest conservation and restoration, payment for environmental services (PES) and integrated conservation and development projects. 4. **Clearly show how proposed activities would be supported by the anticipated sources of funding:** Clearly identify which of the many activities discussed in the R-PP are expected to be funded with financial support from the FCPF and/or UN-REDD, which your government is contributing toward, and which are expected to be supported by other potential sources of funding. The summary budget tables after each component in this document should be used for this purpose. Component 5 should synthesize all this information into a coherent set of tables and text. |

**Overarching Guidelines Table 1: Overview of SESA Activities Prepared by the REDD-Plus Country,**

**by Readiness Preparation Phase and R-PP Components**

Note: This table provides specific guidelines to REDD-plus Country Participants and to all FCPF Delivery Partners (DPs). *Content in italics refers specifically to the World Bank and is provided by way of example only;* a substantially equivalent step would be taken by other DPs, in accordance with their respective procedures and the requirements of the Common Approach.

For UN-REDD countries, refer to paragraph 3 of Overarching Guidelines above.

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| **SESA Activities, and Relevant R-PP Component** | **Who is responsible** | **Document Produced, and By when** |
| **R-PP Formulation Phase: After the Readiness Formulation Grant (USD$ 200K) is signed.**  **SESA Tasks to be completed during this phase and documented in the R-PP:** | | |
| Organize and consult for integrating environmental and social considerations into the REDD-plus readiness preparation process, as explained in component 1a of the guidelines for R-PP development. Set up coordination arrangements for SESA implementation. | REDD-plus Country Government | R-PP, by authorization by PC of readiness activities |
| Component 1b: A stakeholder analysis should be conducted early, to feed into the composition of the cross-sectoral, national-level working group. The stakeholder analysis should include an analysis of gender concerns, including potential gender-based risks and unequal benefits that can hamper the welfare of different social groups, especially women, youth, and children. Targeted opportunities should be identified that can help reduce gender-based disparities in accessing and benefiting from REDD-plus initiatives. | REDD-plus Country Government | R-PP, by authorization by PC of readiness activities |
| Component 1band 1c: Establish outreach, communication and consultative mechanisms with relevant stakeholders for continuing information sharing and dialogue for components 1c, 2a-d, 3, 4a-b, and 6. The consultations for the REDD-plus readiness process also serve as the consultations for the SESA process, and therefore there is a need to include the consultations on the social and environmental considerations in the overarching Consultation and Participation Plan for REDD-plus readiness in component 1c. The following should be documented:   * The key drivers of deforestation and forest degradation identified by stakeholders, and social and environmental concerns heard during the meetings/ workshops held during the R-PP formulation phase. * In the Consultation and Participation Plan (1c) for the overall consultation for REDD-plus readiness, show how the consultations on social and environmental issues, risks and potential impacts will be undertaken. | REDD-plus Country Government | Consultation and Participation Plan as part of the R-PP, by authorization by PC of readiness activities |
| **After PC has assessed the R-PP and authorized the Readiness Preparation grant (up to $USD 3.6M)** | | |
| *Identify which of the ten World Bank safeguards policies could be triggered by the REDD-plus program.* | *REDD-plus Country* *Government and the World Bank* | *Initial ISDS, by preparation of R-PP Assessment Note* |
| **Readiness Preparation Phase (implementation of the R-PP workplan):** | | |
| **After allocation of the Readiness Preparation grant (up to $USD 3.6M):** | | |
| Component 2a: Analyze the linkage of drivers of deforestation and forest degradation with environmental and social impacts. Identify underlying causes and key issues and challenges to be addressed, including those issues linked to the safeguard policies. | SESA Implementing Entity | Draft description, by preparation of R-PP Progress Report  Final description, by preparation of R-Package |
| Component 2b and 2d: Define environmental and social priorities in a participatory way. Identify existing legal/regulatory, policy, institutional, and capacity gaps to manage these priorities. The results of the gaps assessment should feed into formulation of recommendations for filling the gaps.  Assess environmental and social risks and potential impacts (both positive and negative) of proposed REDD-plus strategy options so as to inform the refinement of these options and the eventual formulation of a final REDD-plus strategy. | SESA Implementing Entity | Summary of sustainability of proposed REDD-plus strategy options, by preparation of R-PP Progress Report  Summary of sustainability of aspects of final REDD-plus strategy, as part of SESA summary, by preparation R-Package |
| Component 2c: Describe how findings in 2b were used to guide the design of social and environmental sustainability aspects of the REDD-plus implementation framework, such as a benefit sharing mechanism. | REDD-plus Country Government | Draft description, by preparation of R-PP Progress Report  Final description, as part of SESA summary, by preparation of R-Package |
| **After the final REDD-plus strategy starts to become known:** | | |
| *Revisit initial determination of applicable World Bank safeguard policies, and make final determination.* | *REDD-plus Country Government and the World Bank* | *Updated ISDS, by preparation of R-PP Progress Report* |
| Develop Terms of Reference for preparing the ESMF (Environmental and Social Management Framework), using Annex C. | SESA Implementing Entity | Draft ToR, by preparation of R-PP Progress Report |
| Component 2d: Prepare ESMF consistent with the applicable safeguards, as required by the Common Approach, to mitigate and manage impacts and risks associated with the implementation of the preferred REDD-plus strategy. The ESMF should include the following components, as relevant:   * + Environmental and social assessment (e.g. Environmental Management Framework of World Bank)   + Indigenous peoples (e.g. Indigenous Peoples Planning Framework of World Bank)   + Involuntary resettlement and/or restriction of access to natural resources having adverse livelihood impacts (e.g. Process Framework of World Bank)   + Stakeholder engagement and dispute resolution framework | SESA Implementing Entity | ESMF or advanced draft ESMF, by preparation of R-Package |
| Provide summary of SESA activities and outcomes, using Annex D. | REDD-plus County | SESA Summary, by preparation of R-Package |

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| **REDD-plus Strategy Implementation Phase** | | |
| **During Implementation of R-Package (when supported by the World Bank):** | | |
| As specific project(s), activity(-ies), policy(-ies)/regulation(s) related to REDD-plus strategy implementation are developed, the country will follow procedures specified in the ESMF if Bank funding is used, and develop site-specific impact mitigation/management plans for the projects or activities, etc. | REDD-plus Country and the World Bank | Impact mitigation/ management plan, for each specific activity |
| If other safeguard policies should be found to apply during implementation, the ESMF is updated accordingly. | REDD-plus Country | Updated ESMF, by time of application of new safeguard standards |

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| **General Information** |

**Note:** For submission to UN-REDD, an additional cover page with required signatures and information should be attached, which will be provided by the UN-REDD Secretariat.

**Contact Information**

Please provide the details for the national REDD-plus focal points (lead official, and day-to-day contact) submitting the R-PP in the table below.

|  |  |
| --- | --- |
| Name |  |
| Title |  |
| Organization |  |
| Address |  |
| Telephone |  |
| Fax |  |
| Email |  |
| Website |  |

**R-PP Development Team**

**Please list the names and organizations of the authors and contributors to the R-PP** (insert as many rows as necessary in the table below).

|  |  |
| --- | --- |
| **Name** | **Organization** |
|  |  |
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**Summary of the R-PP**

|  |  |
| --- | --- |
| Dates of R-PP preparation (beginning to submission): |  |
| Expected duration of R-PP implementation (month/year to month/year): |  |
| Total budget estimate: |  |
| Anticipated sources of funding: | from FCPF:  from UN-REDD:  National government contribution:  other source:  other source: |
| Expected government signer of R-PP grant request (name, title, affiliation): |  |
| Expected key results from the R-PP implementation process: | Outcome 1)  Outcome 2)  Outcome 3)  Outcome 4) |

**Executive Summary**

**Please provide a one- to three-page summary of the R-PP in the space below, including:** your assessment of the current situation, overarching goals of R-PP preparation, your proposed activities and expected results of each component, schematic of the expected readiness process, and the total funding requested and timing.

***Add your description here:***

**Acronyms the country uses in the R-PP [please add your own acronyms to this list]**

Common Approach: The Common Approach provides an overarching framework for the World Bank and development agencies to be Delivery Partners to provide R-PP Formulation and/or Preparation grants to FCPF REDD Country Participants.

ESMF: Environmental and Social Management Framework

MRV: Measurement, Reporting and Verification System

REDD: Reducing Emissions from Avoided Deforestation and Forest Degradation

RL/REL: Reference Level/ Reference Emission Level

SESA: Strategic Environmental and Social Assessment. SESA can be defined as “a range of analytical and participatory approaches that aim to integrate environmental and social considerations into policies, plans and programs and evaluate the inter linkages with economic, political, and institutional considerations”. SESA typically makes use of a variety of tools, rather than following a single, fixed, prescriptive approach.

ToR: Terms of Reference

UN-REDD:UN-REDD Programme

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| **Component 1: Organize and Consult** |

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| 1a. National Readiness Management Arrangements |

**Rationale**

The purpose of setting up the national readiness management arrangements is to manage and co-ordinate the REDD-plus readiness activities whilst mainstreaming REDD-plus into broader strategies such as the national low carbon strategies and national development plans. A country may approach the management arrangements for REDD-plus via existing coordinating bodies or may establish a cross-sectoral and functional working group that is inclusive of key stakeholders with well defined roles and responsibilities essential for this purpose but which feeds into an overarching national climate change mitigation management arrangements. Such arrangements are likely to require the involvement of a number of government agencies (e.g., forests, environment, agriculture, transportation, planning, finance, Prime Minister’s or President’s office, etc.), civil society, and other affected stakeholders in a meaningful way. A stakeholder analysis for this component should ideally be conducted early on, to feed into the composition of the working group, and needs to be linked with component 1b and 1c.

**Guidelines**

Please use the following as a guide to explain the design and functions of the national readiness management arrangements:

**Describe the national readiness management arrangements** such as the design and methods of operation, the roles and responsibilities at various levels of management, and the relative hierarchy between institutions across sectors. Describe mechanisms to manage potential disagreement between working group members or across sectors/institutions (e.g., potential use of legislative provisions, ultimate decision making authority, level of transparency etc.). Explain how Readiness activities for REDD-plus will be coordinated, and ultimately, how REDD-plus implementation will be managed. Explain how the integration of environmental and social issues, including assessments of environmental and social risks and potential impacts of REDD-plus, and the preparation of an ESMF will be coordinated during the preparation and implementation of REDD-plus readiness activities (e.g., a SESA sub-committee). Present the composition of the existing or a new working group, i.e., names of the member ministries and agencies; key stakeholders at national level, representatives of sub-national stakeholder groups and experts from NGOs, women’s organizations, community-based organizations, indigenous peoples’ organizations, private sector, etc.; and individuals represented in the working group that will be responsible for managing readiness, including the sub-group responsible for overseeing the integration of environmental and social issues into the readiness process. If a new working group will be formed, describe how representatives from stakeholder groups in the working group will be chosen. Also provide the name of the ministry/organization responsible for overall coordination of REDD-plus activities and of donor efforts supporting REDD-plus or land use activities.

1. **Describe the specific roles and responsibilities of each member of the working group**, if already defined, towards achieving the objectives of each component of the R-PP including integration of environmental and social issues in the readiness process. Describe the relationship of the REDD-plus working group to the existing working structure and processes for national forestry and land use policy dialogue (in light of the need for REDD-plus strategies to be integrated into the context of ongoing policy and stakeholder discussions on economic development, land use and forestry and national climate change mitigation action plans).
2. **Explain the types of practical activities conducted as part of management of readiness**, e.g., workshops, meetings for key government agencies beyond the forestry sector and other stakeholder consultations, consultations on environmental and social priority issues and concerns of key stakeholders, modes of communication, outreach and communication and budgetary requirements. Include the schedule and sequencing of such activities.
3. **Where readiness management arrangements are not yet established, explain the activities that would be undertaken** (by the nodal agency) leading to establishing management arrangements (e.g., consultations for early engagement of government agencies, early engagement of civil society including Indigenous Peoples, NGOs, donors, and assessment of current and potential roles and responsibilities for members of the WG).
4. **Explain how the working group will report, disclose, and disseminate information, and incorporate stakeholder views** so as to promote transparency, accountability, and public outreach and compliance with the World Bank’s applicable safeguards policies, or those in use for UN-REDD.
5. **Address the issue of government ownership of the R-PP:** When a R-PP writing team relied significantly on external consultants or other expertise (e.g. for reference level, monitoring system, analysis for REDD-plus strategy, assessment of environmental and social issues and integration into REDD-plus strategy), the R-PP review process has raised questions about the ownership of the document by the government and stakeholders. If significant external assistance has been relied on, then country capacity building activities need to be included in the relevant component work plans.
6. **Propose a feedback and grievance redress mechanism** (an FGRM), to be operational early in the R-PP implementation phase:

Transparent information sharing and consultations with stakeholders are the foundation of REDD-plus activities in countries and the implementation of the R-PP. The complexity of issues and diversity of stakeholders may lead to numerous questions, inquiries, and potentially grievances about the REDD-plus strategy or process. A feedback and grievance redress mechanism is part of the country’s REDD-plus management framework. Such a mechanism needs to be available to stakeholders early in the R-PP implementation phase, in order to be ready to handle any request for feedback or complaint that stakeholders may have about Readiness activities.

A grievance redress mechanism is a process for receiving and facilitating resolution of queries and grievances from affected communities or stakeholders related to REDD-plus activities, policies or programs at the level of the community or country. Typically, these mechanisms focus on flexible problem solving approaches to dispute resolution through options such as fact finding, dialogue, facilitation or mediation. Designed well, a feedback and grievance mechanism should improve responsiveness to citizen concerns, help identify problems early, and foster greater trust and accountability with program stakeholders. Additionally data on complaints or feedback can be used to improve program performance. Effective feedback and grievance mechanisms may be particularly helpful in the context of integrating REDD-plus work under R-PP components, including component 1 (Organize and Consult), 2b (the REDD-plus strategy), and 6 (Monitoring and Evaluation). Review of the performance of REDD-plus institutional arrangements, participation by stakeholders, and implementation of the REDD-plus strategy occurs under component 6, which this feedback and grievance redress mechanism should help support.

Grievance mechanisms are not substitutes for legal or administrative systems or other public or civic mechanisms. They do not remove the right of complainants to take their grievances to other more formal recourse options. Ideally local feedback and grievance processes will have been accessed, but may not have provided adequate resolution. Alternatives to more formal grievance mechanisms also may prove useful and can be considered (e.g., a dialogue-based multi-party dispute resolution).

A number of resources are available on this topic, including the IFC and World Bank notes listed in Annex A.

In this component, the country is asked to provide its proposed process for how it will develop, utilize, and institutionalize an effective feedback and grievance mechanism. This mechanism should be capable of addressing requests for information and complaints associated with the country’s REDD-plus strategy in component 2b, its consultation and participation process laid out in component 1c, its monitoring and evaluation in component 6, or otherwise. Note that a country should strive to have available a single feedback and grievance mechanism to handle REDD-plus concerns at any given local or national level, and avoid duplication to meet different program requirements.

For countries operating under the UN-REDD Programme, this proposed mechanism should adhere to the principles and standards outlined in the UN-REDD Programme Guidelines on FPIC.

This section of the R-PP should include proposals to:

a) **Conduct rapid assessment of existing formal & informal feedback and grievance redress mechanisms:**  Propose to conduct an assessment of what options already exist at the local or national level could be modified to put in place an accessible, transparent, fair, affordable and effective grievance redress mechanism for issues arising under a REDD-plus regime.

