

# READINESS PACKAGE NICARAGUA

National Avoided Deforestation Program  
ENDE-REDD+



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## Acronyms

### FCPF Process

CF	Carbon Fund
ERPD	Emissions Reduction Programme Document
ER-PIN	Emissions Reduction Programme Idea Note
FCPF	Forest Carbon Partnership Facility
GRM	Grant Reporting and Monitoring
LOI	Letter of Intent for the purchase of emission reductions
M&E	Monitoring and Evaluation
MTR	Mid-Term Report
R-PACKAGE	Readiness Package
R-PP	Readiness Preparation Proposal

### Terms used in the UNFCCC

AFOLU	Agriculture, Forestry and Other Land Use
BUR	Biannual Update Reports
COP	Conference of Parties
GGE	Greenhouse Gas Emissions
MRV	Measurement, Reporting, Verification
UNFCCC	United Nations Framework Convention on Climate Change

### Terms used in REDD+

DA	Data on Activities
EF	Emissions Factors
ENDE-REDD+	National Avoided Deforestation Programme
ESSE	Environmental and Social Strategic Evaluation
MBIS	Multiples Benefits Information System
NFMS	National Forest Monitoring System
REDD+	UN Programme on Reducing Emissions from Deforestation and Forest Degradation
RL	Reference Level
RLFE/RL	Reference Level for Forest Emissions / Reference Level
SIS	Safeguards Information System
SNMRV	National Monitoring, Reporting and Verification System

### Entities (acronyms in Spanish)

AWB	Alto Wanki Bocay
BECO	Ecological Battalion
BCN	Nicaragua Central Bank
BICU	Bluefields Indian and Caribbean University
CADPI	Centre for the Autonomy and Development of Indigenous Peoples



CCF-A	Forest and Environment Consultative Committee
CONAGAN	National Cattle and Livestock Commission
CONAFOR	National Forest Commission
CRACCS	South Caribbean Autonomous Regional Council
CRACCN	North Caribbean Autonomous Regional Council
FONADEFON	National Forest Development Fund
FUNDENIC	Foundation for the Development of Nicaragua
GRUN	Government of Reconciliation and National Unity
GTI	Indigenous Territorial Government
GRACCS	Government of the South Caribbean Autonomous Region
GRACCN	Government of the North Caribbean Autonomous Region
INAFOR	National Forestry Institute
INETER	Nicaraguan Institute of Territorial Studies
INGEI	Inventory of Greenhouse Gas Emissions
INTA	Nicaraguan Institute of Agricultural Technology
IPCC	Intergovernmental Panel on Climate Change
INIFOM	Nicaraguan Institute of Municipal Development
MAG	Ministry of Agriculture and Livestock
MARENA	Ministry of the Environment and Natural Resources
MEFCCA	Ministry of Family, Community, Cooperative and Associative Economy
MINED	Ministry of Education
MGAS	Environmental and Social Management Framework
MHCP	Ministry of Finance and Public Credit
PN	National Police
PGR	Office of the Public Prosecutor
SERENA	Natural Resources Secretariat
SIGFA	Integrated Financial and Administrative Management and Audit System
SDCC	Secretariat for the Development of the Caribbean Coast
SPPN	Private Secretariat for National Policies
SINIA	National Environmental Information System
UNA	National Agrarian University
UNI	National Engineering University

**International and inter-governmental organisations**

CCAD	Central American Commission on the Environment and Development
FAO	UN Food and Agriculture Organization
GEF	Global Environmental Facility
GIZ	German International Cooperation
IADB	Inter-American Development Bank
ILO	International Labour Organisation
WB	World Bank

### **National and regional programmes and projects**

CAVAMA	Timber Value Chain
CRISSOL	Christian, Socialist and Solidary
NICADAPTA	Programme in Support of Adaptation to Climate Change in Coffee and Cocoa Production by Small Farmers in Suitable Agro-Climates
NICARIBE	Programme to Develop Productive, Agricultural, Fishery and Forestry Systems in the Indigenous Territories in RACCN and RACCS
PNDH	National Human Development Plan
PNF	National Forestry Plan
PROCACAO	Programme to Improve Organisational and Productive Capacity among Cocoa Producers in the Mining Triangle

### **Others**

GIS	Geographic Information System
GDP	Gross National Product
PI-PCN	Indigenous Peoples of the Pacific, Central and Northern Regions of Nicaragua
RACCS	South Caribbean Coast Autonomous Region
RACCN	North Caribbean Coast Autonomous Region



## I. Introduction

The government of Reconstruction and National Unity (GRUN), under the leadership of our President, Commander Daniel Ortega Saavedra, Nicaragua is fighting for Mother Earth at international forums and takes actions at both national and regional levels. It was the first country in the world to sign the Universal Declaration on the Common Good of the Earth and Mankind.

