

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

(interim, January 12, 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.*

**Review of R-PP of: Chile**

**Reviewers: Switzerland, Indonesia and Colombia (leader)**

**Date of review: October 19, 2012**

**Summary of Findings and Recommendations**

The Chile review process applies a classification scheme as follows:

- **Standard Met** (no further work needed to describe the actions proposed under this standard)
- **Standard Largely Met** (proposed work is acceptable, but can be enhanced with additional information)
- **Standard Partially Met** (some additional information is required before the proposed strategy fulfills the terms of the standard)
- **Standard Not Met** (information is incomplete and does not fulfill the terms of the standard)

## Standards to be Met by R-PP Components

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

### 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:

Since 1996, Chile has a National Advisory Committee to Climate Change, integrated by public sector and academy. 10 years latter, Chile began the transition from an intersectorial coordination model, to a more centralized and influent organization, that finished in 2010 with the creation of Ministry of Environment. This information about capacity building is important to note, but is necessary to define clearly the current institutions.

Chile has a lot institutions working on forest and climate change, but the arrangements presented are not clear (composition of groups or committees, relation between them, character in terms of civil society participation).

R-PP has not mention of work on forest NAMA.

#### Recommendations:

- Describe the link of RPP to the pilot implementation of the Forest NAMA
- It would be useful to summarize the institutional arrangement, and specifying the different institutions working of REDD+.
- Climate change national policy is a short-term action, specifically for a 2008 to 2012 period. In this context, provide information about its results, considering that this time is going to finish in a couple of months.
- Review some formal aspects, because there are some incongruences about which entity was development Climate change national policy, denomination of National advisory committee on climate change (or in global change?), and composition of Bureau on Forest and Climate Change (text does not match the graph 1a.4). This last aspect makes difficult to understand which actors make up the bureau, if there is involvement of non-indigenous communities, academia and private sector, which is particularly important because its financial support to R-PP.
- If Bureau on Forest and Climate Change isn't created at date, is important to define a transitory or preliminary instance or strategy to advance in proposed actions. It will be important to consider an odd number to facilitate decisions taking.
- Review the budget estimated for the conceptual design of a permanent platform for consultation and dissemination, because this seems to be high.

**Conclusion: Standard Partially 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:**

Good overview on stakeholder consultation, but need some information on the results (main issues), because this is the basis of consulting and SESA process during R-PP implementation, therefore is necessary an additional effort to identify a broad range of stakeholders and consider them in participation instances.

**Recommendations:**

- Include further information about main issues derived from early dialogues.
- Gender approach needs to be development. Consider the possibility of include the involvement of representatives of indigenous peoples and peasants women in the instances of participation, among other stakeholders, not only with the involvement of an official gender specialist in CONAF.
- Dialog with the IP and local communities needs to be further clarified in order to ensure their mutual participation in the REDD+ activities.
- To confirm the Bureau on Forest and Climate Change and development SESA is important to analyze other medium landowners, not only APROBOSQUE A.G.
- In numeral, 1.b.3.3. is important to clarify that the communication strategy is different, though complementary, a capacity building strategy. Each one requires the involvement of a professional specialized in the specific topic.
- Specify composition and relation between Bureau on Forest and Climate Change, as participatory structure at national level; Group on Forest and Climate Change, as institutional structure; and national, regional and local participatory structures.
- It is worth to state the expected objectives the activities, who will be responsible (presented in the table). It will make it easier to see whether the subactivities will support in achieving the expected objective.
- Focusing on REDD+ governance is important to provide more information about land tenure problems that affects a proportion of land forested, which largely overlap with unsustainable forest practices. Include which forest area is located in properties of medium landowners.

**Conclusion: Standard Partially Met**

**Standard 1c: Consultation and Participation Process**

*Ownership, transparency, and dissemination of the R-PP by the government and relevant stakeholders, and inclusiveness of effective and informed consultation and participation by relevant stakeholders, will be assessed by whether proposals and/ or documentation on the following are included in the R-PP (i) the consultation and*

*participation process for R-PP development thus far<sup>3</sup> (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:**

The communication strategies and the topic of consultation are clearly stated, even need some precisions.

**Recommendations:**

- Link “Plan for Information dissemination and communication to indigenous peoples” with “communication strategy”.
- Propose a capacity building and information program for non-indigenous peoples.
- In systematization of responses during indigenous consulting, consider that is a valid (and possible) response “not agree”.
- Include aspects like benefits distribution and participatory mechanisms, in activities as workshops with stakeholders.

