

**Forest Carbon Partnership Facility (FCPF) Readiness Mechanism  
Readiness Preparation Proposal (R-PP) External Review Template**  
(interim, September 10, 2009, from Program Document FMT 2009-1, Rev. 3)

**Guidelines for Reviewers:**

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

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

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

**Review of R-PP of (fill in country name): Ethiopia**

Reviewer (fill in):            Argentina (lead) and Colombia

Date of review (fill in):    10/09/30

**Standards to be Met by R-PP Components**

*(from Program Document FMT 2009-1, Rev. 3:)*

**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;

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

The component proposes a big readiness management structure that will include all relevant government agencies at the national level, regional and local level and a broad range of stakeholders. The strategic cross-sectoral coordination of the REDD+ process is being put at high political level in the Environment Council. Steering committee, working group, different working groups, regional working groups, local working groups and stakeholders forum are proposed. In all these structures there are representatives from stakeholders groups.

In the Institutional Management Arrangements we can see the participation of a large number of stakeholders at federal and regional level. However, further explanations about the mechanism to feedback among them would be desirable. On the other hand, the legally or nature of provisional institutions (RSC, FEPA, RTWG, RRTWG) is not specified in the document, either through national resolution or conformation ad-hoc of such institutions. Finally, at regional level the role of WOREDA groups is not specified.

Considering the needed regarding information flux, feedbacks, decision making and conflicts resolutions, the proposed structure will serve to manage different interest and views, and if the all process is not clear, the key steps and levels for decision making, could be potentially a problem. Some of these structures or process could play a role in the consultation and participation plan. (e.i woreda)

The inclusion of Woreda working groups are set up to ensure that local level REDD+ decision making and actions are developed through a democratic process of free, prior and informed consent, where forest dependent people have a key voice. This issue also could be potentially difficult to get operative in the readiness management. There is not detail about if the FPIC is incorporated in the National legislation.

**Standard is partially met. Recommendations**

- Consider revise what are the essentials functions of each structure, providing further details of the roles and responsibilities of different government agencies, local governments, the non-government and civil society stakeholders.
- Useful to include a timeline for the establishment of processes, institutions and functions.
- Consider provide further details about the roles and functions of different hierarchical bodies; take into account the different levels of participation and roles of the stakeholders.
- Consider clarify the role of stakeholders in the decision making
- Consider move FPIC reference to the subcomponent 1b and 2d and link the consultation process to readiness management to ensure that the vision and need of the indigenous people are take into account-.
- Further clarify the role of pilot projects in the context of the readiness management

**Standard 1b: Stakeholder Consultation and Participation**

Ownership, transparency, and dissemination of the R-PP by the government and relevant stakeholders: Inclusiveness of effective and informed consultation and participation by relevant stakeholders, assessed in the following ways:

- i. the consultation and participation process for R-PP development thus far<sup>3</sup>, the extent of ownership within government and REDD coordinating body, as well as in the broader national stakeholder community; and

the Consultation and Participation Plan included in the R-PP (which looks forward in time); and the inclusion of elements in the R-PP that adequately document the expressed concerns and recommendations of relevant stakeholders and propose a process for their consideration, and/or expressions of their support for the R-PP.

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

Stakeholder consultation and participation has been initiated during the drafting of the R-PP. However, is not clear the relationship between these consultations activities, the different stakeholders views and the process itself of R-PP development. The logic sequence of this process and the key stakeholders view are not clear in the presented table.

In the early process of Consultation and participation showed in the document, the link between the topics, objectives and goals of different workshops and meetings are not clearly identified.

The document provides a comprehensive analysis of the stakeholder system and institutional arrangements for future consultations, including a set of tools that are proposed for each focus group.

In the Figure 7, key phases in the consultation and participation action plan are presented, but the participatory and feedbacks functions are proposed in the final steps.

The activity 3 “Comprehensive stakeholder mapping and planning of consultation and participation”, would be incorporated in the R-PP formulation, considering that the present version is a draft and could be considered as an important outcome of R-PP formulation.

**Standard is partially met.**

**Recommendations**

- Further work on the engagement and participation of civil society organizations in the consultations plan.
- Further clarification in the role and methodologies to engage the indigenous people

---

<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).

communities

- Include other non-forestry sectors, such as private non forestry and agriculture stakeholders
- Consider ensure that the feedbacks and loops influence in the decision making is possible from the beginning of the process.
- Consider provide further clarification and specification of stakeholders mapping conducted so far, and presented in the table 5. In addition, we recommend to make available information about the number of people or organizations consulted (only supplied for the first national workshop and for the questionnaire sent to experts stakeholders )
- Provide further explanation about if the consultations conducted so far were enough to this stage of R-PP development and consider what will the next steps until the formal R-PP presentation.