This assessment also should consider the appropriate level to build on to provide redress. For example, perhaps building on local level existing systems in proposed REDD-plus pilot project areas, or at the regional level where clusters of activities would occur, or building on an existing national grievance mechanism.

b) **Develop a framework for the proposed feedback and grievance redress mechanism:** Propose a study or other activities to define the structure, functioning and governance of such a mechanism, taking into account customary grievance approaches where feasible. The proposal should indicate steps that will incorporate the best practice for creating grievance mechanisms, which includes public dialogue and consultation with stakeholders. This consultation process will ensure that the goals of the mechanism are clear to all stakeholders and that the design reflects the particular cultural or legal context in the country. The proposal should also provide a central location for feedback by stakeholders asking for information or clarifications, or reporting problems encountered in implementation of REDD-plus programs. It serves to put stakeholders in contact with the appropriate officials and processes.

As background for consideration, the grievance redress process usually includes six steps – grievance uptake; grievance sorting and processing; acknowledgement and follow-up; grievance verification, investigation and action; grievance monitoring and evaluation; and feedback/communication.

Effective grievance redress mechanisms should address concerns promptly and fairly, using an understandable and transparent process that is culturally appropriate and readily accessible to all segments of the affected stakeholders, and at no cost and without retribution or impeding other administrative or legal remedies. Effective grievance redress mechanisms are also typified by a number of characteristics, such as multiple grievance uptake locations and multiple channels for receiving grievances; prompt, clear, and transparent processing guidelines (including reviewing procedures and monitoring systems); the availability of a variety of dispute resolution approaches for flexible response to specific grievances; and an effective and timely system for informing complainants of the action taken. If appropriate, the grievance mechanism should provide special provisions for women, and the youth.

**c) Describe how information sharing and consultation on the proposed mechanism will occur:** Include how public dissemination of results of any studies or discussions of proposed grievance arrangements would be conducted. A number of approaches should be considered in the initial consultation with stakeholders regarding who will be responsible for addressing feedback received and resolving grievances brought to the mechanism. The methods of resolving disputes should be addressed as well, and may include: information sharing, fact-finding, mediation and negotiation.

**It is good practice for this component to:**

* Assess previous experience, and determine the highest level of decision making authority in the country at which a REDD steering group should be created in order to be effective. Describe in the workplan how to inform and engage the higher levels of political authority.
* Design the role of the highest REDD governance body such that it is in a position to coordinate and influence actions and programs of forestry and other relevant sectors. Draw an organogram illustrating the hierarchical levels and interconnections between the various bodies.
* Define clear roles and mandates for these bodies, to facilitate coordination among them.
* Propose to strengthen existing coordinating bodies/mechanisms, rather than create new entities, unless existing bodies are not effective.
* Identify policies and laws that need to be reviewed or reformed to allow for successful collaboration.

**Please provide the following information:**

* **Summarize the national readiness management arrangements in the space below in a few pages;**
* **Provide a brief summary activity and budget and funding in Table 1a (detailed budget data and funding table go in Component 5);**
* **If necessary, attach a work program or draft input to ToR for activities to be undertaken in Annex 1a.**

***[Please include each component's standard box like this one in your submission]***

**Standard 1a** **the R-PP text needs to meet for this component:**

**National Readiness Management Arrangements:**

The cross-cutting nature of the design and workings of the national readiness management arrangements on REDD-plus, in terms of including relevant stakeholders and key government agencies in addition to the forestry department, commitment of other sectors in planning and implementation of REDD-plus 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.

***Add your description here:***

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Table 1a: Summary of National Readiness Management Arrangements Activities and Budget (and hypothetical example)** | | | | | | |
| **Main Activity** | **Sub-Activity** | **Estimated Cost (in thousands US$)** | | | | |
| **2011** | **2012** | **2013** | **2014** | **Total** |
|  | ***(HYPOTHETICAL EXAMPLE)*** | | | | | |
| REDD-plus Working Group management | Meetings (e.g., travel for stakeholders on WG) | $30 | $30 | $ | $ | **$** |
| Dissemination of reports | $20 | $20 | $ | $ | **$** |
| Hire 2 staff for working Group | Hire information specialist | $30 | $30 | $ | $ | **$** |
| Hire economist | $30 | $30 | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
| **Total** | | **$110** | **$110** | **$** | **$** | **$** |
| Domestic Government | | $30 | $40 | $ | $ | **$** |
| **FCPF** | | **$80** | **$70** | $ | $ | **$** |
| UN-REDD Programme (if applicable) | | $ | $ | $ | $ | **$** |
| Other Development Partner 1 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 2 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 3 (name) | | $ | $ | $ | $ | **$** |

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| 1b. Information Sharing and Early Dialogue with Key Stakeholder Groups |

**Rationale**

Stakeholders are those individuals and groups that live in and/or have a social, cultural or economic interest in forests and adjacent lands, and those that may be affected either negatively or positively by proposed or enacted REDD-plus activities. They include local communities, formal and informal forest users, private sector entities, civil society, and relevant local and federal government agencies. Among the various stakeholders in REDD-plus, forest-dependent indigenous peoples and other forest dwellers and forest-dependent communities especially rely on forests for their social and economic livelihoods as well as cultural and spiritual well-being. They have a special role to play in REDD-plus given their traditional knowledge and relationship to the forests and their presence on the ground.

Component 1b is focused on awareness raising and information sharing and dialogue with representative groups of stakeholders, in order to prepare the way for later broad consultations. 1b essentially summarizes the status of these activities to date, up to the submission of R-PP to FCPF or to UN-REDD. Some additional information sharing and dialogue is likely to be needed after submission of the R-PP, in order to reach out to stakeholder groups or locations that were not able to be accessed previously. (Component 1c predominately looks forward in time.) Some REDD-plus countries, indigenous peoples and other stakeholders are recognizing the difficulty of abstractly discussing REDD-plus without being able to discuss any specific proposals for REDD-plus policies in a given region or land use or land tenure system. Starting consultations before the strategy has been discussed may raise expectations about potential revenue from REDD-plus programs before any sources of REDD-plus financing have been identified. Finally, countries have realized the high financial cost of consultation with geographically dispersed stakeholders at a stage when financing for such consultations is not yet available.

Component 1c looks forward in time, and provides a framework for engagement of stakeholders, during readiness preparation, in the development of REDD-plus institutional arrangements, policies and programs to address deforestation and forest degradation and the other REDD-plus activities. The activities proposed in 1c mostly will occur during the implementation phase of the R-PP, once it has been assessed and funded. Through this component are also identified stakeholders concerns about potential social economic and environment risks and impacts, and expectations of potential delivery of REDD-plus benefits of proposed REDD plus activities.

Early information sharing should establish a two-way dialogue. It could include the basic concepts of REDD-plus, what an R-PP is and how the R-PP process would work; any early ideas about what kinds of activities or programs might be included in the country's REDD-plus strategy and how SESA would be used to call attention to key environmental and social issues in the REDD-plus readiness process. This early information and outreach phase should build on lessons learned from previous and ongoing consultation processes for other topics. Examples include FLEGT (Forest Law Enforcement, Governance and Trade) voluntary participation agreements, Forest Investment Program (FIP), forest policy consultations, and pilot programs.

Countries are required in this component to conduct initial information sharing on basic REDD-plus concepts and the various components of the R-PP to the relevant stakeholders, during the preparation of the R-PP. This will enable stakeholders to:

* + 1. Understand what REDD-plus means,

1. Understand what the government plans to do in order to begin to develop the various component of the R-PP,
2. Share existing and new assessments of the underlying causes and environmental and social impacts of deforestation and forest degradation,
3. Share stakeholder experience and early views on previous programs to slow deforestation and manage forest in other lands, and governance issues associated with them, and
4. Understand what stakeholder role will be in supporting the government work in developing the R-PP and implementing early studies under it.

A guideline note developed by FCPF and UN-REDD provides key elements of effective stakeholder engagement in the context of these programs. It outlines: 1) principles for effective participation and consultation; 2) operational guidelines; and 3) practical “how-to” guideline on planning and implementing consultations. It is available under Annex B of this template, and also at <http://www.forestcarbonpartnership.org/fcp/> and <http://www.un-redd.org/>

Of the eleven common guiding principles for effective stakeholder engagement that underpin both the FCPF and UN-REDD Programme (listed under component 1c), one is especially relevant to this component:

* + 1. The consultation process should include a broad range of relevant stakeholders at the national and local levels. The diversity of stakeholders needs to be recognized. In particular the voices of forest- dependent and vulnerable groups must be heard, whether they are indigenous or not. Different stakeholders have different stakes and/or interests in REDD-plus*.* Some may be positively impacted, others negatively.

**Guidelines:**

Under this component, countries will begin information sharing in order to lay the foundation for effective consultation and participation to be conducted during the implementation phase, as described in component 1c. The following steps provide guidelines for this component:

1. **Undertake and summarize in this component your stakeholder mapping/analysis exercise** to identify the relevant stakeholders that have an interest in the forest and those that may be affected either negatively or positively by proposed REDD-plus activities.
2. **Incorporate gender into information sharing and dialogue:** Analysis of gender concerns should be conducted to identify potential gender-based risks and/or unequal benefits that can hamper the welfare of different social groups, especially women, youth and children. Furthermore, targeted opportunities should be identified that can help reduce gender-based disparities in participation in access to and benefits from REDD-plus interventions. Sometimes gender-based groups are more comfortable in single-gender sharing sessions, and translations are necessary for diverse communities. Special arrangements should be made for overcoming social norms and language barriers for effective dialogue and communication.
3. **Convene and summarize in this component a national level multi-stakeholder workshop** to initiate the REDD-plus/R-PP information sharing, sensitization and awareness process. The workshop should include a broad range of local and national stakeholders. The goal of this workshop is to formally present the REDD-plus concept, the R-PP formulation process, and discuss a plan for rolling out the information sharing campaign proposed by the national government. This information sharing campaign should include:
4. Identifying various stakeholders in each region (based on forest coverage, deforestation and forest degradation and the other REDD-plus activities), to target for the awareness campaign. A variety of tools and methods can be used to allow for bottom-up participation and ensure that information is rigorously gathered and fairly presented.
5. Identify which issues will be discussed relevant to the concept of REDD-plus and development of the R-PP.
6. Prepare relevant information about REDD-plus and the R-PP process and share ahead of time with relevant stakeholders. This will allow sufficient time for stakeholders to digest the information, and organize themselves for meaningful discussions during the actual meeting.
7. Prepare a communication and outreach strategy for public dissemination of this information and of results of the outreach efforts.
8. **Prepare and disseminate a document summarizing all issues raised by participants** in attendance, names affiliation of participants attending, and views on the next outreach steps. Information from these various meetings/workshops should be disclosed through existing public information channels.
9. **Feed the most critical information distributed and comments received during the outreach session into the drafting process** for relevant components of the R-PP.
10. **Discuss the potential elements of a consultation and participation plan** that would be drafted during the R-PP formulation phase and implemented during the R-PP implementation phase.
11. **Identify existing feedback and grievance redress mechanisms** in place that allow disagreements to be elevated to a neutral authority, or discuss how such a mechanism could be put in place with stakeholders during discussions. As detailed under component 1a, a feedback and grievance redress mechanism should be established and available early in the implementation of the Readiness Preparation grant process.

**It is good practice for this component to:**

* Identify and define the interests of those who should be consulted, paying particular attention to forest-dependent communities, indigenous peoples, and marginalized rural populations.
* Analyze gender concerns, involving the assessment of gender-based risks and potential benefits and opportunities for different groups of women, men and youth in connection with leading REDD-plus strategy options, which may be desirable at this stage.
* Build the information sharing campaign on lessons learned from previous or ongoing consultation processes for other initiatives, avoiding their drawbacks and extending their insights and successes.
* Consider involving regional government bodies and processes, as many countries are undergoing decentralization processes.
* Identify key issues on which there are common interests and those that are potentially contentious.
* Present information to each stakeholder group in a culturally appropriate format and manner. In doing this the use of local languages, radio broadcasts, dramatic presentation etc or some combination thereof may be appropriate.

**Box 1b-1: The Cancun COP *Decision 1/CP.16, Appendix I*:**

**Indigenous Peoples and Local Communities (selected text)**

*“…2. When undertaking the activities referred to in paragraph 70 of this decision, the following safeguards should be promoted and supported:*

*…(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;*

*(d) The full and effective participation of relevant stakeholders, in particular, indigenous peoples and local communities, in actions referred to in paragraphs 70 and 72 of this decision; …*

*1  Taking into account the need for sustainable livelihoods of indigenous peoples and local communities and their interdependence on forests in most countries, reflected in the United Nations Declaration on the Rights of Indigenous Peoples, as well as the International Mother Earth Day."*

Note: The Cancun COP *Decision 1/CP.16*Paragraph 70 and 72 are included in Box b2-1, in component 2b.

Source: http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf

**Resources available:** Several forest governance guidelines toolkits or documents are available that might be important references or offer useful approaches for work on this component. Some such tools include: *Governance of Forest Toolkit* by World Resources Institute, *Analytical Framework for Governance Reform* by the World Bank, and *REDD+ Social and Environmental Standards* by the Climate Community and Biodiversity Alliance (CCBA) and Care International. Please refer to the annex of this document for the links to access these tools.

***[Keep this box in your R-PP submission]***

**Standard 1b the R-PP text needs to meet for this component:**

**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 the national and sub-national 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.

**Please provide the following information:**

* **Pre-consultation activities to date and additional activities planned under this component, to contribute to the development of the R-PP in less than five pages**
* **Provide a brief summary activity and budget and funding in Table 1b (detailed budget data and funding table go in Component 5);**
* **If necessary, attach a work program or draft input to ToR for activities to be undertaken in Annex 1b.**

***Add your description here:***

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Table 1b: Summary of Information Sharing and Early Dialogue with Key Stakeholder Groups**  **Activities and Budget** | | | | | | |
| **Main Activity** | **Sub-Activity** | **Estimated Cost (in thousands)** | | | | |
| **2011** | **2012** | **2013** | **2014** | **Total** |
|  |  | **$** | **$** | **$** | **$** | **$** |
|  | **$** | **$** | **$** | **$** | **$** |
|  |  | **$** | **$** | **$** | **$** | **$** |
|  | **$** | **$** | **$** | **$** | **$** |
|  |  | **$** | **$** | **$** | **$** | **$** |
|  | **$** | **$** | **$** | **$** | **$** |
| **Total** | | **$** | **$** | **$** | **$** | **$** |
| **Government** | | **$** | **$** | **$** | **$** | **$** |
| **FCPF** | | **$** | **$** | **$** | **$** | **$** |
| **UN-REDD Programme (if applicable)** | | **$** | **$** | **$** | **$** | **$** |
| **Other Development Partner 1 (name)** | | **$** | **$** | **$** | **$** | **$** |
| **Other Development Partner 2 (name)** | | **$** | **$** | **$** | **$** | **$** |
| **Other Development Partner 3 (name)** | | **$** | **$** | **$** | **$** | **$** |

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| 1c. Consultation and Participation Process |

**Rationale**

The success of REDD-plus interventions will significantly depend on active involvement of relevant stakeholders. This component aims to ensure that the national agency or organization responsible for leading the REDD-plus process conducts consultations with relevant stakeholders and facilitates their participation in both stages of preparing the R-PP and implementing it. In order to make the REDD-plus readiness process inclusive and transparent, the country should present evidence of how meaningful consultation with relevant stakeholders would be carried out when activities proposed in the R-PP are conducted during R-PP implementation. The activities proposed in 1c mostly will occur during the implementation phase of the R-PP, once it has been assessed and funded.