**Conclusion: Standard Largely 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:**

R-PP presents the main regulatory framework for Forest Management in Chile and makes a recognition on how former incentives and laws were also by-causes of deforestation and forest degradation, taking it as a clear lesson learnt, nevertheless, a more comprehensive explanation of the governance for implementing this regulatory framework (D.L. N° 701 and Ley N° 20.283) would be needed (Main stakeholders and processes). But, also concludes that there are 15 causes of deforestation in Chile, but not all are explained or even listed.

A strong element of proposal is include, in activities to do in this component, the definition, by

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<sup>3</sup> 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).

consensus and institutionalized, of forest degradation, according to international definitions and adapted to national circumstances. Is relevant because lack of international definition is a key problem to be resolved by stakeholders of the country, as mentioned in R-PP.

In drivers of land use change, R-PP pointed that there are 15 drivers, but do not specify them.

**Recommendations:**

- Include more information about legal enforcement related to REDD+ governance, and drivers of land use change.
- It would be important to add a specific reference on how domestic/subsistence firewood consumption is regulated in the country
- For a wider analysis of land use in Chile would be helpful to provide also information on other land uses than forest, if available.

**Conclusion: Standard 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 sectorial 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:**

R-PP presents 5 strategy options, related to drivers of deforestation and forest degradation, includes an analysis of sectorial strategies, and proposes a work on carbon projects based in a typology to be developed.

Is not clear how “technical actions” will be done in forestry benefit smallholders and indigenous peoples. □

**Recommendations:**

- Describe the link of RPP to the pilot implementation of the Forest NAMA
- Describe better the proposed “technical actions” that are undertaken so that farmers and indigenous communities will have access to the benefits.
- Include in activities to develop not only consultancies, but also pilots to advance in implementation of strategy options.

**Conclusion: Standard Largely Met**

**Standard 2.c: REDD-plus implementation framework:**

*Describes activities (and optionally provides ToR in an annex) and a work plan to further elaborate institutional*

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

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

Available information of property rights related to carbon rights and land tenure give a well basis to REDD+ implementation framework. Is remarkable the catastro of all properties in the country that allows have simple, organized, complete, updated, secure and public information about properties, taxes and restrictions.

In other hand, is a strong basis to have defined the carbon rights, because according the national Civil Code, landowner is at the same time the owner of what it produces, including natural or civil fruits. Additionally, new project law of forest includes incentive payment to forest related to carbon sequestration. Nevertheless, R-PP do not clarify is the benefit distribution scheme is, therefore, resolved or is going to be development; it seems the former is the option, because there is not reference to benefit distribution.

It seems that strategy options enforcement, as presented in RPP, will be based mainly on project-based participation in voluntary Carbon markets, but it don’t express the relation to regulated markets.

Activities proposed are consistent with ideas exposed in this component, identifies key issues involved in REDD+ implementation, proposes a clear and adequate activities, and institutional arrangements needed to engage.

**Recommendations:**

- Add information of a possible strategy of the government of Chile for moving to regulated markets under UNFCCC.

**Conclusion: Standard 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:**

New environmental institutions defined the Environmental Impact Assessment System, that determines if an activity or project is adjusted to current regulation, and if they are resolved with adequate measures of mitigation, compensation and reparation. Also there is a platform to communicate in, a transparent way, comments from civil society and responses from government. Above gives solid basis to develop the SESA process, but obviously it has to be adapted to SESA objectives and REDD+ national/and subnational strategies, as described in R-PP.

Construction of the ESMF should be based in the definition of strategy options, or at least a set of

categories of issues to be included in the analysis. The document remains very general regarding how the evaluation is going to be operative and how will complement other activities of preparation process.

**Recommendations:**

- Further information about how SESA process will be developed.
- Include a gender perspective in SESA work plan and ESFM preparation. Is important to note that this component includes a specific activity in this topic with its budget (“Analyzes of main gender problems which generate risks to equal distribution of benefits and opportunities”).

**Conclusion: Standard Largely 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:**

It highlights the scope that gives the document to have reference scenarios from a jurisdictional approach, particularly the emphasis on quantifying the carbon content and its monitoring system, including through development and implementation of methodologies for quantification of degradation. About scope is relevant taking into account the particular context of Chile especially in the net increase in carbon stocks in the most recent decade.

R-PP presents a work plan to develop jurisdictional reference levels, with emphasis on forest degradation. Is relevant the implementation of national standards as "Conceptual and methodological guide for development Forest Project Types of Carbon Capture " (*Guía conceptual y metodológica para el desarrollo de Tipologías de Proyectos Forestales de Captura de Carbono*).

