

Forest Carbon Partnership Facility (FCPF) Readiness Mechanism Readiness Preparation Proposal (R-PP) External Review Template

(interim, January 10, 2011, from Program Document FMT 2009-1, Rev. 5)

Guidelines for Reviewers:

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

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

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

Update of the Review of COLOMBIA's R-PP (v.5 of September 27th, 2011)

Reviewer (fill in): Germany, AFD (France), Switzerland

Date of review : 12.10.2011

Standards to be Met by R-PP Components

(From Program Document FMT 2009-1, Rev. 5:)

General comments

The reviewers consider the R-PP presented by Colombia as very comprehensive and would like to commend the country for the achievements made so far. Although not all assessment standards are met at the same level of detail, we consider the RPP as a sufficient basis to recommend the approval of a Readiness Preparation Grant by the FCPF Participants Committee. Key strengths

include an apparently well organized and broad consultation process and a participatory approach to national Readiness Management giving voice to representatives from Indigenous and Afrocolombian Communities as well as Civil Society representatives.

The final version of the document responds well to most of the observations and concerns raised in earlier reviews by the TAP and the PC-reviewers. Especially the information provided on the monitoring system and REDD+ strategy options has improved substantially. A well-structured Monitoring and Evaluation Framework with clear performance indicators will allow measuring progress over time.

Due to the current institutional restructuring the institutional arrangements within the national REDD+ Working Group (GIT REDD+) still will need to be refined until January 2012. To the extent that important building blocks of the Implementation Framework are subject to the ongoing consultation process, it seems to be acceptable not to provide further details at this moment. However, clarifying specific governance arrangements and adjusting REDD+ strategy options to the specific needs of indigenous and afrocolombian collective territories should be a priority in the R-PP implementation.

The reviewers would also like to highlight positively the fact that initiatives underway together with other development partners are an integral part of the R-PP.

Component 1. Organize and Consult

Standard 1a: National Readiness Management Arrangements:

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

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

The approval of the National Climate Change System in July 2011 has led to some changes in the institutional set-up proposed in earlier versions of the R-PP. The ongoing process of institutional formation and restructuring makes a final assessment impossible at this moment. Until the SNCC and the GIT REDD+ become effective, the Ministry of Environment (MAVDT/MADS) is responsible of leading the process and including all relevant stakeholders. Cross-sectoral coordination, including with Mining and Energy, will be achieved by the overarching Executive Commission on Climate Change, the participation of DNP in the Interdisciplinary Working Group on REDD+ (GIT REDD+) and the participation of MADS in other sectoral working groups. The election and profile of the participants in the GIT REDD+, information flows and the role of MADS as executive secretary of the GIT REDD+ have been clarified. Due to the amount of work foreseen for the GIT REDD+ and Consultative Groups (eg. incorporate feedback from stakeholders and SESA, design of REDD+ Strategy, regulatory framework, registry, financing mechanism) a higher number of meetings per year is to be expected in the first years after its creation. Resources for the capacity building of all actors, including regional actors that are mainly represented in the consultative groups have been allocated for in the budget. It will be important to clarify the coordinating mechanisms with the Corporaciones Autonomas Regionales (CAR), departmental authorities and traditional indigenous/afrocolombian authorities as early as possible.

Standard Met.

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

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

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

The information sharing process as it is presented suggests to be a very good one. This component provides exhaustive information about the ongoing early dialogue process at national and local level, including background information on stakeholders in different regions. Sector ministries and a number of local organizations have been consulted, others are still going to be consulted in the near future. It appears that the process is lead by the RPP-development team at MAVDT which is incorporating feedback as it comes, until the GIT REDD+ is fully established.

Standard Met.