## **Component 2. Prepare the REDD Strategy**

**Standard 2.a: Assessment of Land Use, Forest Policy, and Governance:** A completed assessment is presented that identifies major land use trends, direct and indirect deforestation and degradation drivers in the most relevant sectors in the context of REDD, and major land tenure and natural resource rights and relevant governance issues. It documents past successes and failures in implementing policies or measures for addressing drivers of deforestation and forest degradation, and identifies significant gaps, challenges, and opportunities to address REDD. The assessment sets the stage for development of the country's REDD strategy to directly address key land use change drivers.

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

The proposed assessments to be conducted during the R-PP implementation phase are a very good started point to identify gaps and challenges of the REDD strategy. However, some areas of improvement could be identifies. In the Figure 8 is defining the component 2b as pilots/testing. Please, provide clarification about why the REDD strategy is present in these figure only how a pilots testing program. The pilots could support the development of the strategy but are not the strategy itself.

The sentence "Forest ownership in Ethiopia is invested in the state on behalf of the people" is not consistent with other information provide regarding private and community land.

**Standard is partially met.**

#### **Recommendations:**

- Consider include further information about the different forest ecosystem Ethiopia.
- Clarify the forest land ownership and legal status in the country.
- Consider provide further detail about the past successes and failures in addressing deforestation and forest degradation.
- Consider provide information related to relevant governance issues.
- Consider further details about the challenges and opportunities related existing forest and land use policies, taking care of REDD pilot projects proposed assessments do not duplicate the activities in the subcomponent 2b.
- Consider provide more detailed data of how affect the different drivers the

different regions of forest types, considering the different regional circumstances.

- Consider include more analysis about governance and underlying causes
- Consider further development of assessments to be conducted during the R-PP implementation phase

**Standard 2.b: REDD strategy Options:** Alignment of the proposed REDD strategy with the identified drivers of deforestation and forest degradation, and with existing national and sectoral strategies: the R-PP includes a summary of the emerging REDD strategy to the extent known presently, and of proposed analytic work (and, optionally, ToR) for assessment of the various REDD strategy options. This summary states:

- i. how the country proposes to address deforestation and degradation drivers in the design of its REDD strategy;
- ii. early estimates of cost and benefits of the emerging REDD strategy, including benefits in terms of rural livelihoods, biodiversity conservation and other developmental benefits;
- iii. socioeconomic, political and institutional feasibility of the emerging REDD strategy;
- iv. major potential synergies or inconsistencies of country sector strategies in the forest, agriculture, transport, or other sectors with the envisioned REDD strategy; and
- v. 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 strategy over time.

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

Is not clear link between the deforestation and degradation drivers and the proposed options. The table of strategy options present gaps and challenges analysis as starting point of the different strategy options, but several of them are not related to the drivers and underlying causes of deforestation and degradation. A framework to create, assess and development is not presented. The proposed options are mainly based in support ongoing initiatives, which could undermine the emergent REDD strategy.

**Standard is partially met. Further work on the following is recommended:**

- Consider prioritisation of the proposed general approaches
- Consider the socioeconomic, political and institutional feasibility of the different options presented.
- Useful to further elaborate on synergies or inconsistencies of national strategies in the agriculture, transport, or other sectors.
- Consider include cost and benefits of the proposed strategy options and leakage risk of each one.
- Consider move the section "Critical review of past and current strategies to address

deforestation and degradation” to the component 2a, according to the standard.

- Consider provide further preliminary strategy options based on new approaches to tackle the deforestation and degradation drivers.

**Standard 2.c: REDD implementation framework:** Describes activities (and optionally provides ToR in an annex) to further elaborate institutional arrangements and issues relevant to REDD in the country setting that identifies key issues, explores potential arrangements to address them, and offers a work plan that seems likely to allow their full evaluation and adequate incorporation into the eventual Readiness Package.