R-PP assesses the links with the component 2a (assessment of drivers of deforestation), considering the numbers associated with an increase in forest cover area in the period 2000-2010 and concluded that Chile efforts are target to the recovery of native forest degraded, mainly by the use of forest areas in the supply of firewood. This scope is appropriate and responses to national conditions.

Related to above, R-PP proposes the design and implementation of an internationally recognized methodology to building subnational reference levels that incorporates methods for identification and quantification of degradation of forests in the central south region of the country. It includes operation of the “Platform to generate and trading carbon credits” (*Plataforma de generación y comercio de bonos de carbono de Chile, PBCCh*) and Verified Carbon Standard (VCS) in Aofu area, aligned with the requirements of the REDD + mechanism.

**Recommendations:**

- Clarify if reference level development will allow to quantify conservation, sustainable forest management and enhancement of carbon stocks. If this is true, include the respective methodological approach.
- Explain the fact that there is not a special (geographical) analysis of degradation processes and how this feature would make a jurisdictional accounting (R-PP affirms *“La metodología base para la construcción de Escenarios de Referencia Nacionales a través del Proyecto MAPS considera la determinación de la situación actual y la aplicación de modelos de proyección econométricos que incluyan los motores de degradación en el sector forestal, lográndose niveles de referencia cuantitativos pero no geográficamente distribuidos”*). Thus if the expansion of the MAPS project includes spatialization of degradation processes, is recommended make it explicit.
- Methodology to develop subnational reference level not necessarily has to be internationally recognized, considering that there is not a consensus at this level.
- Provide more information about how articulate available systems and programs of deforestation monitoring (as mentioned in component 4) with reference scenarios in a jurisdictional approach. Is desirable this articulation include relation with design of monitoring system or R-PP.

**Conclusion: Standard 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:**

There are some aspects to highlight:

- Chile has an enormous strength to initiate MRV, considering that has a number of initiatives related to forests and forest lands led by the National Forestry Corporation of Chile (*Corporación Nacional Forestal de Chile - CONAF*), as in the case of the Vegetation resources cadastre and monitoring system of wood energy and forest carbon; Program of built and enhance allometric features, registration of forest management plans and control activity log forestry, and logging and evaluation system of forest fires; and Forest pest

prospection and disease control program (Phytosanitary control).

- MRV will be the basis of the “Platform to generate and trading carbon credits” (*Plataforma de generación y comercio de bonos de carbono de Chile, PBCCh*).
- Indigenous peoples and other communities are involved to set up forest monitoring plots.

Considering national circumstances, problems associated with forest are more related with degradation than deforestation, therefore, MRV system make special emphasis in estimating changes in carbon stocks. Nevertheless, MRV system must respond not only to carbon stocks, but also to emissions.

**Recommendations:**

- Although current advances and adequate methodological proposal to MRV, is need to give more information about how to link existent programs and systems with MRV.
- Provide more information on how indigenous and/or forest dependent communities will be involved in monitoring.
- Propose criteria or conceptual approach of how estimate national GHG removals forestry, carbon stocks and forest area changes.

**Conclusion: Standard 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:**

Component 4b shows relation to existent initiatives, as the Monitoring system of wood energy and forest carbon, and Biodiversity and climate change national plan, which allows a comprehensive and integrated approach to the information system for multiple benefits.

Is interesting to consider various aspects of biodiversity management and sustainable forest management, as criteria and indicators of the Montreal Process and the actions being carried out as signatories to the Convention on Biological Diversity.

**Recommendations:**

- Provide further information about monitoring of co-benefits, specifically socio-economic indicators could be strengthened through listing some concrete activities.
- Consider, in budget, the need for increased resources to be allocated to developing indicators for monitoring multiple benefits.

**Conclusion: Standard 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:**

Activities proposed are consistent between components to achieve goals of readiness.

**Recommendations:**

- Complete and adjust considering the comments on the other components.

**Conclusion: Standard Met**

**Component 6. Design a Program Monitoring and Evaluation Framework Suggested Annexes for the R-PP (Optional)**

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

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

The inclusion of indicators that go beyond those provided which are essentially more detailed products, to provide a useful measurement of the advancement of each component would help to inform the program where to put more effort could be very useful for guiding the overall progress of the REDD program and assessing where additional support may be useful.

**Recommendations:**

- Propose some indicators to measure the impact of activities, not just for their realization.

**Conclusion: Standard Met**