

**FOREST CARBON PARTNERSHIP FACILITY (FCPF)  
FOURTEENTH PARTICIPANTS COMMITTEE MEETING  
March 19-21, 2013  
Washington, DC**

**Resolution PC/14/2013/1**

**Readiness Package Assessment Framework**

**Whereas:**

1. The Participants Committee (PC), through Resolution PC/12/2012/1, defined the purpose, scope, assessment process and endorsement process for the Readiness Package (R-Package);
2. The Facility Management Team (FMT) was requested to develop the R-Package Assessment Framework. The FMT presented the draft R-Package Assessment Framework at the thirteenth meeting of the PC (PC 13), and subsequently revised the draft, taking into consideration feedback received at PC 13 and thereafter; and
3. The PC, through Resolution PC/12/2012/1, recognized that the preparation of an R-Package and its submission to the PC are voluntary under the Readiness Fund, and that an endorsement of an R-Package is nonetheless required before an ER Program can be submitted for consideration by the Carbon Fund Participants.

**The Participants Committee,**

1. Decides to adopt the R-Package Assessment Framework, which consists of nine subcomponents<sup>1</sup> and thirty-four related assessment criteria, as listed in the Annex to this Resolution and described in FMT Note 2013-1;
2. Recalls that the assessment process of the R-Package consists of two stages, as specified in Resolution PC/12/2012/1 as follows:
  - (i) A national multi-stakeholder self-assessment performed by a REDD Country Participant; and
  - (ii) An assessment by the PC. The PC receives input from a Technical Advisory Panel (TAP), the respective Delivery Partner, and others for the assessment.
3. In carrying out the assessment as described in paragraph 2(i) above, the REDD Country Participants will apply the R-Package Assessment Framework adopted in paragraph 1 above, are encouraged to use the assessment process described in FMT Note 2013-1 as guidance, and will provide the following information for each of the nine subcomponents:
  - (i) Progress indicators (color scores),<sup>2</sup> based on detailed information as specified in (ii) below;

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<sup>1</sup> These nine components mirror the R-PP's four components and their respective sub-components, as listed in Resolution PC/12/2012/1.

- (ii) Description of significant achievements and areas requiring further development related to the corresponding thirty-four assessment criteria. REDD Country Participants are encouraged to use the diagnostic questions and guidance notes to help guide this process. If feasible, REDD Country Participants may use the progress indicators to summarize such information; and
  - (iii) Actions that help to address identified areas for further work.
- 4. For REDD Country Participants that prepare an R-Package, requests such REDD Country Participants to include in their R-Package:
  - (i) A summary of the readiness preparation process;
  - (ii) A report of the multi-stakeholder self-assessment process;
  - (iii) The assessment results of the national multi-stakeholder assessment as specified in paragraph 3 above;
  - (iv) References to documentation pertinent to the nine subcomponents, prepared during the readiness preparation process.
- 5. In carrying out the assessment as described in paragraph 2(ii) above, the PC will be guided by the assessment process described in FMT Note 2013-1 and will consider: 1) inputs from a TAP, based on its own assessment of the REDD Country Participant's progress, and applying the Assessment Framework adopted in paragraph 1; 2) the R-Package prepared by the REDD Country Participant as specified in paragraph 4 above; and 3) inputs from others. Upon completion of this assessment by the PC, the PC will consider adopting a resolution, which: 1) recognizes the readiness progress achieved to date, and 2) lists strengths and areas for improvement;
- 6. Acknowledging that early application of the R-Package Assessment Framework may generate useful lessons learned, authorizes the FMT to amend the assessment process, diagnostic questions and guidance notes described in FMT Note 2013-1. Such amendments should take into account experiences from the application of the R-Package Assessment Framework, relevant UNFCCC and good practice guidance, and feedback from the PC. The FMT will inform the PC of any such amendments. If any material changes need to be made to the R-Package Assessment Framework itself, such changes will be approved by the PC; and
- 7. Notes that for REDD Country Participants that intend to prepare an R-Package, such REDD Country Participants may, as relevant, apply the R-Package Assessment Framework as guidance when preparing their mid-term progress report, in accordance with the process adopted through Resolution PC/12/2012/2.

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<sup>2</sup> As described in FMT Note 2013-1, these progress indicators are: green (significant progress), yellow (progressing well, further development required), orange (further development required), and red (not yet demonstrating progress).

## Annex

### 1. Readiness Organization and Consultation

#### 1a. National REDD+ Management Arrangements

- 1) *Accountability and transparency*
- 2) *Operating mandate and budget*
- 3) *Multi-sector coordination mechanisms and cross-sector collaboration*
- 4) *Technical supervision capacity*
- 5) *Funds management capacity*
- 6) *Feedback and grievance redress mechanism*

#### 1b. Consultation, Participation, and Outreach

- 7) *Participation and engagement of key stakeholders*
- 8) *Consultation processes*
- 9) *Information sharing and accessibility of information*
- 10) *Implementation and public disclosure of consultation outcomes*

### 2. REDD+ Strategy Preparation

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

- 11) *Assessment and analysis*
- 12) *Prioritization of direct and indirect drivers/barriers to forest enhancement*
- 13) *Links between drivers/barriers and REDD+ activities*
- 14) *Action plans to address natural resource rights, land tenure, governance*
- 15) *Implications for forest law and policy*

#### 2b. REDD+ Strategy Options

- 16) *Selection and prioritization of REDD+ strategy options*
- 17) *Feasibility assessment*
- 18) *Implications of strategy options on existing sectoral policies*

#### 2c. Implementation Framework

- 19) *Adoption and implementation of legislation/regulations*
- 20) *Guidelines for Implementation*
- 21) *Benefit sharing mechanism*
- 22) *National REDD+ registry and system monitoring REDD+ activities*

#### 2d. Social and Environmental Impacts

- 23) *Analysis of social and environmental safeguard issues*
- 24) *REDD+ strategy design with respect to impacts*
- 25) *Environmental and Social Management Framework*

### 3. Reference Emissions Level/Reference Levels

- 26) *Demonstration of methodology*
- 27) *Use of historical data, and adjusted for national circumstances*
- 28) *Technical feasibility of the methodological approach, and consistency with UNFCCC/IPCC guidance and guidelines*

### 4. Monitoring Systems for Forests and Safeguards

#### 4a. National Forest Monitoring System

- 29) *Documentation of monitoring approach*
- 30) *Demonstration of early system implementation*
- 31) *Institutional arrangements and capacities - Forests*

#### 4b. Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards

- 32) *Identification of relevant non-carbon aspects, and social and environmental issues*
- 33) *Monitoring, reporting and information sharing*
- 34) *Institutional arrangements and capacities – Multiple Benefits and Safeguards*