The consultation and participation plan should be designed to increase inclusion of different social groups (including women and men, youth, indigenous peoples, etc), transparency, and accountability of decision-making over the lifetime of the preparatory work leading to REDD-plus readiness. While implementing the contents of the R-PP and designing the various components of REDD-plus readiness, the country applies this Consultation and Participation Plan by running the core components of readiness through the planned consultation process. This makes the Consultation and Participation Plan a center piece in the national process of getting ready for REDD-plus.

Note that only a single Consultation and Participation Plan and process is required, and that this process would serve the needs of component 1c as well as consultations under SESA in component 2d.

This consultation and participation phase should build on early dialogues with key stakeholders as in component 1b. Work in this component shall develop a plan for consultation, participation, and outreach to be implemented after the country receives readiness funding. It should also lead to establishment of an enduring institutional structure that will ensure meaningful participation in decision-making concerning REDD-plus strategies and activities beyond the Readiness phase. The plan should show how the various components of the R-PP and REDD-plus activities will be consulted on during the R-PP implementation phase, including for components 2, 3 and 4.

**Incorporation of gender into Readiness:** Women playa unique role in natural resource management in many countries that is relevant to REDD-plus Readiness. During the process of mapping stakeholders for REDD-plus in component 1b and 1c and as part of the SESA process in component 2d, countries should identify key gender concerns, especially potential gender-based risks and/or unequal benefits that can hamper the welfare of different social groups, especially women and youth, children and people with disabilities. Furthermore, targeted opportunities should be identified that can help reduce gender-based disparities in access to and benefits from REDD-plus interventions. This work should include direct engagement with these social groups as well as with other institutions that have the relevant expertise. This analysis of gender concerns should be consistent with World Bank Gender and Development Operational Policy (OP 4.20), or with comparable Delivery Partner gender policies (such as those of UNDP’s ‘Programme and Operations Policy and Procedure’ (POPP) and Environmental and Social Screening Tool). In component 1c, the Consultation and Participation Plan should specifically address the results of this analysis to ensure inclusion of women’s, men’s, and youth groups and concerns.

**Stakeholder validation:** Following the completion of the consultation and participation plan and budget, the government should organize a national level multi-stakeholder workshop to validate both the activities proposed in the R-PP and the consultation and participation plan. A validation meeting involving key stakeholders and including vulnerable groups should be held to follow up on an inclusive and culturally sensitive consultative process during R-PP formulation. The validation meeting is not a substitute to an inclusive and transparent consultation process, and stakeholder participation is expected from the beginning of R-PP development. The objective of this workshop is to ensure that issues raised during pre-consultation with key stakeholder groups are incorporated into the plan, and that it receives broad support. Guidelines for the validation process that countries participating in the UN-REDD Programme should follow are presented in the UN-REDD Programme Rules of Procedure and Operational Guidance[[2]](#footnote-2). The UN-REDD validation standards should apply to a joint FCPF/UN-REDD validation process in countries that submit an R-PP to both programs, since they are more specific, as long as the country agrees.

The common guiding principles for effective stakeholder engagement and consultation that underpin both the FCPF and UN-REDD Programme include:

(Note: One of the eleven principles is especially relevant to component 1b and is presented there. Source: Guidelines on Stakeholder Engagement in REDD-plus Readiness, FCPF and UN-REDD Programme, Annex B).

1. Consultations should be premised on transparency and timely access to information. In the context of REDD-plus, timely information dissemination at all levels and in a culturally appropriate manner is a pre-requisite to meaningful consultations. Stakeholders should have prior access to information on the proposed consultation activities. Sufficient time is needed to fully understand and incorporate concerns and recommendations of local communities in the design of consultation processes. Public awareness and information, education and communication campaigns are important vehicles for ensuring that stakeholders understand the objectives of REDD-plus, the related risks and opportunities and their potential role in the process, and can – if they decide to do so – make informed and substantive contributions to the formulation of REDD-plus strategies and policies.
2. Consultations should facilitate dialogue and exchange of information, and consensus building reflecting broad community support should emerge from consultation. The consultation process should occur voluntarily. In the case of the UN-REDD Programme, consultations leading to giving or withholding consent should be carried out in accordance with the UN-REDD Programme Guidelines on FPIC (see Annex B-2).
3. Consultations with indigenous peoples must be carried out through their own existing processes, organizations and institutions, e.g., councils of elders, headmen and tribal leaders. Indigenous peoples should have the right to participate through representatives chosen by themselves in accordance with their own procedures and decision-making institutions (see Step #2 under the Practical Steps for Carrying out Effective Consultations section below for more details). It is also important to ensure that consultations are gender sensitive.
4. Special emphasis should be given to the issues of land tenure, resource-use rights and property rights because in many tropical forest countries these are unclear as indigenous peoples’ customary/ancestral rights may not necessarily be codified in, or consistent with, national laws. Another important issue to consider for indigenous peoples and other forest dwellers is that of livelihoods. Thus clarifying and ensuring their rights to land and carbon assets, including community (collective) rights, in conjunction with the broader array of indigenous peoples’ rights as defined in applicable international obligations, and introducing better access to and control over the resources will be critical priorities for REDD-plus formulation and implementation.
5. Impartial, accessible and fair mechanisms for grievance, conflict resolution and redress must be established and accessible during the consultation process and throughout the implementation of REDD-plus policies, measures and activities (please refer to the guidelines on feedback and redress mechanisms in component 1a of the R-PP template and Section 5 of the UN-REDD Programme Guidelines on FPIC, in Annex B-2).
6. Consultations should start prior to the design phase of the project/program, and be applied at every stage of the REDD-plus process including planning, implementation, monitoring and reporting and with adequate lead time since decision-making among some local communities may take time and be iterative. A Consultation and Participation Plan should be developed for countries submitting R-PPs and/or UN-REDD National Programme Documents (see section 1c. of the R-PP Template). This should include an analysis of proposed REDD-plus readiness activities to identify when consultations will be required, at what level these should be conducted, and who they should include. The Consultation and Participation Plan should be prepared with a realistic budget and financing plan and implemented by the National REDD-plus Committee or the agency(ies) or committee(s) responsible for REDD-plus policy design.
7. A national level workshop should be held to initiate the consultation and participation process. The workshop should include a broad range of local and national stakeholders. The goal of this workshop is to review and assess the content of the Consultation and Participation Plan (e.g., the list of issues to consult on and the means for doing so), which are not considered final until this workshop has taken place.
8. It is important that participatory structures and mechanisms exist to manage the agreed process outlined in the Consultation and Participation Plan. For example, national REDD-plus committees should include representatives from relevant stakeholder groups, including indigenous peoples and civil society (see Annex B-1 for UN-REDD Programme guidance on representation). In addition to the national level, participatory fora need to be established (or existing ones used) at the local level to ensure active engagement of local stakeholders, in accordance with the principles outlined above.
9. Records of consultations and reports on the outcome of the consultations should be prepared and publicly disclosed in a culturally appropriate form, including in local languages. Consultation processes should clearly document how views gathered through the consultation process have been taken into account and, where they have not, explanations provided as to why.
10. Prior to the development of a REDD-plus program/activity, indigenous peoples living in voluntary isolation that may be affected should be identified in consultation with the relevant entities at the national, sub-national and/or local level to ensure that the program/activity is developed in a way that completely avoids contact with these communities.

World Bank Operational Policy 4.10 on Indigenous Peoples utilizes the principle of free, prior, and informed consultation resulting in broad community support. Similar policies promulgated by other FCPF Delivery Partners utilize some variation on either free, prior, and informed consultation or free, prior and informed consent (FPIC). For more information refer to the policy frameworks of these Banks and to Annex B to this template.

FCPF countries that have both endorsed the UN Declaration on the Rights of Indigenous Peoples (UNDRIP) and enacted legislation to implement the principle of free, prior and informed consent (FPIC), should conform to their legislation that concerns FPIC.[[3]](#footnote-3) Countries are encouraged to take note of the adoption of UNDRIP by the United Nations General Assembly.

FCPF Countries that have ratified International Labor Organization (ILO) Convention No. 169 are expected to comply with their obligations under that convention.

The UN-REDD Programme requires that the right to FPIC shall be upheld in UN-REDD Programme activities, following UN-REDD Programme Guidelines on FPIC [[4]](#footnote-4).Countries operating under the UN-REDD Programme should take into consideration key documents and processes related to consultations, including the UN Development Group Guidelines on Indigenous Peoples’ Issues, and the International Labor Organization Convention No.169.

In the R-PP Annexes, [Annex B: Guidelines on Stakeholder Engagement in REDD-plus Readiness, FCPF and UN-REDD Programme, contains:](#_Toc276209457) [Annex 2: Overview of the UN-REDD Programme Guidelines on Free, Prior and Informed Consent; and](#_Toc276209458) [Annex 3: Summary of World Bank Operational Policy 4.10 on Indigenous Peoples.](#_Toc276209459)

**Guidelines**

Please provide the following information in this component:

1. **Present the consultation and participation plan** for engagement of stakeholders in the REDD-plus development process (required to be presented here), which should discuss how the existing consultations will be broadened during the R-PP implementation phase.
2. **Explain how representative participation of forest-dependent indigenous peoples and other forest dwellers and forest-dependent communities and other civil society would be ensured.** Present outreach mechanisms to reach different stakeholders, especially to those groups whose livelihoods will likely be negatively impacted by REDD-plus.
3. **Describe the methods used for consultations** **for the different components of the R-PP.** Explain how publicly available summary reports of the consultation meetings, workshops, etc., e.g., dates and venues, list of attendees, issues raised will be ensured and made available. Describe how neutral facilitation of the consultations will be achieved.
4. **Explain how the feedback from stakeholders will be incorporated into the REDD-plus readiness process**, including feedback on key environmental and social risks as perceived by the stakeholders.
5. **Explain how stakeholders will participate in** (i) selection of environmental and social issues and priorities associated with the drivers of deforestation in components 2a and 2d, (ii) scoping of key environmental and social risks associated with REDD-plus strategy options in component 2b; (iii) validation of the legal, institutional, regulatory and capacity building recommendations to address existing gaps or issues in managing environmental and social priorities in components 2c and 2d; and, (iv) validation of mitigation and compensation measures developed to address any potential environmental and social impacts of REDD-plus strategy options in component 2d.
6. **Describe procedures for disclosure of information** in the preparation and implementation of the R-PP and specify the procedures for disclosure of information on environmental and social issues.

1. **Development of the plan should be informed by the consultation guidelines note in Annex B** developed by FCPF and the UN-REDD programme, and guidelines in component 2d. This guidelines note identifies eight practical steps for effectively conducting consultations:
   1. Define the desired outcomes of consultations
   2. Identify stakeholders that have a stake/interest in the forest and those that will be affected by REDD-plus activities
   3. Define the issues to consult on that broadly correspond to the Readiness Preparation Proposal components
   4. Define the terms of the consultation
   5. Select the consultation and outreach methods
   6. Ensure that stakeholders have sufficient capacity to engage fully and effectively in consultations
   7. Conduct the consultations with relevant stakeholders at different levels within community and organizations
   8. Analyze and disseminate results.

Note: names and sources of some other guiding documents that may be of interest to develop consultation and participation plan are presented in annex A.

**It is good practice for this component to:**

* Provide detailed information about the consultation, such as how attendees in consultation meeting would be selected, how advance notice of the meeting would be given, etc.
* Looking forward, design a consultation process that goes beyond merely sharing information and has clear objectives, results, and outputs.
* Outline the timeframe for consultation and develop a communication strategy to generate and maintain public interest in the consultation process.
* Plan a way in writing for the outcome of consultations to be used in implementing the REDD-plus strategy, the SESA integrated into the Readiness Preparation process and other REDD-plus activities.

**Box 1c-1: The Cancun *COP Decision 1/CP.16*, Considerations to Address in National Action Plans**

*“72. Also requests developing country Parties, when developing and implementing their national strategies or action plans, to address, inter alia, the drivers of deforestation and forest degradation, land tenure issues, forest governance issues, gender considerations and the safeguards identified in paragraph 2 of appendix I to this decision, ensuring the full and effective participation of relevant stakeholders, inter alia indigenous peoples and local communities;…”*

Source: http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf

**Box 1c-2: The Cancun COP *Decision 1/CP.16, Appendix I*: Guidance and safeguards for policy approaches to REDD-plus (selected text)**

*“(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;*

*(d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;…”*

Source: http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf

**Standard 1c the R-PP text needs to meet for this component:**

**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 far (ii) the extent of ownership within 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; (v) and mechanisms for addressing grievances regarding consultation and participation in the REDD-plus process, and for conflict resolution and redress of grievances.

**Please provide the following information in the space below:**

* **Consultations held so far in the development of the R-PP in one to three pages: Detail and document the contents of the consultation materials, the consultation outcomes, any next steps, and how the outcomes have been taken into account into the R-PP. If necessary, please use Annex 1c to present additional materials.**
* **Proposed full consultation and participation plan in three to ten pages. If necessary, please use Annex 1c to present additional materials. Note that the full consultation and participation plan is required, not a summary or draft input to ToR.**
* **The summary budget and funding request in Table 1b (the detailed budget and funding data go in Component 5).**

**Consultations held so far in the development of the R-PP:**

***Add your description here:***

**Proposed full consultation and participation plan (describe here):**

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| **Table 1c: Summary of Consultation and Participation Activities and Budget** | | | | | | |
| **Main Activity** | **Sub-Activity** | **Estimated Cost (in thousands)** | | | | |
| **2011** | **2012** | **2013** | **2014** | **Total** |
|  |  | **$** | **$** | **$** | **$** | **$** |
|  | **$** | **$** | **$** | **$** | **$** |
|  |  | **$** | **$** | **$** | **$** | **$** |
|  | **$** | **$** | **$** | **$** | **$** |
|  |  | **$** | **$** | **$** | **$** | **$** |
|  | **$** | **$** | **$** | **$** | **$** |
| **Total** | | **$** | **$** | **$** | **$** | **$** |
| **Government** | | **$** | **$** | **$** | **$** | **$** |
| **FCPF** | | **$** | **$** | **$** | **$** | **$** |
| **UN-REDD Programme (if applicable)** | | **$** | **$** | **$** | **$** | **$** |
| **Other Development Partner 1 (name)** | | **$** | **$** | **$** | **$** | **$** |
| **Other Development Partner 2 (name)** | | **$** | **$** | **$** | **$** | **$** |
| **Other Development Partner 3 (name)** | | **$** | **$** | **$** | **$** | **$** |

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| **Component 2: Prepare the REDD-plus Strategy** |

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| 2a. Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance |

**Rationale**

The purpose of the assessment of land use, land use change drivers and forest law, policy and governance, is to: 1) help the country identify key drivers of deforestation and/or forest degradation, as well as activities concerning conservation, sustainable management of forests, and enhancement of forest carbon stocks; and 2) identify how shortcomings in current land use, and forest law, policy and governance, structures contribute to the drivers of deforestation and forest degradation. This assessment shall review the country’s past experiences (incl. sub-national level) with reducing deforestation, degradation and enhancing carbon stocks, including associated key environmental and social issues, in order to identify promising approaches for the emerging REDD-plus strategy. This analysis should provide data on 1) land tenure (differentiated if possible by gender and ethnicity), land use and related trends; and 2) important insights into lessons learned, challenges, and opportunities to overcome those challenges. The REDD-plus strategy should then be developed precisely to address the key deforestation and degradation drivers identified and prioritized in this assessment, and designed to overcome the challenges and previous program issues that led to underperformance.

Identification of drivers of deforestation and forest degradation is the backbone of analyzing land use change, and the central organizing principle for components 2b (REDD-plus strategy), 2c (Implementation Framework), and 2d (Impacts).This component requires an insightful summary of existing, high-quality analytical studies, or the commissioning of new studies during the implementation of the R-PP work plan to fill in any areas for which additional results are necessary to develop the rest of component 2.