Standard 1c: Consultation and Participation Process

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

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

Responding to demands from a number of Civil Society Organisations about a consultation process as required by ILO 169, the government of Colombia clarifies that the participation process outlined in the RPP should be understood as an information exchange and collective construction of national REDD+ strategy - while it declares itself committed to ILO 169 and UNDRIP requirements for the actual implementation of REDD+ activities. A binding FPIC protocol for REDD+ activities in collective territories will be defined as part of the Consultation and Participation Plan and subject to previous consultation as required by the Constitution. The

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

commitment to this protocol and efforts to incorporate feedback from local stakeholders via the GIT REDD+ and Consultative Groups are of vital importance to ensure the ownership within the national stakeholder community.

Early concerns of different groups of stakeholders are well reported and given consideration, such as eg. the articulation of the Planes de Vida / Etnodesarrollo with territorial planning mechanisms, the integration of local actors into the monitoring for REDD+ and capacity building measures for each group of actors. No addition has been made about further results of intersectorial working groups, although they were reported to have taken place in the last week of May 2011.

A mechanism for addressing grievances has been established for voluntary market projects. It is assumed that grievances regarding consultation and participation in the overall REDD+ process are to be resolved at the various stages of the consultation and participation process itself or via the proposed representatives in the GIT REDD+.

Standard Met.

Component 2. Prepare the REDD-plus Strategy

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

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

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

Taking up earlier comments, the direct drivers of deforestation are mentioned and roughly quantified/ attributed to the different regions, and are explained in greater detail in component 2b. More detailed studies are planned and budgeted for. Degradation processes are identified as a major proportion of forest cover change, especially in the Andine and Amazon Region, and are preliminarily attributed to selective logging and small-scale agricultural activities. However, the corresponding governance challenges are not elaborated. This is of special relevance for the "areas de resguardos", accounting for 48 % of the forest area and currently regulated under a legal framework that provides a certain independence in the use of forest resources. Clarification of the "territorialidad indigena" should be one of the first steps in designing a national REDD+ strategy.

A documentation of existing policies or measures for addressing drivers of deforestation and forest degradation is contained in the annex, although successes and failures in implementing them are not presented in detail. As a consequence, the gaps and challenges for REDD remain a little vague, but are explained in greater detail in component 2b. Additionally, the proposed activities and studies sufficiently account for remaining analytical gaps.

Standard largely met.

Standard 2.b: REDD-plus strategy Options:

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

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

This component has even more improved since the last version. The background Information on drivers and suggested policies to address them that was missing from component 2a is provided here. Synergies with existing programs and sector strategies in infrastructure, agriculture, land tenure and rural development, including Familias Guardabosques, are addressed. The mentioning of conflicts between mining concessions and collective territories of indigenous or afrocolombian communities is highly appreciated. We recognize the importance of this debate in the Colombian society and would like to express our support for efforts to make progress on this issue.

The table aligning drivers of deforestation and a timetable of possible policy options is a very good start for a comprehensive national REDD+ strategy and will be enriched by the stakeholder consultation process. Some promising options displaced until 2020 for national roll-out, maybe could be introduced at local or regional scale at an earlier stage. Since a large percentage of remaining natural forests in Colombia is attributed to collective territories, it would be appreciated if some strategy options were more explicitly targeted to the specific socio-cultural needs of indigenous and afrocolombian communities. We would recommend to give special attention to these issues during stakeholder consultations on regional REDD+ strategies.

Most of the requirements of component 2c are still missing and are scheduled to be dealt with at a later stage (eg. regulatory framework for carbon rights, benefit-sharing mechanism, institutional arrangements). Component 1c includes these issues for discussion during the consultation and participation process. In addition to that, the RPP provides budgets for detailed studies on institutional arrangements (1a) and the financing mechanism (2b) which are going to be supervised by the GIT REDD+ as soon as it is established. It will be important to clarify the coordinating mechanisms with the Corporaciones Autónomas Regionales (CAR), departmental authorities and traditional indigenous/afrocolombian authorities as early as possible.

Standard largely met.

Standard 2.c: REDD-plus implementation framework:

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

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

2b and c have been merged. For comments, please see section 2b.