Nicaragua has in place development guidelines which reflect current national and global circumstances. For this reason, the National Human Development Plan (PNHD) and the 2010-2015 National Environmental and Climate Change Strategy call for **“Mitigation, Adaptation and Risk Management for Climate Change”** in the country. These aspects are a national priority as Nicaragua seeks to design and implement comprehensive measures to reduce and prevent the impacts caused by climate change.

The government of Nicaragua is making significant efforts in the struggle against deforestation and forest degradation. This includes the promotion of sustainable forest management, as well as national reforestation crusades in key areas which are of national interest. Reforestation takes place at a rate of 20,000 hectares (ha)<sup>1</sup> per annum, and the goal is to bring 100,000 ha under natural regeneration management each year.

In 2008, Nicaragua embarked upon negotiations to undertake a process of readiness in the framework of the UN Programme on Reducing Emissions from Deforestation and Forest Degradation (REDD+). In addition, starting in 2014, GRUN and the main actors and stakeholders evaluated the need to design a *‘national programme’* that is to contain guidelines leading to short-, medium- and long-term reduction in the deforestation and degradation of forests in the country. For this reason, it is crucial to analyse and reverse the processes of deforestation and forest degradation in the country.

As part of the actions Nicaragua is undertaking as it seeks to mitigate the impacts of Climate Change, the Ministry of the Environment and Natural Resources (MARENA) herewith presents the document titled “Nicaragua Readiness Package - National Avoided Deforestation Programme (ENDE-REDD+)”<sup>2</sup> for 2014-2017. The progress described herein refers to the improvement of the basic and habilitating conditions needed to implement REDD+. Said process was financed by FCPF readiness funds.<sup>3</sup>

In the case of Nicaragua, this readiness process on Forests and Climate Change (REDD+) has led to the design of a Strategy to reduce emissions from deforestation and forest degradation

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<sup>1</sup> <http://www.elnuevodiario.com.ni/nacionales/433074-nicaragua-lanza-cruzada-nacional-reforestacion/>  
<http://www.lavozdelsandinismo.com/nicaragua/2017-06-30/arranca-cruzada-nacional-reforestacion/>

<sup>2</sup> Known also as the R-Package.

<sup>3</sup> Funds were allocated by means of a grant agreement between FCPF and the government of Nicaragua (Grant No. TF 099264. <https://www.forestcarbonpartnership.org/sites/fcp/files/Nicaragua%20Grant.pdf>



in Nicaragua (ENDE-REDD+). This process has enjoyed political will at the highest level of government, due to the pressing need to introduce efficient, socially and economically viable measures, for the purpose of effectively confronting the direct and underlying causes of deforestation and forest degradation.

The REDD+ readiness process has paid special attention to the substantive rights of indigenous peoples, for the purpose of ensuring their effective participation in programme design, implementation and evaluation; consolidating multilevel governance; strengthening autonomy on the Caribbean Coast; and returning to the administrative framework known to indigenous and afro-descendant peoples, taking into account their strategic role in the protection of forests and forest resources.

Thus the actions carried out by the government are based on the political and strategic framework of the Nicaraguan state, with a view towards taking actions at national, provincial, regional (the autonomous regions on the Caribbean Coast), and local levels<sup>4</sup> (indigenous territorial and afrodescendant governments, municipal governments). The goal is to tackle the main causes of deforestation and forest degradation, reduce the negative impacts and propitiate adaptation to climate change. GRUN, joint implementation partners and the actors/stakeholders involved are in agreement that the country is making progress toward achieving full readiness for REDD+ by 2020.