**Guidelines**

Please prepare an assessment of land use, land use change drivers forest law, policy and governance, with respect to national law and policy in other sectors and international obligations, using the guidelines below:

1. **Identify the underlying causes of deforestation and forest degradation**, considering implications for REDD-plus of direct and indirect drivers and factors both within and outside the forest sector, major land use trends and forest policy and governance issues.
2. **Present an overview of the country situation in relation to deforestation and forest degradation, and forest enhancement activities.** Briefly summarize all key laws, policies, strategies, and programsrelev*a*nt to REDD-plus, potentially in a tabular form.
3. **Identify the major relevant knowledge gaps and capacity constraints** that play a role in deforestation, forest degradation and the other REDD-plus activities that need to be analyzed in more detail. Countries may institute a new assessment or choose evidence-based causality analysis and existing studies/reports of assessments already available. The assessments should outline the economic, social, political, environmental and institutional context; identify the challenges to be addressed, the disaggregated data on these challenges and the causal factors. Include references to existing studies, data sources used in the assessment together with names of relevant Partners and organizations involved in the assessment.
4. **Considerations in this assessment include**, e.g., whether policies and laws provide positive or perverse incentives that drive deforestation; pertinent laws, policies, and issues surrounding land tenure and resource rights, and traditional land use of indigenous people, extent of titled and untitled indigenous lands, indigenous claims for additional land “extensions;” and process of land title demarcations; how accountability in existing revenue distribution systems is addressed or planned to be addressed; the effectiveness of law enforcement systems; and how coordination of existing policy processes occurs, especially relating to land use decisions.
5. **Include an analysis of the performance of the most relevant and important past efforts to reduce deforestation or forest degradation** and promote conservation and sustainable management of forestsin your country. Evaluate past governance and enforcement challenges, and lessons learned, potential opportunities, and key barriers to inform REDD-plus strategy development. Present relative successes and shortcomings, leading to identification of major potential deforestation reduction approaches, by major cause and driver of deforestation and degradation.
6. **Forest governance assessment framework for REDD-plus:** Strongly consider using a forest or other governance assessment framework consisting of principles and criteria for good forest and/or other relevant sector governance. Some evolving tools that might be of potential use for this are presented in Annex A. Generic steps include: analyses, ideally through a multi-stakeholder process, of the governance systems and structures in place with the help of this framework; formulate a governance reform strategy based on the diagnosis; and then select indicators relevant to stakeholders through a qualitative and participatory process; and then monitor whether the reform strategy is being implemented properly and with the right kinds of impacts and outcomes. It is in the choice of indicators that a country has the option to choose this set of (say) six vs. that set of (say) ten, or the other. The choice will clearly depend on the scope of its REDD-plus program and its baseline assessment of the quality of governance. Also describe, if possible at this time, how shortcomings in governance structures and systems will be addressed and corrected in your REDD-plus strategy in component 2b.Include reference to these governance issues in component 4b to the extent possible at this time.
7. **Identify key environmental and social issues leading to deforestation and forest degradation**, e.g., perverse synergies between immigration and soil degradation; and deforestation and forest degradation processes that have affected environmental quality and quality of life, e.g., degradation and/or pollution of water catchment areas, abandoned pits and small mines which were mined for precious metals that are sources of water pollution, malaria transmitting mosquitoes and soil degradation.
8. **Explain any information sharing or consultation which has occurred in the development of the assessment**, or that which is planned as part the Consultation and Participation Plan discussed in Section 1c.
9. **Refer to annex A for information on available tools that could assist in the analyses for this component.**
10. **Linkage to the** **Environmental and Social Management Framework (ESMF):** The analytical findings and recommendations of this component, as well as those of components 2b and 2c, feed into component 2d for developing the ESMF.

**It is good practice for this component to:**

* Identify major historical land use trends in major ecological zones, provinces or any other geographic units.
* Identify and describe the state, extent, and characteristics of the direct and indirect causes of deforestation and forest degradation in the main regions noted above pertaining to the REDD-plus context. Examples of direct drivers and causes include harvesting, cutting for fuel and charcoal, land conversion, tree planting programs, etc. Examples of indirect drivers include governance policies, infrastructure development, domestic and international commodity price changes, emergence of new markets for crops, timber or bio-fuels, etc.
* Provide a thorough analysis of the legal rights to property and access to land, forests and related natural resources (e.g., minerals), and regulatory situation pertinent to REDD-Plus.
* Analyze the linkage of drivers of deforestation and forest degradation with environmental and social impacts; and the linkage between environmental and social conditions with the drivers of deforestation. Avoid simply listing drivers of deforestation and forest degradation, but also explain the status, extent, etc.
* Allow for meaningful participation of relevant stakeholders in analyzing the governance situation, recommendations for policy reform, as well as identifying key indicators for potential inclusion in the monitoring system.

**Standard 2a the R-PP text needs to meet for this component:**

**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 and shortcomings; 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-plus; and sets the stage for development of a national REDD-plus strategy to directly address key land use change drivers.

**Please provide the following information:**

* **The assessment of land use, forest law, policy and governance in the space below in five to ten pages.**
* **Fill in the activity and budget in Table 2a for any follow-up activities or studies needed (detailed budget data go in Component 5)**
* **If necessary, attach additional materials, a further work program, or draft input to ToR for further work in Annex 2a.**

***Add your description here:***

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| --- | --- | --- | --- | --- | --- | --- |
| **Table 2a: Summary of Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance Activities and Budget (Follow-up Activities Needed)** | | | | | | |
| **Main Activity** | **Sub-Activity** | **Estimated Cost (in thousands)** | | | | |
| **2011** | **2012** | **2013** | **2014** | **Total** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
| **Total** | | **$** | **$** | **$** | **$** | **$** |
| Government | | $ | $ | $ | $ | **$** |
| **FCPF** | | **$** | **$** | **$** | **$** | **$** |
| UN-REDD Programme (if applicable) | | $ | $ | $ | $ | **$** |
| Other Development Partner 1 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 2 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 3 (name) | | $ | $ | $ | $ | **$** |

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| 2b. REDD-plus Strategy Options |

**Rationale**

The purpose of the REDD-plus strategy is to develop a set of policies and programs for addressing the drivers of deforestation and/or forest degradation identified in Component 2a, and hence reducing emissions from these drivers and enhancing carbon uptake from the other REDD-plus activities. This strategy should be developed in the context and in support of the national priorities for sustainable development.

**Guidelines**

Please follow the guidelines below:

* + - 1. **Propose a workplan for developing, assessing, and prioritizing various REDD-plus strategy options** that will address the drivers of deforestation and/or forest degradation outlined in Component 2a. This workplan should include a sequence and schedule of activities, and the consultation aspects (included in the Consultation and Participation Plan). Strategy options and interventions that are robust in their ability to address the challenges identified in Component 2a for achievement of planned results will be required.
      2. **The work is likely to require an assessment of the various REDD-plus strategy options from the following standpoints:**
  1. How the proposed activity would address the specific drivers of deforestation and/or forest degradation, for given land uses and socioeconomic contexts.
  2. How cost benefit analysis of REDD-plus strategy options is being considered (including opportunity costs, investment costs, transaction costs, and abatement costs). These analytic methods are especially useful for comparing potential strategy options and assessing their cost and relative benefits. For assistance, refer to annex A for information on some available tools that might be of interest.
  3. Sustainability and integration with other sector policies and strategies:

1. Synergies (or conflicts) between the identified options and other national development priorities, including assessment of trade-offs across development goals or sectors, or consideration of any relationship to an evolving low carbon development strategy (e.g., enhanced carbon stocks or land management capacity, but reduced local rural incomes or biodiversity in surrounding lands);
2. Linkages between the identified options and the key governance issues identified in Section 2a, including support for the emergence of a more transparent, participatory, and accountable governance system);
3. Ways of mitigating conflicts or modifying the options to compensate affected institutions and various stakeholder groups.
   * + 1. **Risk analysis:** Present a simple risk analysis framework that summarizes major types of risks, and how significant they are (e.g., low, medium, high) for the major REDD-plus strategy activities. Risks include domestic political risks for a new policy and uncertainties of the international policy process. Some other significant risk factors include: environmental risks; socio-cultural risks; and major financial, operational, organizational, political, regulatory, and strategic risks potentially associated with major strategy activities. For example, assess the risk of domestic leakage caused by the REDD-plus strategy options, i.e., the risk of strategy options displacing deforestation and/or forest degradation from one area to another within the country, through activity shifting or market leakage.
       2. **Feasibility assessment (socioeconomic, political and institutional):** Assess the feasibility of the options through analysis of risks, as described in guideline 3 above, and opportunities for the proposed options. Include an analysis of institutional capacity and in the case of weak institutions, how they will be strengthened to enforce forest laws and governance issues and viability in terms of political and economic context, livelihood impacts and sustainable alternate livelihood opportunities for the identified options.
       3. **Addressing environmental and social issues:** Selection of the REDD-plus strategy options should be informed by an assessment of environmental and social risks, and of potential impacts (both positive and negative) associated with the specific REDD-plus strategy options being considered, as part of the SESA process. For example, if expansion of existing conservation areas is being considered, then social impacts potentially could include the displacement of local communities to areas outside of the conservation zone, or new limitations on community harvesting of medicinal plants or fuelwood. An analysis of these potential impacts should inform the design of the REDD-plus strategy that eventually emerges as the preferred one, of the measures devised to mitigate any residual negative impacts associated with the implementation of the strategy, and of provisions for equitable benefit sharing.
       4. **The preparation of an Environmental and Social Management Framework (ESMF)** provides the framework for avoiding, mitigating, and managing environmental and social risks of the REDD-plus strategy as it is implemented. The ESMF will be guided by the work undertaken in other components of the R-PP, predominantly in components 2a, 2b and 2c. This ESMF should be drafted during R-PP implementation, and be finalized to form part of the Readiness Package produced at the end of the implementation phase.

An overview of the key elements of the SESA process, by the phases in the R-PP process, is presented in Overarching Guidelines Table 1 (at the end of the introductory guidelines section). Refer to this table as necessary throughout the R-PP writing process, to help understand where various elements of SESA take place.

Incorporation of gender into the REDD-plus strategy:During preparation of the REDD-plus strategy and as part of the SESA process, key gender concerns should be analyzed to manage potential gender-based risks and/or unequal benefits that can hamper the welfare of different social groups, especially women, youth and children. Furthermore, targeted opportunities should be identified for social groups, including women’s, men’s and youth groups, during implementation of the REDD-plus strategy. This work should include direct engagement with these social groups as well as with other institutions that have the relevant expertise. Annex A provides links to some potentially useful tools and resources to help analyze gender concerns.

* + - 1. **Safeguards:** The COP decision 1/CP.16 Appendix I on safeguards notes that safeguards should be promoted and supported for REDD-plus activities, listing seven safeguard issues, including: 2 (f) “Actions to address the risks of reversals” (or unplanned emissions of GHG benefits, often referred to as considering non-permanence); and (g) “Actions to reduce displacement of emissions” (often referred to as leakage).This component should identify studies or any anticipated activities to consider and address these two safeguards in particular, since they may significantly change carbon benefits and options. Early consideration of these and other safeguard issues may alter the relative attractiveness of some candidate activities for the REDD-plus strategy.

**It is good practice for this component to:**

* Describe how REDD could fit into the context of your national development framework and path.
* Work to identify specific policy options that directly address the land use factors driving deforestation and forest degradation, and hence change the economic and other incentives for managing land using the current practices.

**Box 2b-1: The Cancun *COP Decision 1/CP.16*, Considerations to developing and implementing National Action Plans**

*70. Encourages developing country Parties to contribute to mitigation actions in the forest sector by undertaking the following activities, as deemed appropriate by each Party and in accordance with their respective capabilities and national circumstances:*

*(a) Reducing emissions from deforestation;*

*(b) Reducing emissions from forest degradation;*

*(c) Conservation of forest carbon stocks;*

*(d) Sustainable management of forests;*

*(e) Enhancement of forest carbon stocks;*

*72. Also requests developing country Parties, when developing and implementing their national strategies or action plans, to address, inter alia, the drivers of deforestation and forest degradation, land tenure issues, forest governance issues, gender considerations and the safeguards identified in paragraph 2 of appendix I to this decision, ensuring the full and effective participation of relevant stakeholders, inter alia indigenous peoples and local communities;*

**Standard 2b the R-PP text needs to meet for this component: 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/or 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 and risks; 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.

**Please note that, at this stage, the requirement is not to reach agreement on the REDD-plus strategy itself (as this would require analytic studies, consultations, etc., which are identified in the R-PP, but have not yet been carried out). However, if the national REDD-plus Strategy is already available, please provide it. Please provide the following information:**

* **A summary of preliminary REDD-plus strategy options in the space below, and a description of the process proposed for developing and assessing various strategy options (in three to six pages);**
* **The budget and funding request in Table 2b (detailed budget and funding data go in Component 5);**
* **If necessary, attach the work program and/or draft input to ToR for activities identified to be part of the REDD-plus Strategy as Annex 2b.**

***Add your description here:***

**Table 2b: Summary of REDD-plus Strategy Activities and Budget (or Results Framework)**

Note: UN-REDD requested this table in a slightly different format from the rest of the tables.

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Output (major activity)** | | **Organizations involved** | **Activities or Sub-activities** | **Budget allocation in thousand (estimated cost in thousands)** | | | | |
| **2011** | **2012** | **2013** | **2014** | **Total** |
| Outcome 1: | | | | | | | | |
| Output 1.1 |  | | 1.1.1 main activity | $ | $ | $ | $ | **$** |
|  | | Sub activity 1 | $ | $ | $ | $ | **$** |
|  | | Sub activity 2 | $ | $ | $ | $ | **$** |
| Output 1.2 |  | | 1.2.1 Main activity | $ | $ | $ | $ | **$** |
|  |  | | Sub activity 1 | $ | $ | $ | $ | **$** |
|  |  | |  | $ | $ | $ | $ | **$** |
| **Total** | | | | **$** | **$** | **$** | **$** | **$** |
| Government | | | | $ | $ | $ | $ | **$** |
| **FCPF** | | | | **$** | **$** | **$** | **$** | **$** |
| UN-REDD Programme (if applicable) | | | | $ | $ | $ | $ | **$** |
| Other Development Partner 1 (name) | | | | $ | $ | $ | $ | **$** |
| Other Development Partner 2 (name) | | | |  |  |  |  |  |
| Other Development Partner 3 (name) | | | |  |  |  |  |  |

Notes: 1. Countries are encouraged to include outcomes, outputs, and organizations involved in this table for this component, for consistency with normal program outcomes and indicator procedures. If identifying outcomes and outputs is difficult at this stage, include your tentative early ideas and then revisit them during Readiness Preparation.

2. Outcome: Actual or intended change in development condition that project interventions are seeking to support. Outcome includes key results such as governance reforms functioning national inter-ministry coordination, national or regional policy or legal reforms, etc.

3. Output: The direct result of project inputs, achieved through the completion of project activities, including tangible products for services necessary to achieve the outcomes of a program or project. E.g. workshop reports, studies, new training courses, etc.

|  |
| --- |
| 2c. REDD-plus Implementation Framework |

**Rationale**

The REDD-plus strategy will be conceived and implemented in the context of a country’s national development priorities, as discussed earlier. In many countries, these priorities are well established and the framework for implementing them may exist. However, a REDD-plus policy is likely to require amendments or complements to the existing framework.