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

The R-PP reviews the Forestry Institutional Environment, including the community-based forest management organisation types. However, the existing structures that build the new institutional arrangements for REDD are not discussed deeply. This component is focus on the forest stakeholder system, but government stakeholders such as ministries with planning responsibilities and the Ministry of Finance are not included. Financial management capacities are not included in the discussion. The subcomponent could benefit from a description of the roles and responsibilities of each of the agencies or forums that comprise the proposed institutional framework and the discussion of issues such as transparency and accountability.

The main approach presented by the R-PP is the pilot project initiatives. It is not clear from this how a pilot project would lead to the creation of the implementation framework, which should address mainly political and institutional factors. Elaborate on the roles and responsibilities of agencies or forums that comprise the overall institutional framework and the link between pilot project, PFM program and the institutional setting for REDD.

**Standard is only partially met.**

**Standard 2.d: Assessment of social and environmental impacts:** The proposal includes a program of work for due diligence for strategic environmental and social impact assessment in compliance with the Bank’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.

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

The section has a strong development and well structure work program, but is missing some issues like the World Bank Safeguards that will be applied in the process of formulating the SESA. The component do not identifies some potential risks from the implementation of a REDD+ national strategy on indigenous communities, sectorial interests, governance problems and conflicts between different government jurisdictions and agencies. Some of these issues are mentioned without any details provided on how these concerns are to be included.

**Standard is met if the below comments are include. Recommendations**

- Consider developing a methodology for gathering and analyzing the relevant information that will be required to the SESA.
- Consider further detail the potential impacts of a REDD+ strategy on indigenous communities and how these would be incorporated in the SESA process.

### Component 3. Develop a Reference Scenario

**Standard 3 Reference scenario:** Present work plan for how the reference scenario for deforestation, and for forest degradation (if desired), will be developed, including early ideas on feasibility of which methods to use (e.g., scenario of forest cover change and emissions based on historical trends in emissions and/or based on projections into the future of historical trend data), major data requirements and capacity needs, and linkages to the monitoring system design.

(The FCPF recognizes 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-PP meets this standard, and recommendations:

The component shows the comprehension of the requirements of developing a reference scenario and MRV system. However, the work plan for set a reference scenario is not detailed. The proposed action in the Table 24 Summary table of actions to build a reference scenario, are more related to the MRV system itself than the reference scenario. The methods that will use to set the reference scenario is not included in the discussion.

The table 24 shows "*Proposed assessments related to land use, policy and governance to be undertaken during the R-PP implementation phase*", which is not related to this section.

The action 4.5 Calculation of reference scenario should be include the earlier ideas and discussions about the approaches, methodologies and barriers to development the work plan on reference scenario.

The results of WBISPP could be useful in the component 2a

### The standard is not meet. Recommendations

- Include a work plan o program
- Include detail and discussion about the methodologies and approaches to set the reference scenario
- Clarify the role of pilot project in these component

#### **Component 4. Design a Monitoring System**

**Standard 4: Design a monitoring system:** The R-PP provides a proposal for the initial design of an integrated monitoring system of measurement, reporting and verification of changes in deforestation and/or forest degradation. The system design should include early ideas on including capability (either within an integrated system, or in coordinated activities) to monitor other benefits and impacts, for example rural livelihoods, conservation of biodiversity, key governance factors directly pertinent to REDD implementation in the country, and to assess the impacts of the REDD 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 implementation. The proposal should present early ideas on how the system could evolve into a mature REDD monitoring system with this full set of capabilities.

(The FCPF recognizes 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 component provides a very detail and good proposal for the design of an integrated monitoring system of measurement, reporting and verification of changes in deforestation and/or forest degradation. The component describes major data requirements, capacity requirements, how transparency of the monitoring system and data will be addressed. However, is less clear how the system would engage participatory approaches to monitoring by forest-dependent peoples and other forest dwellers. Also is not clear what is the Benefit sharing indicator and how will use. The co-benefits section has little detail on how will be monitored issues such as transparency, governance and social factors.

##### **The standard is met**

##### **Recommendations:**

- Consider provide further detail in subcomponent 4b
- Clarify the budgets presented in the table 25 (component 3) and the table 34 (component 4), in which are presented the same topics for the activities 1 to 4.9.
- Consider further work regarding the pilot project, especially in the methodologies harmonization and consistence between the different pilot projects in the country.

#### **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, as well as from other



international sources (e.g., UN-REDD or 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 readiness activities identified in the R-PP, or gaps in funding are clearly noted.

---

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

The standard is met

---

**Component 6. Design a Program Monitoring and Evaluation Framework**

**Standard 6:** 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 standard is met