It should be noted that the inputs included herein are taken from national and regional sources, specialised consultancies which took place during the readiness period, several studies (now concluded) and others still underway. These documents are available at the ENDE-REDD+ web site.<sup>5</sup> The REDD+ readiness package was approved by GRUN in July 2017, before it was presented to the FCFP Committee of Participants (CP).

This document is divided in six sections. Section I consists of an introduction to the REDD+ readiness process, the national context, pertinent aspects of REDD+, its links to national development, contributions made by partners, and an executive summary.

Section II describes the progress made on the four components of project grant TF 099264. In addition, the expectations for the next phase are described, when it is expected to continue optimising country readiness for REDD+.

Section III details the participatory self-evaluation methodology, as well as key steps which were necessary in order to carry out the nationwide self-evaluation, through which four components and 34 progress indicators were evaluated, as per the Guidelines for the FCPF Readiness Evaluation Framework. The results of the self-evaluation close out the section. There follows Section IV, which explains the work still to be done as the country continues to move onward in the readiness process. Section V puts forward the main conclusions and

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<sup>4</sup> The term 'regional' here is equivalent to sub-national.

<sup>5</sup> <http://enderedd.sinia.net.ni/Docs/DocENDE/>



recommendations for the readiness process. Finally, section VI contains annexes with additional information intended to back up or expand on the information found in the earlier sections of the document.

### 1.1 National context

At 130,373 km<sup>2</sup> Nicaragua is the largest country in Central America. It borders with Honduras and El Salvador to the North, Costa Rica to the South, the Atlantic Ocean to the East and the Pacific Ocean to the West. In 2015 the population was estimated at approximately 6 million inhabitants, with a growth rate of 1% per annum (INIDE 2015).

Over the past two decades Nicaragua has enjoyed sustained economic growth, with an average growth rate of 3.9%. In 2016 the country continued to show a positive macroeconomic performance, which is reflected in its robust economic and financial results, which bolstered strong growth for the sixth consecutive year. Dynamic economic activity led to a 4.7% growth in GDP, buttressed mainly by services, mainly commerce, financial intermediation and public administration and defence, followed by agricultural activities and the manufacturing industry.

The main economic activities are in the primary sector, based on agricultural activities, whose contribution to GDP is of 15%. Nicaragua is considered to be a medium low income country (World Bank, 2015). In the year 2014 it was estimated that overall poverty was down to 29.6% of all Nicaraguans, and that 8.3% of the population lives still in conditions of extreme poverty. In urban areas, 14.8% of the population is poor, while in rural areas this percentage climbs to 50.1% (INIDE 2015).

Macroeconomic performance was reflected in an improvement of social indicators. Overall poverty dropped by 4.7 percentage points, from 29.6% in 2014 to 24.9% in 2016, and extreme poverty fell from 8.3% in 2014 to 6.9% in 2016. This means that of every 100 Nicaraguans, 25 are still poor and seven are extremely poor.<sup>6</sup>

As concerns inequality, in 2016 there was an improvement in the national distribution of per capita consumption among the Nicaraguan population. Consumption among the richest quintile is now 5.4 times that of the poorest quintile, down from 6.6 times in 2014. The Gini coefficient<sup>7</sup> for 2016 was 0.33, five decimal points less than in 2014, when it stood at 0,38.

Nicaragua is a country with a multi-ethnic country, with a high degree of cultural development. The population is made up of mestizos, Miskitos, Ramas, Creoles, Afrodescendants, Mayangnas, Ulwas, Nahoas, Xius and Chorotegas. Roughly 70% of the population is mestizo, while 30% belong to one or another ethnic group (INIDE 2015).

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<sup>6</sup> National Development Information Institute. Poverty and Inequality Report. EMNV 2016.

<sup>7</sup> When the value of the coefficient is 1, there is total inequality; if that value is 0, it means there is perfect equality.





The National Human Development Plan (PNHD) for 2012-2016<sup>8</sup> governs all country strategies, policies, programmes and projects. One of the PNHD pillars is the protection of “Mother Earth,” and emphasis is placed on the need to strengthen respect for nature and the restoration of lost habitats, while working to alleviate poverty.

Still, Nicaragua is the fourth most vulnerable country in the world, according to the World Climate Risk Index issued by Germanwatch (2017).<sup>9</sup> It is particularly vulnerable to impacts caused by climate change, such as hurricanes and droughts. The population in both urban and rural areas live in fragile circumstances; also fragile are the country’s ecosystem and national economy.