The purpose of this component is to set out credible and transparent institutional, economic, legal and governance arrangements that may be necessary to enable the country to implement its provisional REDD-plus strategy options discussed in Section 2b, and to meet potential country obligations under any future REDD-plus regime. The institutional and governance issues required to be addressed to design effective REDD-plus strategy options are addressed in Component 2b.

The findings of that process should be used to guide the design of a REDD-plus implementation framework that operationalize REDD-plus in the specific context of a given country’s land uses and legal and social settings. This includes addressing REDD-plus specific issues like the ownership of carbon rights, the distribution and delivery of REDD-plus benefits to local communities, and land tenure questions. The success of REDD-plus implementation is likely to be built on stakeholder confidence in the ability of the framework to create sufficient and fair incentives for the strategy options to be implemented.

**Guidelines**

Countries have flexibility in deciding how best to explain their approaches to REDD-plus interventions within the context of their socioeconomic conditions, drivers of deforestation, and development paradigm. Similarly, countries may have unique early ideas on how to design the institutional, economic, legal, and governance arrangements necessary to implement the country’s REDD-plus strategy options in Component 2b, and to meet potential obligations under any future international REDD-plus regime. Since these are new topics in a highly uncertain international policy context, the FCPF and UN-REDD do not expect a country to have these arrangements fully understood at this time.

**Step 1: Discuss issues unique to REDD-plus:**

Provide a discussion of the following questions and issues unique to REDD-plus, but building on lessons learned and young institutions evolving from prior programs and initiatives conceived to tackle other topics. For example, a FLEG-T pilot or village-directed biodiversity conservation project might have experimented with local decision-making arrangements, or how to allocate profits from harvest and sale of communally managed sustainable timber and non-timber products, that could offer a path to explore for implementing a widely dispersed, national and local partnership for REDD-plus activities.

Key questions to address may include:

1. Which forest areas, of what type of forests and of what size, are considered for involvement in the REDD-plus strategy in each major region?
2. Who owns or uses the forest under statutory or customary law? Is there regulatory or legal clarity on and who owns carbon benefits generated by REDD-plus activities? Is there a relationship between carbon ownership and land tenure? How would any land tenure, or carbon ownership, issues that arise be resolved or mediated?
3. What is the government or other institutions that have capacity and authority to plan, implement and monitor REDD-plus activities? Who is authorized to participate in domestic and/or international transactions based on GHG emissions reductions following reductions in deforestation and/or forest degradation?
4. What would be the role of the national government in these transactions? Are the respective roles of government, landowner and other participants in potential REDD-plus transactions spelled out in regulations or law?
5. What would the financing mechanisms be for REDD-plus activities and transactions in the country, if that is known at this time? Present a synthesized discussion of anticipated co-financing which could potentially include potential donor or partner agencies, type of support such as technical, or financial, and amount of contribution for the R-PP implementation.
6. Benefit sharing arrangements: How would the REDD-plus revenues generated by these transactions be assigned and/or shared? What methodology (studies, workshops, pilots etc) would the country intend to follow, that recognizes previous experience and expected obstacles to design such a benefit sharing system?
7. If the REDD-plus strategy options involve interventions at the sub-national level, how will the carbon, land use, and emissions accounting of these interventions be reconciled with the national monitoring system?
8. Is the country considering development of a national carbon tracking system or registry for REDD-plus activities and transactions? If so, what would be the arrangements for such a system or registry, and would it be integrated with the monitoring system design?
9. How will the performance of the implementation framework be monitored and reported, and who will be responsible for it? Are there any independent institutions with the capacity to monitor and verify information? This may be a separate activity from the monitoring system or incorporated within it. (This may be addressed in component 6.)
10. Will the envisaged arrangements enable the country to comply with possible obligations under a future UNFCCC REDD-plus mechanism, e.g., with respect to reporting?
11. What checks and balances could be included in the implementation framework to ensure transparency, accountability and equity? Is there need for development of capacity to operationalize accountability?
12. How could stakeholders be engaged in the implementation framework and the establishment of robust mechanisms for independent monitoring, assessment and review?
13. What other institutional and governance reforms might be needed? E.g., anti-corruption laws and measures, national best practices for fiscal transparency, clarifying roles and responsibilities within a decentralized forest management system, role and the capacity of governmental and non-governmental institutions, including the local and traditional institutions.

**Step 2: Present a proposed work program:**

Present a work program to address these questions and issues over the next few years of implementation of the R-PP studies. This might be planned via a set of carefully designed analytic efforts, pilot projects to explore specific problems or resource use patterns, or other credible, transparent ways that test how to develop the national and local framework of regulations, laws, and institutional arrangements to provide equitable REDD-plus benefits to the field. It may also help meet the requirements of potential investors.

**Step 3: Feedback and grievance redress mechanism:** New text on this topic is included in component 1a.

**Good practices are only just becoming evident for this component, as there is little experience to date. Promising ideas include:**

* Describe current legislation pertaining to who owns the rights to carbon, and land tenure where relevant, and secondly, the current status of debate on what form any proposed revisions to national legislation or regulations would or could take to address this important issue.
* Present a list of institutions and their responsibilities for implementation under this component. Describe clear rules on how stakeholders can engage in REDD-plus, e.g., through government regulations that specify how REDD-plus transactions could occur, development of a plan to clarify and legislate carbon rights which specifies benefit sharing mechanisms where relevant, or creation of a clearinghouse for REDD-plus programs.
* Discuss anticipated co-financing of REDD-plus activities (including potential pilot projects) and the R-PP as a whole. This potentially could include potential donor or partner agencies, type of support such as technical, or financial, and amount of contribution for the R-PP implementation.
* Consider the potential use of a national tracking system [or registry] that manages data collected about sub-national and national REDD-plus activities, ownership of REDD benefits generated, the exchange or trading of REDD benefits, and eventually produced by a monitoring system.
* If you so choose, also describe how the REDD-plus strategy and Readiness process contribute to any emerging low carbon development planning underway.
* Refer to component 1a’s discussion of developing a feedback and grievance redress mechanism among stakeholders.

**Standard 2c the R-PP text needs to meet for this component:**

**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.

**Please provide the following information:**

* **Summarize the relevant information and ideas on your REDD-plus implementation framework in the space below (in three to six pages);**
* **Fill in the budget and funding request in Table 2c (the detailed budget and funding data go in Component 5);**
* **If necessary, attach the work program or draft input to ToR as Annex 2c.**

***Add your description of key REDD-plus implementation issues and questions here:***

***Work Plan: Add your work plan description for studies and other work over the next few years here:***

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Table 2c: Summary of REDD-plus Implementation Framework Activities and Budget** | | | | | | |
| **Main Activity** | **Sub-Activity** | **Estimated Cost (in thousands)** | | | | |
| **2011** | **2012** | **2013** | **2014** | **Total** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
| **Total** | | **$** | **$** | **$** | **$** | **$** |
| Government | | $ | $ | $ | $ | **$** |
| FCPF | | $ | $ | $ | $ | **$** |
| UN-REDD Programme (if applicable) | | $ | $ | $ | $ | **$** |
| Other Development Partner 1 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 2 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 3 (name) | | $ | $ | $ | $ | **$** |

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

**Rationale**

The purpose of this component is to help ensure that REDD-plus activities are designed to “do good” and that, at a minimum, they “do no harm”. The country receiving FCPF funding for Readiness preparation through the World Bank will be required to ensure compliance with the Common Approach. All countries will prepare a country-specific Environmental and Social Management Framework (ESMF), as a key output of the SESA process. The Countries are urged “to design and implement projects in a way that fosters full respect for Indigenous Peoples’ dignity, human rights, and cultural uniqueness and so  that they: (a) receive culturally compatible social and  economic  benefits; and (b) do  not  suffer adverse effects during the development process” (Operational Policy 4.00; Table A1). Note that Box 2d-1 below provides the Cancun COP REDD-plus text stating that during implementation of REDD-plus activities, certain safeguards “should be promoted and supported”.

There also may be national legislative requirements related to safeguards or the management of social or environmental risks and impacts that should be identified and addressed. An overview of the key elements of the SESA process, by the phases in the R-PP process, is presented in Overarching Guidelines Table 1 (located at the end of the introductory guidelines section). Refer to this table as necessary throughout the R-PP writing process, to help understand where various elements of SESA take place, including those covered by this component.

The readiness preparation phase is meant primarily for technical assistance and capacity building activities, with the objective to prepare the country for large-scale intervention yet to come. The grant will not finance any implementation of REDD-plus pilots on the ground (investments, pilot projects involving use of land or change in use of land and physical works), that hence could have adverse impacts on communities. However, should it become necessary, on an exceptional basis, to finance the implementation of policies and projects during the preparation of the Readiness Package (e.g., piloting the use of a specific monitoring technology, or piloting a payment for environmental services approach at a given location as a way to test a REDD-plus strategy option), the safeguard policies would have to be applied to that project or activity separately. This would occur as in standard World Bank-financed projects, so that the activity or pilot project will have no adverse impact on affected communities.

For a country receiving funding through the UN-REDD Programme, the UN-REDD Programme is developing a tool that will guide the application of its Social and Environmental Principles and Criteria (SEPC), currently being developed with guidance from its Policy Board and through a public consultation process (for more details see <http://www.un-redd.org/Multiple_Benefits_SEPC/tabid/54130/Default.aspx>.)

**Guidelines**

1. **An ESMF is a product of SESA that provides a framework to examine the issues and impacts associated with projects, activities, or policies/regulations that may occur in the future but are uncertain or not known at the present time.** The ESMF sets out the principles, rules, guidelines, and procedures to assess potential environmental and social impacts and risks, and contains measures to reduce, mitigate, and/or offset adverse environmental and social impacts and enhance positive impacts and opportunities of said projects, activities, or policies/regulations. Guidelines for the development of terms of reference for the development of an Environmental and Social Management Framework are available in Annex C.
2. **In the context of preparation of the Readiness Package,** **the ESMF provides the framework to address the key environmental and social issues associated with implementation of the country’s preferred REDD-plus strategy** and draws on the assessment undertaken in other R-PP components in order to ensure compliance with the relevant set of safeguard policies and procedures. Based on inputs from the SESA, the country will prepare an ESMF[[5]](#footnote-5) that would be applied to specific investments, actions, policies and regulations, and programs, including carbon finance transactions, in the context of the future implementation of the Readiness Package.
3. **The ESMF should be prepared as a stand-alone document.** A draft ESMF should be prepared as early as possible in the Readiness Preparation phase so that it can be publicly disclosed and be the subject of meaningful public consultation. By disclosing and consulting on the draft ESMF during the readiness preparation phase, the country ensures that stakeholders are kept informed of relevant issues that may affect them before projects, activities (including investments), or policies/regulations with environmental and social impacts are adopted. Such projects, activities, or policies/regulations could include, but not be limited to, adoption of legal or regulatory measures that affect land rights, or involve revenue sharing mechanisms or the definition of carbon rights. The ESMF should be in at least an advanced draft stage by the time the Readiness Package is prepared.
4. **An ESMF acceptable to the World Bank should be consistent with the World Bank’s safeguard policy on Environmental Assessment** (OP 4.01) and contain specific sections addressing the requirements of other applicable safeguards policies, including as relevant:
   1. Environmental and social assessment (e.g., Environmental Management Framework of World Bank)
   2. Indigenous peoples (e.g., Indigenous Peoples Planning Framework of World Bank)
   3. Involuntary resettlement and/or restriction of access to natural resources having adverse livelihood impacts (e.g., Process Framework of World Bank)
   4. Stakeholder engagement and dispute resolution framework.
5. **The ESMF should incorporate procedures for:** (i) ongoing consultations with concerned stakeholder groups; (ii) appropriate capacity building measures; and (iii) environmental and social impact screening and assessments. The Framework also provides for the preparation of time-bound action plans for mitigating adverse impacts related to the future programs and/or projects, and for the monitoring of the implementation of such plans, including arrangements for public participation in the monitoring.
6. **Given the nature of likely REDD-plus strategy options, the ESMF should give special consideration to livelihoods**, rights (including those of Indigenous Peoples and other traditional forest-dependent communities), the special protection of vulnerable groups, biodiversity, cultural heritage, gender, institutional capacity assessment, etc. It should include a mechanism for monitoring implementation of the Framework so that the public can participate in the monitoring processes. Depending on the status of readiness in the country, the ESMF can be applied to pilots, to identify gaps and build capacity for application in the implementation phase.
7. **Incorporation of gender into ESMF:** Note that during preparation of the REDD-plus strategy in component 2b and as part of the SESA process, key gender concerns should be analyzed to manage any potential gender-based risks and to promote equal benefits and opportunities for social groups, including women’s, men’s and youth groups, during implementation of the REDD-plus strategy.
8. **For UN-REDD Programme Countries, the UN-REDD Programme is developing a tool that will guide the application of its Social and Environmental Principles and Criteria (SEPC),** currently being developed with guidance from its Policy Board and through a public consultation process (for more details see <http://www.un-redd.org/Multiple_Benefits_SEPC/tabid/54130/Default.aspx>).

**It is good practice for this component to**

* Draw on SESA results on the gap assessment and the recommendations to address legal, regulatory, institutional and capacity building gaps for management of environmental and social priorities and environmental and social risks and impacts.
* Analyze gender concerns: Assessment of key gender based risks and potential benefits, and opportunities of REDD-plus strategy options, implementation framework, etc. consistent with World Bank Gender and Development Operational Policy (OP 4.20) or comparable Delivery Partner gender policies. The assessment of risks and potential benefits, and opportunities during preparation of the REDD-plus strategy will be integrated into the preparation of the REDD-plus strategy itself.
* Explain how the ESMF is structured to help ensure compliance with the relevant safeguard policies during the implementation of the projects, activities, and/or policies and regulations that are included in the country’s Readiness Package. If you are a UN-REDD country, UN-REDD Programme guidelines may be provided separately, see Overarching Guideline 3.
* Adapt as much of the preparation of the ESMF to the FCPF country’s existing institutions and procedures for environmental and social management in order to help build capacity to address gaps affecting effective environmental and social management of REDD-plus strategy implementation.
* Disclose the ESMF or advanced draft ESMF prior to submission of the R-Package.
* Establish a realistic and credible monitoring and reporting system involving to the extent possible civil society and potentially affected parties.

**Box 2d-1: The Cancun COP *Decision 1/CP.16*, Safeguards (selected text)**

"71. … (d) A system for providing information on how the safeguards referred to in appendix I to this decision are being addressed and respected throughout the implementation of the activities referred to in paragraph 70, while respecting sovereignty;"

**Appendix I: Guidance and safeguards**

"… 2. When undertaking the activities referred to in paragraph 70 of this decision, the following safeguards should be promoted and supported:

(a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;

(b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;

(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;

(d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;

(e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;

(f) Actions to address the risks of reversals;

(g) Actions to reduce displacement of emissions.