Standard largely met.

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

The proposal includes a program of work for due diligence for strategic environmental and social impact assessment in compliance with the World Bank's or UN-REDD Programme's safeguard policies, including methods to evaluate how to address those impacts via studies, consultations, and specific mitigation measures aimed at preventing or minimizing adverse effects. For countries receiving funding via the World Bank, a simple work plan is presented for how the SESA process will be followed, and for preparation of the ESMF.

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

Under the leadership of MADS the first national SESA workshop is scheduled for November 2011 and will be the starting point for the development of a national ESMF, as well as provide input to the national REDD+ strategy and the monitoring on non-carbon impacts and co-benefits.

Reference is made to an existing proposal for national principles and criteria for REDD+ (Annex), to serve as basis for the approval of voluntary market projects.

Some first ideas of pressing environmental and social issues, eg. results of the consultations carried out so far, are given in Component 1b and c.

Standard met.

Component 3. Develop a Reference Level

Standard 3: 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 (MRV system design).

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

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

Colombia has taken the decision to work at the subnational level (nested approach) and roughly explains how the transition to a national reference level is going to be addressed, however no specific workplan and timeline are given. Clarity about the overall methodological approach will prevent inconsistencies in the aggregated figures and reduce costs for implementation.

Important issues such as consistency among scales, the creation of a national REDD+ registry to avoid double counting, and the need to have a "guarantee fund" are addressed.

Information on the nature and quality of the data that will be used in the reference scenario is given. Also the R-PP refers to econometric models that are being tested at the national and international level. It will be important to provide information on the used methodology in a transparent way throughout the Readiness process.

Standard largely met.

Component 4. Design a Monitoring System

Standard 4a: Emissions and Removals:

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

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

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

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

The R-PP is now much more precise on the MRV system, including its institutional set-up. While remote-sensing is going to be carried out by IDEAM with the support of regional research institutes, ground-truthing activities are to be carried out by regional environmental authorities (eg. CAR) and communities. Also, the integration of local stakeholders into the monitoring system is scheduled for discussion during the consultation and participation process. Feedback-loops into national REDD+ Readiness management likely will be provided by IDEAM as consultative observer to the GIT REDD+. However, institutional responsibilities will need to be refined as for the overall work of the GIT REDD+. Transparency and public access to the proposed Information System will be important issues to be addressed during RPP implementation.

Standard largely met.

Standard 4b: Other Multiple Benefits, Impacts, and Governance:

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

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

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

Monitoring results will be aggregated at a national level by IDEAM. At a local level, the monitoring of environmental impacts and benefits will be carried out by relevant research institutes (Insitute Alexander von Humboldt, SINA etc.), using indicators to be developed in a national stakeholder workshop and building in feedback from the SESA process. The monitoring of social impacts will be based on existing indicators used by the National Department for Statistics (Social Monitoring), to be adjusted during the SESA process and to the diversity of local contexts. A number of preliminary indicators are suggested but it is not clear how the generic data produced by the DANE would be attributed to REDD+ activities and might have to be complemented by specific data gathering exercises (e.g. specific surveys). The budget for gathering data seems to be very low, especially for remote forest areas..

Both IDEAM and SINA institutes are consultative observers to the GIT REDD+, thereby representing an adequate feedback-loop into national REDD+ Readiness management. However, transparency and public access to monitoring results should be provided in order to enable feedback by stakeholders. As part of the consultation and participation process, the contribution of local stakeholders to the monitoring system will be elaborated.

There is no mentioning of monitoring governance indicators.

Standard largely met.

Component 5. Schedule and Budget

Standard 5: Completeness of information and resource requirements

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

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

Standard met.

Component 6. Design a Program Monitoring and Evaluation Framework

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

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

This section has greatly improved since the last review and now provides a comprehensive M&E framework, including performance indicators and institutional responsibilities.

Standard met.