For this reason, adaptation to climate change has been considered a priority for Nicaragua’s sustainable development, and the government has drawn up a National Climate Change Strategy (ENACC), which is intended to provide a response to the primordial need to adapt to climate change as a means of dealing with the impacts of extreme events on local life and the economy at large (MARENA, 2010).

Given current conditions regarding the systematic loss of natural forests, high levels of vulnerability and recurrent exposure to extreme climate events, Nicaragua seeks to maintain adaptation, mitigation and management of impacts brought about by climate change a priority, for the purpose of minimizing losses and damage, as well as keeping up the country’s sustainable development for current and future generations.

## **1.2 The role of natural and forest resources in the country’s development**

Nicaragua is privileged as regards its wealth in terms of natural resources, and these contribute significantly to economic growth as well as food and energy security. Some 60% of the national territory is suitable for forestry, with over twenty varied ecosystems which are rich in biodiversity, flora and fauna. The hydrographic network is made up of 80 rivers that make up 21 basins. Natural resources are at the foundation of key sectors in the country’s economy, such as agriculture, which contributes 8.6% of GDP, followed by livestock (6.8%), tourism (4.3%) energy (2.3%) and forestry (0.9%) (BCN 2015<sup>10</sup>).

The potential of the forestry sector to contribute to the human development of the Nicaraguan population is high, but is currently being underused and incipient. In economic terms, for example, the forestry sector contributes only about 1% to GNP. However, forest resources in Nicaragua include natural forests (broad-leaf and coniferous) and plantations. In 2015 the total forested area was calculated at 3.4 million ha, or 25% of the country’s total land area. The contribution made by the forestry sector to the development of indigenous

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<sup>8</sup> The PNHD is currently in force. Its new version (2017-2021) is being reviewed.

<sup>9</sup> Germanwatch is a non-profit organisation that actively promotes North-South equity and the preservation of livelihoods. <https://germanwatch.org/en/download/16411.pdf>

<sup>10</sup> Nicaragua Central Bank 2015. Nicaragua Tourism Satellite Account 2014. Managua, Nicaragua. 6 p.



peoples is incalculable, given that their livelihoods are intrinsically related to the forest and 70% of natural forests are in indigenous territories (INAFOR 2009).

The Second National Greenhouse Gas Inventory (INGEI)<sup>11</sup> showed that the main sources of CO<sub>2</sub> emissions<sup>12</sup> were the USCUS sectors and agriculture, with 45,380 and 7,101 Gg of CO<sub>2</sub>e, respectively. This estimate corresponds to an official deforestation rate of 70,000 ha annually (INAFOR 2009). Between the year 2000 and 2015, most natural forests have been converted into pastureland for cattle-ranching (MARENA 2012, MARENA 2017).

## II. The ENDE-REDD+ process in Nicaragua

The REDD+ readiness process in Nicaragua can be divided into three stages. The first stage covers the period from 2008-2012, the second the years 2013-2014, and the current stage runs from 2014 to 2017 (Figure 1).

**First stage (2008-2012).** In 2008 the REDD+ Readiness Plan Idea Note (R-PIN<sup>13</sup>) was prepared in order to place REDD+ on the government's agenda and begin work with FCPF. The R-PIN included three key aspects: (1) a preliminary evaluation of the patterns and causes of deforestation; (2) a look at the process of consultation with actors which would take place were a National Avoided Deforestation Programme (ENDE-REDD+) to be developed; and (3) potential institutional arrangements for implementing the mechanism in the country.

In 2010 a technical team was created to prepare the Nicaraguan Proposal for REDD+ readiness. This initial stage was financed by GIZ (Masrenace Project), and in 2011 the first official version of the R-PP was produced.<sup>14</sup> Once the R-PIN was approved, the FCPF<sup>15</sup> allocated USD \$200,000 to GRUN for the final formulation of the R-PP<sup>16</sup>. These funds were administrated by MARENA and in 2011 a process of dialogue and consultations got underway, leading to the drawing up of a project titled "Support to the Formulation of an Emissions Reduction Strategy by means of a National Avoided Deforestation Programme (ENDE-REDD+)."