Source: http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf

**Standard 2d the R-PP text needs to meet for this component:**

**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.

**Please provide the following information:**

* **Discuss the approach to be followed for ensuring compliance with the relevant safeguard policies and how the ESMF will draw on other components of the R-PP as needed;**
* **If work on the REDD-plus strategy has advanced to the point where draft input to ToR for the ESMF can be provided, please do so briefly below (guidelines for preparation of ToRs are available in Annex C). Present the relevant equivalent if a non-FCPF UN-REDD Programme Country. Since all details will not be available at the R-PP formulation stage, it is understood that the draft input to ESMF will need to be revised during the preparation phase;**
* **Fill in the summary budget and funding request in Table 2d (the detailed budget and funding data go in Component 5).**

***Add your description here:***

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Table 2d: Summary of Social and Environmental Impacts during Readiness Preparation and REDD-plus Implementation Activities and Budget** | | | | | | |
| **Main Activity** | **Sub-Activity** | **Estimated Cost (in thousands)** | | | | |
| **2011** | **2012** | **2013** | **2014** | **Total** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
| **Total** | | **$** | **$** | **$** | **$** | **$** |
| Government | | $ | $ | $ | $ | **$** |
| **FCPF** | | **$** | **$** | **$** | **$** | **$** |
| UN-REDD Programme (if applicable) | | $ | $ | $ | $ | **$** |
| Other Development Partner 1 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 2 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 3 (name) | | $ | $ | $ | $ | **$** |

|  |
| --- |
| **Component 3: Develop a National Forest Reference Emission Level and/or a Forest Reference Level** |

**Rationale**

Measuring the effect of activities that reduce emissions from deforestation and forest degradation and provide carbon uptake or removals from the atmosphere through conservation of forest carbon stocks, sustainable management of forests, or enhancement of forest carbon stocks, requires an estimate of trends in forest cover and other land uses over time, in the absence of the REDD-plus policy interventions. This estimate of trends is then used to compare the performance of the interventions. Countries are encouraged to use current UNFCCC COP decision text terms “national forest reference emissions level” (REL) and/or “forest reference level” (RL) (Dec1/CP.16). Definitions of these two terms vary and are currently under negotiation. No definition attempt will, therefore, be made is this guideline to avoid confusion.

UNFCCC text guidance: UNFCCC COP 16 decision 1/CP.16(see Box 3 -1) requests developing countries to develop a national forest reference emission level (REL) and /or forest reference level (RL), or if appropriate, as an interim measure, subnational forest REL and/or RLs, in accordance with national circumstances and provisions in the COP 15 decision 4/CP.15 in 2010 (see Box 4.2). This places the responsibility to develop a RL squarely on the country which presumably would propose a REL and/or RL, subject to some form of international review. Countries are requested to establish forest REL/RL at a national level with subnational approaches as interim measures. The previous COP 15 text takes into account use of historic data, and adjustments for national circumstances, in accordance with relevant decisions of the Conference of the Parties.

Countries may choose to undertake no-regrets foundation work on a forest reference emission level/ forest reference level, and later refine their work to match eventual UNFCCC more detailed guidelines, as they become known. This stepwise approach may be warranted, given that UNFCCC negotiations continue to evolve, that the IPCC Good Practice Guidelines have not been revised to address REDD-plus explicitly, and that REDD-plus financing is uncertain for many countries. Such foundation work is likely to include preparatory data collection, capacity building, and analytic work using proven or promising methods likely to be useful for whatever final methods are eventually decreed by the UNFCCC and IPCC.

The task in this stage of R-PP writing is for countries to prepare a proposed work plan about roughly what data, methods and approach it would use to establish a forest reference emission level/forest reference level—but not have actually performed that work. Then, later in the R-PP implementation stage, countries will undertake the studies, data collection, and general approach they proposed and work on establishing a national (and as an interim measure, subnational) reference emission levels and/or reference levels). This approach may evolve over the course of the early work, as the international policy process provides further guidance, more data become available, and domestic understanding of methods and tools is refined.

Countries also will have to report on their national circumstances, including GHG emissions, and mitigation policies (presumably including REDD-plus activities), as they currently do, in National Communications under the UNFCCC (COP decision 1/CP.16, III B on NAMAs). Countries are free to define their specific national circumstances (e.g., socio-economic patterns and changes in them, development plans and challenges, etc.). This may include estimation of projected emissions and removals from the land use sectors in the absence of additional incentives for REDD-plus, and emissions and removals if REDD-plus projections or incentives are introduced.

Many FCPF country R-PPs to date have included work plans to produce future projections of forest cover change and GHG emissions, especially high-forest-cover/low deforestation countries. Countries may want to undertake such projections as part of their internal evaluation of the relative benefits of engagement in REDD-plus for them, and for comparison to other potential climate mitigation or economic development options; however, projections are not required. Such projections are usually done on a scenario basis, assuming continuation of current land use, policy and economic trends; or assuming alternative land uses, policies or economic trends (e.g., increased commodity crop acreage and prices, decreased timber harvest, expanded bio-fuel production).

However, at present, little clear guidance exists on which methods to use for either historical or projected forest REL/RLs, or good practices in applying them. Projections are inherently difficult and complex, with substantial uncertainties which need to be considered in their design and use. Thus, country R-PP work plans to date are concentrating on helping countries understand better the technical aspects of calculating national forest REL/RL by improving capacity building, data collection, pilot analyses and demonstration efforts on this topic.

With the addition of the REDD-plus carbon uptake activities post-Bali, countries now need to develop their REDD-plus strategy, national forest reference emission level/ reference levels, national forest monitoring system, and systems for providing information on safeguards, at a national level , with subnational approaches as interim measures. These activities potentially may include lands in forest, and also lands in agriculture, heavily degraded former forest lands, or other lands potentially relevant to REDD-plus. This will vary by country, and by the mix of REDD-plus strategy programs a country selects. Thus in national-scale REDD-plus, countries may need to consider all major sources of GHG emissions from deforestation, degradation, land clearing for new plantations, etc., as well as all major carbon uptake activities like afforestation/reforestation, enhancement of degraded forest lands, conservation of standing forests, and sustainable forest management silvicultural techniques (e.g., reduce impact logging, alternative timber harvest or rotational regimes, etc.).

**Guidelines**

Please consider the following steps as you develop your proposed work plan on how to prepare for establishing your national forest REL/RL:

1. **Review historical data available on drivers of deforestation and/or degradation and other REDD-plus activities**, and identify data gaps that need to be filled to estimate past and recent land use change and GHG emissions/removals from deforestation and/or forest degradation and any of the other REDD-plus activities. Include assessment of national forest and other key land use data availability, and any gaps in data and in capacity, e.g., forest inventory data and its potential use for carbon density estimation; remote sensing data and interpretation; etc.
2. **Review "national circumstances" that might adjust the reference level proposed.** This is UNFCCC terminology for national socio-economic and/or climatic conditions that could lead to a country to offer a justification for why past deforestation or other land use trends should not be considered as the basis of future trends of GHG emissions. This might include, e.g., recent or expected land use trends not significant in the past (e.g., massive agricultural expansion into new crops or area); or identification of areas where the country has no control over its forest resources due to conflict or other circumstances. These may include assumptions that deforestation drivers and their magnitude may change significantly in the future, offering a rationale in the UNFCCC context for the future reference level projections that many FCPF countries are planning. It may be desirable to coordinate with other ministries and donor agencies active in the country to identify their projects or programs currently being developed for the next years or decades that may contribute to deforestation or forest degradation or to land conflict.
3. **Assess the feasibility of the country being able to implement potential approaches to developing a national forest reference level and/or forest reference level:**
4. Historical: Developing a REL/ RL based on historical trends in emissions/removals over the last decade or so, using various data sources: forest inventory data, previous land cover change studies using a variety of remote sensing imagery; other spatial data and analysis is a Geographic Information System (GIS), etc. Data are likely to be needed on: land use activity at the forest boundary and within forest areas, on drivers like local demand for fuelwood, industrial charcoal expansion, mining, crop patterns, ranching, timber harvesting, transportation infrastructure expansion, etc.
5. Projections: Projections involve quantifying forest land uses and carbon stock under current conditions, and then introducing a set of assumptions about how land cover change drivers and macroeconomic trends (e.g., increased demand for biofuels) and national development plans could change land uses and carbon stock over the next few decades. Such projections often use a scenario approach, starting from historical trend data, and then make forecasts using one or more alternate sets of assumptions for the future – e.g., say an aggressive agricultural intensification scenario, or an expanded forest conservation scenario, or a high REDD-plus price and payments scenario. This may involve the use of data and tools (e.g., GDP, population, agricultural expansion, and/or forest industry growth or other forecasts, national or sectoral development plans, specific investment programs, adjustment coefficients otherwise derived from such factors and data, GIS or economic models).
6. **Countries need to consider how to integrate REL/RL development with Component 1a,** particularly how to assess the country’s current human, resource, etc. capacity and capacity needs for each approach being considered, by addressing:
7. What government or other institutions will be involved in this activity? What capacity currently exists? What additional data or capacity building is required for each of the options?
8. Is technical support available? What type of technological capacity is needed, e.g., computer hardware, software, field equipment, laboratory facilities, etc?
9. What is the scope for collaborating with national and international organizations?
10. **Develop a work plan identifying the major steps and studies envisioned, in a stepwise manner, moving from current capabilities towards more sophisticated capacity in the years ahead.** Given current uncertainties in REDD-plus climate policy, financing, and methods for developing REL/RL, a stepwise work plan could:
    1. launch the REL/RL process with a national information sharing, outreach, and capacity assessment workshops or other processes
    2. identify potential approaches to developing REL/RL, country circumstances, and propose criteria and a process for selecting an approach
    3. fund initial work to fill gaps in current capacity that needed to advance work on REL/RL, including, e.g., missing data dates or types (e.g., missing remote sensing data for certain years, carbon density data in a wide range of dynamic landscapes potentially involved in REDD-plus activities; missing expertise)
    4. start background studies needed, e.g., collection of data for key deforestation drivers (e.g., fuelwood demand by expanding urban areas, or soy or palm oil plantation expansion rates)
    5. explore how to set a REL/RL in a region as a subnational interim measure, to learn lessons.
11. **Countries need to consider how to integrate REL/RL development with:**
    1. component 2a assessment of deforestation drivers because changes in them would need to be captured in the REL/RL, especially an forward-looking projections.
    2. components 2b REDD-plus strategy activities, and 4a national forest monitoring systems because progress on REDD-plus activity performance (e.g., say expanding forest conservation areas) would need to be compared against the REL/RL as measured and monitored by the national forest monitoring system.
    3. national GHG inventory and reporting process, since country National Communications report historical land use trends and GHG emissions, using IPCC Good Practice Guidelines methods.
12. **Subnational REL/RLs:** The COP decision 1-/CP.16 (see Box 3-1) states that, “in accordance with national circumstances, as an interim measure… national forest reference emission levels and/or forest reference levels … could be a combination of subnational … forest reference emission levels and/or forest reference levels.” Consider the potential benefits of preparing to establish REL/RL for each major eco-region or political unit like a province, linked up into a national REL/RL. Explain how this approach would be organized, implemented, and be consistent with the national REL/RL. Some countries have expressed interest in cooperating on analytic work on REL/RL (and national forest monitoring system design) at a multi-country regional scale, and then having each country select its own level, building on this common work. If this approach is relevant to your country, please explain how you expect this to work, what role your country would play, and how your country would eventually select its own REL/RL.
13. **Incorporate spatial disaggregation of changes in forest cover**, via use of GIS or other spatial techniques, production of baseline carbon maps, etc. The implementation of REDD-plus strategy activities, and hence carbon benefit and revenue distribution, is likely to vary across regions. Maps are very useful for information sharing and consultation with stakeholders as well.
14. **Consider linkages to the national forest monitoring system design**, in particular the land use change and emissions parameters that will need to be built into the national forest monitoring system to ensure that comparable data are available in future years to compare to the REL/RL.
15. **Use the most recent IPCC guidelines and guidelines**, as adopted or encouraged by the Conference of the Parties, as appropriate, as a basis for estimating anthropogenic forest-related greenhouse gas emissions by sources or removals by sinks.
16. **It is a good practice for countries to conduct outreach and information sharing activities when work on REL/RL begins.** Undertake consultations on proposed options for development of a RL with relevant stakeholders, including indigenous peoples and other forest dwellers, and possible choice of adoption of a national RL with the relevant stakeholders. Disseminate information when a draft and final REL/RL are made public.

**It is good practice for this component to:**

* Try to use historical data to develop the REL/RL for the near past in order to produce realistic REL/RL, the last 10 -15 years or so. Take care to recognize and include or exclude major changes in trends as a result of policy, conflict, or economic changes that have had a significant impact on forest cover. Similarly, it is good practice to limit projections to around two or possibly three decades into the future, to build projections on observable patterns of land use change drivers and extrapolate forward in time. Note that UNFCCC negotiations texts are likely to clarify the time period for the REL/RL in the next year or more.
* To build the development of a REL/RL around the major drivers of deforestation, forest degradation and the other REDD-plus activities. This will encourage linkages among the REL/RL, REDD-plus strategy options, and the design of the national forest monitoring system.
* Produce a realistic, defendable reference level, subjected to public and peer review, built on the best available data and methods, and reasonable policy, development and economic assumptions.
* Incorporate spatial disaggregation of changes in forest cover, via use of GIS or other spatial techniques, production of baseline carbon maps, etc.
* Prepare multiple future REL/RL projections, usually a business as usual scenario as well as at least one other reference scenario (say, a low or high case) based on alternative assumptions about how major government policies, macroeconomic trends, or REDD-plus markets will affect land use change over time.
* Review other country R-PP component 3 proposals for ideas.

A summary of reasonable steps in producing a REL/RL that is worth considering is provided by the Kenya R-PP component 3 (on the FCPF web site), which lays out the following steps:

* 1. Enhance capacity, staffing, technological capabilities
  2. Define reference time period and finalize forest definition.
  3. Quantify activity data

1. Create benchmark land cover map and perform change detection
2. Classification quality control
3. Accuracy assessment
4. Mosaic and stratificationof classification products
   1. Develop historic carbon stock change data for REDD-plus-related activities
5. Identify key carbon pools to include in the historic estimate
6. Develop protocols for carbon stock change data collection including accuracy/precision targets and QA/QC protocols.
7. Inventory all existing historical data and evaluate against accuracy and precision targets.
8. Link field and remote sensing data
9. Carbon stock measurement
   1. Combine activity data with emission factors to develop total historical emissions/removals
   2. Develop future trajectory of emissions.

**Box 3-1: The Cancun COP *Decision 1/CP.16*, National Forest Reference Emission Level and/or Forest Reference Level**

*"71. (b) A national forest reference emission level and/or forest reference level6 or, if appropriate, as an interim measure, subnational forest reference emission levels and/or forest reference levels, in accordance with national circumstances, and with provisions contained in decision 4/CP.15, and with any further elaboration of those provisions adopted by the Conference of the Parties;*

*6 In accordance with national circumstances, national forest reference emission levels and/or forest reference levels could be a combination of subnational forest reference emissions levels and/or forest reference levels.”*

Source: http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf

**Standard 3 the R-PP text needs to meet for this component: Develop 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.)

**Please provide the following information:**

* **Summarize your proposed approach to establishing a reference scenario in the space below in less than five pages;**
* **Fill in the budget and funding request in Table 3 (the detailed budget and funding data go in Component 5);**
* **If necessary, attach a work program detailing how outcomes of this component will be achieved and/or the draft input to ToR for specific activities as Annex 3.**

***Add your description here:***

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Table 3: Summary of Reference Level Activities and Budget** | | | | | | |
| **Main Activity** | **Sub-Activity** | **Estimated Cost (in thousands)** | | | | |
| **2011** | **2012** | **2013** | **2014** | **Total** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
| **Total** | | **$** | **$** | **$** | **$** | **$** |
| Government | | $ | $ | $ | $ | **$** |
| **FCPF** | | **$** | **$** | **$** | **$** | **$** |
| UN-REDD Programme (if applicable) | | $ | $ | $ | $ | **$** |
| Other Development Partner 1 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 2 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 3 (name) | | $ | $ | $ | $ | **$** |

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| **Component 4: Design Systems for National Forest Monitoring and Information on Safeguards** |

**Rationale**

The purpose of this component is to design: a) a national forest monitoring system for emissions and removals of greenhouse gases due to avoided deforestation and forest degradation, enhancement of forest carbon stocks, conservation and sustainable management of forests; and b) a system for providing information on how safeguards are being addressed throughout the implementation of REDD-plus activities. These two systems are complimentary, and can assist countries in their movement towards Readiness. UNFCCC decisions 1/CP.16 and 4/CP.15 (see boxes 4-1 and 4-2) request developing countries to develop a national monitoring system for REDD-plus. In the absence of more definitive guidelines on how a potential REDD-plus regime might be structured and its requirements and methods, UNFCCC COP decisions and negotiating texts and discussions offer a broad framework for consideration.

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| 4a. National Forest Monitoring System |

Simply put, this component aims to develop a national forest monitoring system to measure and monitor emissions and removals of GHGs caused by deforestation, forest degradation, conservation, enhancement of carbon stocks and sustainable management of forests as identified in the component 2a assessment of past trends, and also the performance of REDD-plus strategies being identified in component 2b. Additionally, the national forest monitoring system needs to be designed to facilitate comparison of land area and GHG emissions estimates for the reference level (RL) and reference emission level (REL) being established in component 3.The ultimate goal of the national forest monitoring system is to estimate emissions and removals from the forest sector, as well as to obtain more information on the spatial distribution and rate of change of drivers of deforestation and degradation.

The UNFCCC requests countries to take into consideration the following elements in the design and eventual deployment of an operational national monitoring system (see Box 4 -2 below):

(i) Combine remote sensing and ground-based forest carbon inventory approaches for estimating, as appropriate, anthropogenic forest-related greenhouse gas emissions by sources and removals by sinks, forest carbon stocks and forest area changes;

(ii) Provide estimates that are transparent, consistent, as accurate as feasible, and that reduce uncertainties and estimate remaining uncertainties, taking into account national capabilities;

(iii) Make certain the system results are available and suitable for review, as agreed by the Conference of the Parties.

In addition, a national forest monitoring system can also build accountability and trust among local constituencies. The system design should be presented to affected indigenous peoples, other forest dwellers, and other stakeholders, who would be consulted on the system design and operation.

This component should include early ideas on how to include whatever non-carbon aspects a country defines as its priorities. These priority aspects potentially could include monitoring key quantitative or qualitative variables representing rural livelihoods, conservation of biodiversity, key governance factors directly pertinent to REDD-plus implementation in the country, and the impacts of the REDD-plus strategy on the forest sector, as well as how safeguards are being addressed during the implementation of REDD-plus activities. Component 4b should be targeted to design an operational national system for monitoring these variables. It is possible to integrate 4a and 4b as one system, or to develop two separate monitoring systems.

Activities under component 4b should be targeted to design a national information system for a variety of uses, including information on safeguards. It is possible to integrate components 4a and 4b as one system, or to have them as separate monitoring systems.

Note: The FCPF and UN-REDD recognize that countries may not be able to finalize the design of the national forest monitoring system for the emission reductions and removals in the absence of definitive guidelines from the UNFCCC policy process. Thus, a full monitoring system may have to be developed gradually, starting with data collection and analytic work, and with further refinements being made later on to match the guidelines emerging from the UNFCCC policy process.

In the R-PP, countries are asked to prepare a proposed work plan explaining their planned stepwise evolution from their current capacity, via early no-regrets activities that offer value regardless of the outcome of REDD-plus policy negotiations, towards an enhanced monitoring system capable of monitoring REDD-plus activities. Similar to the guidelines for component 3, countries may choose to undertake no-regrets foundation work enhancing their national forest inventory and forest management capacity, as a step towards developing their monitoring system, and then later refine their work to match eventual UNFCCC guidelines. This stepwise approach reflects the reality that UNFCCC negotiations are still in flux, that IPCC Good Practice Guidelines has not been revised to address REDD-plus explicitly yet, and that REDD-plus financing is uncertain for many countries.

The national forest monitoring system also will be used to support the development of a national GHG inventory that countries will be able to use to report emissions and removals to UNFCCC in their National Communications. The GHG inventory as per UNFCCC decision 4/CP.15 (see box 4 -2 below) should use the most recent Intergovernmental Panel on Climate Change (IPCC) Good Practice guidelines, as adopted or encouraged by the Conference of the Parties, as appropriate, as a basis for estimating anthropogenic forest area changes, forest carbon stocks, and forest-related greenhouse gas emissions by sources and removals by sinks. The national forest monitoring system and other data can be used to generate land use activity data (i.e., number of hectares in various land use classes and their change over time), and be combined with national forest inventory and other data on carbon stocks (carbon density per hectare of various forest or other lands), to generate the emission factors needed to perform GHG inventory reporting. The basic formula is: activity data X emissions factor for that activity = GHG emissions. This basic approach can provide emissions estimates for all five REDD-plus activities, including forest degradation.

It is important to note that the design of the national monitoring system has much wider application than just measuring deforestation or degradation. In particular, the design needs to take into account how national forest monitoring systems will be integrated with, and consistent with, sub-national monitoring and REL or RL systems, if appropriate and selected by the country as an interim step towards a national monitoring system.

**Guidelines**

Please consider using the following steps as a guide to prepare the monitoring system:

1. **Indicate what the monitoring system will be designed for**, i.e., deforestation, and degradation, and other ‘REDD plus’ elements. Clearly state the objectives of the monitoring system that you wish to propose, providing clear objectives to achieve in order to become REDD-plus ready. Pay special attention to making certain that the design of the system is capable of monitoring change in the land use activities proposed in the REDD-plus strategy and policies to implement it. For example, if your proposed REDD-plus strategy includes a program that would target changing land use behavior among small fuelwood gatherers or agroforestry practitioners, then make certain the geographic coverage and resolution of the forest inventory data or remote sensing imagery to be used would match the scale of the land use practices—or the effectiveness of the program could not be detected.

**Propose how the system will address forest land use change, carbon stock change assessment, and which carbon pools will be included.** State the proposed frequency for performing the respective activities (inventory, etc.), if it has been decided.

**Describe the criteria and processes to be used for designing the monitoring system.** Please identify your targeted IPCC tier level, and intended level of precision for the system, if known at present, both in the: (a) near term (roughly next 3 years), and (b) longer term (say 3-10 years).

1. **Assess technological options and choice of methods to be used for measuring, reporting and verifying carbon stock changes.** For example, how will a combination of ground-based inventories, remote sensing data and other approaches be designed and implemented in a later phase?
2. **Assess existing capacities and future capacities required for the monitoring system.** Define the roles and responsibilities for design and implementation of measuring, reporting and verifying, including those for national institutions; identify capacity building, training, and hardware and software needs, including possibility of scaling up existing initiatives and collaborations, and renewing previous agreements with relevant institutions.
3. **Encourage participation of local communities, NGOs, various government agencies or institutes, and the private sector in designing the monitoring system**, in identifying opportunities for stakeholder participation in implementing the monitoring system; and in the verification process.
4. **Assess systems/structures required for monitoring and review, transparency, accessibility and sharing of data both nationally and internationally.** Assess the financial support required and the sources of funding.
5. **Consider the potential benefits of designing the system to be built around logical subnational political or ecological regions**, e.g., provinces, islands or ecoregions.
6. **Consider how to integrate monitoring system design with:**
   1. component 2a assessment of deforestation drivers because changes in them would need to be captured in the REL/RL, especially an forward-looking projections
   2. component 2b REDD-plus strategy activities, and component 3 reference level development, since progress on REDD-plus activity performance (e.g., say expanding forest conservation areas) would need to be compared against the reference level a measured and monitored by the monitoring system
   3. national GHG inventory and reporting process as National Communications report historical land use trends and GHG emissions, using IPCC Good Practice Guidelines methods.
7. **Displacement of emissions (leakage):** Displacement, also known as leakage, is the net change of anthropogenic emissions by sources of greenhouse gases which occurs outside the national or subnational activity boundary, and which is measurable and attributable to a policy or activity. The COP decision 1/CP.16 text (see Box 4-1) calls for “*Including monitoring and reporting of emissions displacement at the national level, if appropriate, and reporting on how displacement of emissions is being addressed, and on the means to integrate subnational monitoring systems into a national monitoring system…*"Thus, countries should indicate in this R-PP component how they propose to conduct analytic or other activities to determine how to address displacement in their monitoring system, and consider it in their selection of REDD-plus strategy options. (Some strategy options could have significantly higher or lower displacement, which would affect their relative efficiency as mitigation options, something to be considered in the strategy selection process.)
8. **Reporting and verification:** COP decision 1/CP.16, section III B on nationally appropriate mitigation actions by developing countries (NAMAs), in paragraphs 60-64 outlines the working framework for reporting and verification of National Communications (every four years, with biennial updates (every two years)), including mitigation actions and thus presumable REDD-plus activities. Countries should consult this framework and include an overview of how they plan to report and have verification occur.
9. **In summary, the task in this component is to present the set of activities to be undertaken over the next few years in order for a country to design a monitoring system in a stepwise approach**, by assessing current capacity and future requirements to monitor REDD-plus, identifying gaps in that capacity, and proposing interim and longer-term objectives in a workplan that integrates major elements of monitoring system. Table 4-1 below is a conceptual tool that might be helpful in developing this work plan.

**Table 4-1: Conceptual overview of developing the monitoring workplan**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Major Elements of the monitoring System in Components 4a and 4b** | | | | | | |
| **Time frame** | **National Forest Inventory** | **Remote sensing of land cover change and major drivers** | **Forest Degradation** | **Carbon density data** | **Non-carbon multiple benefits, and impacts** | **Governance and stakeholder participation** |
| Current country monitoring capacity |  |  |  |  |  |  |
| Near-term monitoring capacity objectives |  |  |  |  |  |  |
| Longer-term monitoring capacity objectives |  |  |  |  |  |  |

**It is good practice for this component to:**

* Include a work plan— and indicate the needed steps to develop an monitoring plan such as:
* Review and compare current methods, and alternative proposed methods, to monitor REDD-plus activities, their drivers and resulting land cover/land use changes.
* Propose methods to measure and report land use changes at frequent intervals, potentially initially 2 – 5 years and eventually perhaps every other year or annually.
* Describe methods for collecting and analyzing existing data on carbon stocks, and identify any additional data necessary to obtaining carbon density changes for the full range of your proposed REDD-plus strategy activities. E.g., if expansion of agro-forestry system is proposed, carbon data for such systems will be required.
* Provide mechanisms for participation of local forest communities in measurement activities, whenever feasible.
* Provide early thoughts on how reporting of monitoring systems result will be reviewed, made public, and will feed into UNFCCC national communication report.
* Provide early thoughts on a verification methodology, consulting the COP decision 1/CP.16 text. Many countries are proposing third party, independent entities for verification.

**Box 4-2: Decision 4/CP.15, Methodological guidelines for activities relating to reducing emissions from deforestation and forest degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries**

Note: this COP decision pre-dates the COP 16 decision, but provides useful additional detail on the sense of the Parties relevant to MRV design.

*“…Requests developing country Parties, on the basis of work conducted on the methodological issues set out in decision 2/CP.13, paragraphs 7 and 11, to take the following guidelines into account for activities relating to decision 2/CP.13, and without prejudging any further relevant decisions of the Conference of the Parties, in particular those relating to measurement and reporting: (a) To identify drivers of deforestation and forest degradation resulting in emissions and also the means to address these; (b) To identify activities within the country that result in reduced emissions and increased removals, and stabilization of forest carbon stocks; (c) To use the most recent Intergovernmental Panel on Climate Change guidelines and guidelines, as adopted or encouraged by the Conference of the Parties, as appropriate, as a basis for estimating anthropogenic forest-related greenhouse gas emissions by sources and removals by sinks, forest carbon stocks and forest area changes; (d) To establish, according to national circumstances and capabilities, robust and transparent national forest monitoring systems and, if appropriate, sub- national systems as part of national monitoring systems that: (i) Use a combination of remote sensing and ground-based forest carbon inventory approaches for estimating, as appropriate, forest-related greenhouse gas emissions by sources and removals by sinks, forest carbon stocks and forest area changes; (ii) Provide estimates that are transparent, consistent, as agreed by the Conference of the Parties;…”*

Source: http://unfccc.int/files/na/application/pdf/cop15\_ddc\_auv.pdf

**Box 4-1: The Cancun COP *Decision 1/CP.16*, National Forest Monitoring System**

*"71. … (c) A robust and transparent national forest monitoring system for the monitoring and reporting of the activities referred to in paragraph 70 above, with, if appropriate, subnational monitoring and reporting as an interim measure,7  in accordance with national circumstances, and with the provisions contained in decision 4/CP.15, and with any further elaboration of those provisions agreed by the Conference of the Parties;*

*7 Including monitoring and reporting of emissions displacement at the national level, if appropriate, and reporting on how displacement of emissions is being addressed, and on the means to integrate subnational monitoring systems into a national monitoring system"*

Source: http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf

**Standard 4a the R-PP text needs to meet for this component:**

**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. The R-PP should also address the potential for 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.)

**Please provide the following information:**

* **Summarize your proposed approach to designing the monitoring system in the space below in less than five pages;**
* **Fill in the budget and funding request in Table 4-2 (the detailed budget and funding data go in Component 5);**
* **If necessary, provide a more detailed plan and/or draft input to ToR for the necessary activities as Annex 4.**

***Add your description here:***

|  |
| --- |
| 4b. Designing an Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards |

**Rationale**

This component should include early ideas on how to include whatever non-carbon aspects a country defines as its priorities in its monitoring system. These priority aspects could include key quantitative or qualitative variables representing rural livelihoods enhancement, conservation of biodiversity, key governance factors directly pertinent to REDD-plus implementation in the country, and the impacts of the REDD-plus strategy on the forest sector. In addition the system should be capable of monitoring how safeguards are being addressed and respected during the implementation of REDD-plus activities. Component 4b should be targeted to design an operational national system for monitoring key variables for the selected priority aspects.

The aspects to be incorporated would be selected by the country, which needs to have clear ownership of both the carbon and non-carbon monitoring systems. Countries have flexibility in deciding how they will select which benefits, impacts and governance variables they will monitor and how they will do so, on the basis of guidelines and assistance provided. Multiple benefits and impacts generally will include rural livelihoods enhancement, biodiversity conservation, ecosystem services provision, and other selected environmental and social benefits. The information system should include indicators of the implementation of safeguards (taking into consideration the linkages to component 2b (REDD-plus strategy), component 2c (implementation framework), component 2d (social and environmental impacts), and the decision 1/CP.16 COP text on safeguards (see Box 4-3)).

Note: Consider use of a forest governance framework as an analytic process as described in component 2a, guideline 4; and consider the cross linkages between that assessment and consideration of governance variables in component 4b.

**Guidelines**

Please consider using the following steps as a guide to incorporate consideration of multiple benefits, other impacts, governance into the design and implementation of a national forest monitoring system.

1. **Assess and review any existing monitoring systems of multiple benefits.** Identify existing national data gathering systems that could be used to obtain data on water, biodiversity, socio-economic indicators, and infrastructure (e.g., transportation system).
2. **Conduct a process to select which multiple benefits to include in the monitoring system.**
3. **Describe how the monitoring and information system will address key governance issues pertinent to REDD-plus implementation** (e.g. land tenure, law enforcement), and what the role of relevant stakeholders in this process will be. Determine how it will monitor social and environmental impacts and other multiple benefits, and how it could build on or complement the existing environmental and social monitoring systems of the country, as well as the proposed national forest monitoring system for REDD-plus.
4. **Provide mechanisms for establishing independent monitoring and review** that allows the effective and appropriate participation of civil society, indigenous peoples and other forest dwellers, and other stakeholders.
5. **If a stepwise approach is envisioned, describe the timeframe in which the phases will be developed and the key outcomes expected.**
6. **Assess existing capacities and future capacities required:** define the roles and responsibilities, including those of national institutions, for the design and implementation of measuring, reporting and verifying of safeguards. Define capacity building, training, and hardware and software needed, including possibility of scaling up existing initiatives and collaborations.
7. **Identify the scope and role for local communities, NGOs, various government agencies or institutes, and the private sector in the 4b monitoring system.**
8. **Assess systems/structures required for monitoring and review**, transparency, accessibility and sharing of data both nationally and internationally.
9. **Assess the financial support required and the sources of funding.**
10. **Consider the potential benefits of designing the system to integrate across subnational regions**; or at a multi-country regional level, if either of these is relevant, based on your ecological, institutional and economic context.