During the process of preparing the R-PP a participation and dialogue platform was set up which included indigenous and afrodescendant territorial governments, regional governments, independent organisations and public institutions. The R-PP also contributed to the identification of needs to generate tools with which to design the national ENDE-REDD+

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<sup>11</sup> The inventory refers to the reference year 2000.

<sup>12</sup> Per capita emissions in Nicaragua were estimated at 0.003% in the Second National Communication.

<sup>13</sup> R-PIN: Readiness Plan Idea Note, available at:

[https://www.forestcarbonpartnership.org/sites/fcp/files/Nicaragua\\_TAP\\_Consolidated\\_PIN\\_Review\\_10\\_10\\_08\\_.pdf](https://www.forestcarbonpartnership.org/sites/fcp/files/Nicaragua_TAP_Consolidated_PIN_Review_10_10_08_.pdf)

<sup>14</sup> R-PP 2011, available at:

<https://www.forestcarbonpartnership.org/sites/forestcarbonpartnership.org/files/Documents/PDF/May2011/Nicaragua%20Revised%20draft%20R-PP-May%2031,%202011.pdf>

<sup>15</sup> Forest Carbon Partnership Facility

<sup>16</sup> Readiness Preparation Proposal (R-PP).



programme and strategy, including a Consultation Plan, a Communications Strategy and a means by which to receive feedback and deal with conflicts, among others. The R-PP readiness process laid a solid foundation for the design of ENDE-REDD+. Eventually there was a final version<sup>17</sup> which was approved in 2012<sup>18</sup>, whereupon Nicaragua qualified for an allocation of US\$3.6 million with which to implement the R-PP.

**Second stage (2013-2014).** This consisted mainly of the process of making administrative and fiduciary arrangements. A four-year legal agreement was reached between MARENA and the World Bank, which was signed in December 2013 and expires on 31 October 2017.

In addition, in August 2014 the Project Protection Unit (PPU) was created. Soon thereafter the first bidding processes got underway for the purpose of implementing the R-PP and a dialogue was taken up intended to consolidate the participation platform, made up of three working groups. A meeting took place with Group I, another with Group II, and a dialogue got underway with the autonomous regional governments and the indigenous people living in the Pacific, Central and Northern areas of Nicaragua. Further, the foundations were laid for a diagnostic of technological needs for MRV (i.e. status of all SINIA nodes).

**Third stage (2015-2017).** In 2015, MARENA designed the Emissions Reduction Programme Idea Note (ER-PIN), in which it proposed to the FCPF Carbon Fund an area of coverage to include both autonomous regions on the Caribbean Coast, the BOSAWAS Biosphere Reserve and the Indio-Maíz Biological Reserve. This ER-PIN was submitted to the World Bank on 11 September 2015, and its approval was the result of a collective, cooperative effort leading to consensus between MARENA, local governments, the authorities of the autonomous regions and representatives of the originary and afrodescendant peoples living in the North and South Caribbean Autonomous Regions (RACCN and RACCS, respectively).

Nicaragua introduced its Mid-Term Report (MTR) at the PC24<sup>19</sup>, and as a result of the progress described, the FCPF Assembly approved another US\$ 5 million in support of the final steps in the ENDE-REDD+ readiness process. In order to obtain these additional funds, MARENA committed itself to present the REDD+ R-Package in September 2017 at the PA10/PC24.

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<sup>17</sup> Final approved version of R-PP: [https://www.forestcarbonpartnership.org/sites/fcp/files/R-PP\\_Nicaragua\\_versio%CC%81n\\_%20formal\\_revisada\\_marzo17\\_2013.pdf](https://www.forestcarbonpartnership.org/sites/fcp/files/R-PP_Nicaragua_versio%CC%81n_%20formal_revisada_marzo17_2013.pdf)

<sup>18</sup> The R-PP was approved by the PC12 of the FCPF at its twelfth meeting, held in June 2012.

<sup>19</sup> The Nicaragua Mid-Term Report was presented in August 2016, at the FCPF PA9/PC22, held in Accra, Ghana.