**It is good practice for this component to:**

* Select key social and environmental benefits and impacts, governance issues for which indicators are needed to be included in the monitoring system design.
* Propose a set of indicators associated with non-carbon governance and social and environmental benefits and impacts and consult with stakeholders for comments.
* Consider a practical methodology, tools and institutions based on existing initiatives and lessons learned and ensure coordination with monitoring for other needs (e.g. FLEGT).
* Develop a work plan for the monitoring of these variables and for stakeholder participation.

**Resources available:** Several forest governance guidelines toolkits or documents are available that might be important references or offer useful approaches for work on this component. Some such tools include: *Governance of Forest Toolkit* by World Resources Institute, *Analytical Framework for Governance Reform* by the World Bank, and *REDD+ Social and Environmental Standards* by the Climate Community and Biodiversity Alliance (CCBA) and Care International. Please refer to the annexes for the links to access these tools. Chatham House and UN-REDD have jointly posted several workshop and issue papers referenced in Annex A.

**Box 4-3: The Cancun *COP Decision 1/CP.16*: Reporting on Safeguards**

Par. 71 calls for: *“(d) A system for providing information on how the safeguards referred to in appendix I to this decision are being addressed and respected throughout the implementation of the activities referred to in paragraph 70…”*

Appendix I Guidance and safeguards…:

*… “2. When undertaking the activities referred to in paragraph 70 of this decision, the following safeguards should be promoted and supported: …*

*(a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;*

*(b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;*

*(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national*

*circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;*

*(d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;*

*(e) That actions are consistent with the conservation of natural forests and*

*biological diversity, ensuring that the actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;*

*(f) Actions to address the risks of reversals;*

*(g) Actions to reduce displacement of emissions.*

Source: http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf

**Standard 4b the R-PP text needs to meet for this component: 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, rural livelihoods enhancement, conservation of biodiversity, and/or 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.)

**Please provide the following information:**

* **Summarize your proposed approach to designing the monitoring system in the space below in less than five pages;**
* **Fill in the budget and funding request in Table 4-1 (the detailed budget and funding data go in Component 5);**
* **If necessary, provide a more detailed plan and/or draft input to ToR for the necessary activities as Annex 4.**

***Add your description here:***

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Table 4-1: Summary of Monitoring Activities and Budget** | | | | | | |
| **Main Activity** | **Sub-Activity** | **Estimated Cost (in thousands)** | | | | |
| **2011** | **2012** | **2013** | **2014** | **Total** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
| **Total** | | **$** | **$** | **$** | **$** | **$** |
| Government | | $ | $ | $ | $ | **$** |
| **FCPF** | | **$** | **$** | **$** | **$** | **$** |
| UN-REDD Programme (if applicable) | | $ | $ | $ | $ | **$** |
| Other Development Partner 1 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 2 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 3 (name) | | $ | $ | $ | $ | **$** |

# **Component 5: Schedule and Budget**

**Rationale**

The purpose of this schedule and budget component is to contribute to informed management of the R-PP process: to make sure all proposed activities are included in the R-PP, an estimate of the required funding and sources of funding sources for each component has been made, and the time required to complete them has been estimated.

**Guidelines**

Please provide the following information based on the summary schedules and budgets from the various R-PP components:

1. **A schedule to fulfil the activities planned in this R-PP**;
2. **A budget table and brief description summarizing the financial requirements to support this set of activities**; and
3. **Requested donor contributions to cover these financial requirements** (highlighting your request from FCPF and/or UN-REDD).

**It is good practice for this component to:**

* Provide funding or other information about and how the country plans to contribute funding or in-kind services for specific components.
* Allocate funds to all components and sub-components including those for component 6, and provide an associated timing schedule for the R-PP program. Write an explanatory note to clarify any aspects of key budget items.
* Review the magnitude and distribution of funding requirements across R-PP components, for reasonableness. Define your request for funding in terms of your assessment of the relative importance of the components to you. E.g., if you request 70% of the budget for consultations or for monitoring, but have minimal other funding sources, this may not be reasonable.
* Check that individual component budget figures are carried correctly into the summary tables in component 5. Summarize the total request to FCPF, to UN-REDD, and to other donors, by component and in total.
* Provide a schedule for timing of the funding flows for the R-PP program. A flow chart or diagram can help illustrate the budget/schedule relationship.

Review the budget and components to be sure that any needed capacity building for the government or others is included for components that relied heavily on external expertise.

**Standard 5 the R-PP text needs to meet for this component:**

**Completeness of information and resource requirements**

The R-PP proposes a full suite of activities to achieve REDD-plus 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.

**Please propose your detailed schedule, budget and allocation across donors in Table 5.**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Table 5: Schedule and Budget** | | | | | | |
| **Main Activity** | **Sub-Activity** | **Estimated Cost (in thousands)** | | | | |
| **2011** | **2012** | **2013** | **2014** | **Total** |
| [Add lines as needed, to provide sufficient detail] |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
| **Total** | | **$** | **$** | **$** | **$** | **$** |
| Government | | $ | $ | $ | $ | **$** |
| **FCPF** | | **$** | **$** | **$** | **$** | **$** |
| UN-REDD Programme (if applicable) | | $ | $ | $ | $ | **$** |
| Other Development Partner 1 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 2 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 3 (name) | | $ | $ | $ | $ | **$** |

|  |
| --- |
| **Component 6: Design a Program Monitoring and Evaluation Framework** |

**Rationale**

The purpose of the Program Monitoring and Evaluation (M&E) framework is to encourage efficient and transparent management of resources and to help a country keep track of its progress towards readiness and identify and address gaps, shortfalls, and program underperformance as they emerge. The Program M&E framework helps monitor progress with respect to the ToR for each of the components, for example, the schedule of activities to be undertaken, the outputs and the final outcome using simple indicators and serves to provide real time feedback to the government and other stakeholders of how well the preparatory work towards REDD-plus readiness is progressing.

**Guidelines**

**The Program M&E framework can be drafted as a combination of ‘process’ indicators and ‘product’ indicators.** The process indicators are useful for internal REDD-plus readiness program monitoring at the country level to review whether or not the progress for the various activities/studies for the R-PP are on target, and to help address problems in a timely manner. Initially, process indicators may be more relevant. But as the country moves into readiness activities, product indicators can be established to measure the progress and outcomes of readiness activities against benchmarks established at the time of formulation.

For example, the analysis of REDD-plus strategy options could be a product of the readiness process which would assist the country in making decisions with respect to formulating its REDD-plus strategy. Questions to ask at this stage could include the following: (i) how consultative was the REDD-plus preparation process, (ii) were studies and activities produced as envisaged and (iii) were they reviewed by relevant institutions in the country and third parties? Questions in the guideline section of each component could be used as performance indicators as the work progresses.

1. **Countries are advised to draft a simple Program M&E framework.** This framework may include for each major activity within R-PP component the outputs (major products or accomplishments), and quantitative and qualitative indicators of relative progress on given output. Examples of indicators include: level of transparency in the R-PP development, inclusiveness of stakeholders, dissemination of information and products of R-PP, means of feedback, and adherence to guidelines for procurement, effectiveness and timeliness of readiness preparation process, efficiency of resource use, etc. Locally based Program M&E can feed into the overall Program M&E framework at the national level.
2. **A sample table for drafting a simple program M&E framework is provided below, that could be filled in for each country’s specific activities and indicators.** Countries are encouraged to develop a single M&E framework for their own domestic REDD-plus program management, and for reporting to FCPF, UN-REDD, or other programs.

**Table 6: Example of a simple program M&E framework**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| R-PP Components | Outcome for this component | Output (for each outcome) | Major activities, & responsible organization, for each output | Qualitative or quantitative indicators for each output or activity | Time frame of indicators |
| 1a |  |  |  |  |  |
| 1b |  |  |  |  |  |
| 1c |  |  |  |  |  |
| 2a |  |  |  |  |  |
| 2b |  |  |  |  |  |
| 2c |  |  |  |  |  |
| 2d. |  |  |  |  |  |
| 3 |  |  |  |  |  |
| 4a. |  |  |  |  |  |
| 4b. |  |  |  |  |  |
| 5 |  |  |  |  |  |
| 6 |  |  |  |  |  |

Notes: 1. Countries are encouraged to include outcomes, outputs, and organizations involved in this table for this component, for consistency with normal program outcomes and indicator procedures. If identifying outcomes and outputs is difficult at this stage, include your tentative early ideas and then revisit them during Readiness Preparation.

2. Outcome: Actual or intended change in development condition that project interventions are seeking to support. Outcome includes key results such as governance reforms functioning national inter-ministry coordination, national or regional policy or legal reforms, etc.

3. Output: The direct result of project inputs, achieved through the completion of project activities, including tangible products for services necessary to achieve the outcomes of a program or project. E.g., workshop reports, studies, new training courses, etc.

**It is good practice for this component to:**

* Identify an effective set of items that would make a good M&E framework, including: time schedule, component activities to be conducted and results/outputs (indicators) to be achieved in each time period, and allocation of funds and personnel (names or skills) that would be assigned for each activity.
* Use standard WB or UN results frameworks if possible. These can be generated by bringing forward the expected outcomes, milestones, and any indicators from each individual component into a summary framework.
* Clearly identify both process and output indicators as part of the Monitoring and Evaluation Framework. For example: for Component 1, process indicators may include consultations and/or milestones towards a new policy or law; for Component 4, output indicators may include which carbon stocks are included, changes in the magnitude of key deforestation and forest degradation drivers, forest cover changes, etc.; and for Component 5, use of funds for a specific component linked to listed output (product, for example, a report or workshop or assembled data set).
* Have R-PP implementers include in their work plan activities to monitor their own performance, and ensure adherence to funding levels and schedules. These activities are recommended to include a periodic review of the overall REDD-plus readiness program, its implementation, including the budget and timetables, and performance to date as well as lessons learned that might inform upcoming activities.
* Specify how reporting on progress on M&E would occur: when, in what format, using what indicators.
* Consider that an independent third party may be hired by the funders or the implementers to verify that the monitoring plan schedules and goals are being met. If the project implementation is off schedule then the monitoring plan should be altered to reflect the changes.
* Add risk assessment ex post, building on your risk assessment in 2b.

**Standard 6 the R-PP text needs to meet for this component:**

**Design a Program Monitoring and Evaluation Framework**

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.

**Please provide the following information:**

* **Summarize your proposal in the space below in one to three pages;**
* **Fill in the budget and funding request in Table 6 (the detailed budget and funding data go in Component 5);**
* **If necessary, provide any additional details or draft input to ToR as Annex 6.**

**Note: This framework is distinct from any that will be developed or undertaken by the World Bank for FCPF program evaluation and supervision of Readiness Grant Agreements.**

**UN-REDD countries may also want to provide a Results Framework table, included below as Table 6-2.**

***Add your description here:***

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Table 6: Summary of Program M&E Activities and Budget** | | | | | | |
| **Main Activity** | **Sub-Activity** | **Estimated Cost (in thousands)** | | | | |
| **2011** | **2012** | **2013** | **2014** | **Total** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
| **Total** | | **$** | **$** | **$** | **$** | **$** |
| Government | | $ | $ | $ | $ | **$** |
| **FCPF** | | **$** | **$** | **$** | **$** | **$** |
| UN-REDD Programme (if applicable) | | $ | $ | $ | $ | **$** |
| Other Development Partner 1 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 2 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 3 (name) | | $ | $ | $ | $ | **$** |

**Table 6-2: UN-REDD National Programme Monitoring Framework :**

**Potential tool for all countries, and required for UN-REDD countries**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Expected Results (Outcomes and Outputs)** | **Indicators (with baselines and indicative timeframe)** | **Means of Verification** | **Collection methods (with indicative timeframe and frequency)** | **Responsibilities** | **Risks and assumptions** |
| From country Results Framework or R-PP components | From Results Framework or R-PP components.  Baselines are an indicator at the start of the joint programme | From indentified data and information sources | How is it to be obtained? | Specific responsibilities of participating UN organizations (including shared results) | Summary of assumptions and risks for each result |

|  |
| --- |
| **Suggested Annexes for the R-PP (Optional)** |

**Guidelines:**

* **If you decide to annex draft input to Terms of Reference, plans, or other material important to describe how the R-PP would be organized or its studies performed, please include additional information in the annexes below;**
* **Delete any annex that is not used, but *please maintain the numbering* of the annexes (i.e., use the number for each Annex as shown below, even if you only have only a few annexes; do not renumber them);**
* **Update the Table of Contents to reflect only the annexes you include before finalizing the document.**

|  |
| --- |
| Annex 1a: National Readiness Management Arrangements |

Please present your early ideas and/or draft input to ToR.

|  |
| --- |
| Annex 1b: Information Sharing and Early Dialogue with Key Stakeholder Groups |

Please present any relevant additional material not included in the body of the R-PP (component 1b).

|  |
| --- |
| Annex 1c: Consultation and Participation Process |

Please present any relevant additional material not included in the body of the R-PP (component 1c).

|  |
| --- |
| Annex 2a: Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance |

Please present any relevant additional material not included in the body of the R-PP (component 2a).

|  |
| --- |
| Annex 2b: REDD-plus Strategy Options |

Please present the early ideas and/or draft input to ToR for work to be carried out. Please also present the strategy options themselves if they are available.

|  |
| --- |
| Annex 2c: REDD-plus Implementation Framework |

Please present the early ideas or draft input to ToR for work to be carried out. If you decided to merge Components 2b and 2c, you may also wish to merge Annexes 2b and 2c.

|  |
| --- |
| Annex 2d: Social and Environmental Impact during Readiness Preparationand REDD-plus Implementation |

Please present the early ideas or draft input to ToR for work to be carried out.

|  |
| --- |
| Annex 3: Develop a National Forest Reference Emission Level and/or a Forest Reference Level |

Please present the early ideas or draft input to ToR for work to be carried out.

|  |
| --- |
| Annex 4: Design Systems for National Forest Monitoring and Information on Safeguards |

Please present the early ideas or draft input to ToR for work to be carried out.

|  |
| --- |
| Annex 5: Schedule and Budget |

Please present any additional details of your proposed Schedule and Budget.

|  |
| --- |
| Annex 6: Design a Program Monitoring and Evaluation Framework |

Please present any additional details of your proposed Monitoring and Evaluation.

**[end]**

1. <http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=360&Itemid=53> [↑](#footnote-ref-1)
2. <http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=360&Itemid=53> [↑](#footnote-ref-2)
3. The UN Declaration on the Rights of Indigenous Peoples, adopted by the 61st session of the United Nations General Assembly on 13 September 2007, can be accessed at <http://www.un.org/esa/socdev/unpfii/en/declaration.html> [↑](#footnote-ref-3)
4. These guidelines are available at <http://www.un-redd.org/Multiple_Benefits_SEPC/tabid/54130/Default.aspx>. [↑](#footnote-ref-4)
5. Guidelines for preparation for ESMF will be issued by the Facility Management Team in the near future. [↑](#footnote-ref-5)