**Figure 1 Road map of the REDD+ readiness process in Nicaragua**

Gestión y diseño del RPP				Arreglos administrativos	Implementación del RPP		
Primera Etapa				Segunda Etapa	Tercera Etapa		Cuarta Etapa
2008	2010	2011	2012	2013 - 2014	2015	2017	2018-2022
<ul style="list-style-type: none"> <li>• PIN</li> <li>• REDD+ en agenda de Gobierno</li> <li>• Inicio trabajo con FCPF</li> </ul>	<ul style="list-style-type: none"> <li>• Equipo técnico para preparar RPP</li> <li>• Fondos GIZ</li> </ul>	<ul style="list-style-type: none"> <li>• Inicio de proceso de diálogos y consulta para la preparación del Proyecto ENDE-REDD+</li> </ul>	<ul style="list-style-type: none"> <li>• RPP aprobado en CP12 en junio de 2012</li> <li>• Nicaragua recibió US \$3.6 millones de donación para implementar RPP</li> </ul>	<ul style="list-style-type: none"> <li>• Firma de acuerdo de donación (Dic-2013)</li> <li>• Aspectos fiduciarios</li> <li>• Conformada la Unidad Ejecutora del Proyecto (UEP)</li> </ul>	<ul style="list-style-type: none"> <li>• MARENA presenta ER-PIN</li> <li>• Inicio de Estudios técnicos</li> </ul>	<ul style="list-style-type: none"> <li>• Presentación de Paquete de Preparación y autoevaluación del Programa ENDE-REDD+</li> </ul>	<ul style="list-style-type: none"> <li>• Firma del ERPA</li> <li>• Inicio del sistema de pago por resultados</li> </ul>
					<ul style="list-style-type: none"> <li>• 2016</li> <li>• Reporte de Medio Término (RMT) en PC24</li> <li>• Se aprobaron 5 millones de dólares adicionales para apoyar la finalización del proceso de preparación de ENDE-REDD+</li> </ul>	<ul style="list-style-type: none"> <li>• Paquete REDD+</li> <li>• Causas de la deforestación</li> <li>• Estudio del marco legal y políticas públicas</li> <li>• Estrategia</li> <li>• MGAS</li> <li>• Mecanismo de diálogo y quejas</li> <li>• SESA</li> <li>• NREF</li> <li>• SNMRV</li> <li>• SIS</li> </ul>	

In addition, Nicaragua is preparing its Emissions Reduction Programme Document (ERPD) and expects to show progress in the design of this regional program by September 2017, covering 50% of the country’s total area.

Since the onset of the ENDE-REDD+ readiness process, the grant has allowed for taking firm steps at national level, keyed toward achieving a coherent strategy that is in step with the country’s socioeconomic and environmental reality.

**The challenge faced by ENDE-REDD+**

Several factors exert an influence on the efficient and effective implementation of forest conservation in protected areas, sustainable forest management and reforestation. Some years ago, the institutions charged with administrating the forestry sector evaluated existing barriers, and this has contributed to the sector’s evolution. One of the most frequent recommendations made in these studies is the need for clarity as regards land tenure and resources, in order to facilitate its use and conservation.

In recent years, GRUN has demarcated and issued land titles to 24 indigenous territories for a total land area of 37,252.91 km<sup>2</sup>, in which a model of governance is promoted that encourages joint management of natural resources and soil use and aims to achieve sustainable development. GRUN has also been creating conditions and assaying financial instruments intended to favour forest protection and conservation through the various projects implemented by FONADEFO. Based on these experiences, small farmer and

indigenous communities now have a wealth of lessons learned which they can contribute to the distribution of benefits for the use of natural resources at local level<sup>20</sup>, based on a process of developing governance capacities among traditional institutions vis-à-vis the challenges of administrating soil use in the face of pressure exerted by the farmers and cattle-ranchers interested in expanding their lands and exploiting natural resources.

However, the experience of other regions indicates that attacking the barriers using a sectoral approach has ceased to be strategic because the growing threats to the forest are intersectoral in nature. The international demand for agricultural products, together with the expansion of agriculture into forestland is accelerating the advance of the agricultural and cattle-ranching frontier. This problem is made worse by the impact of climate change on the productivity of these systems (which are already considered low by Central American standards) and the lack of investments at a scale capable of improving yields. This situation in turn leads to an accelerated increase in the demand for forestland that is not suitable for agricultural production. As a result, after a short period these forestlands come to be considered degraded.<sup>21</sup>

The advance of the agricultural frontier, unsustainable forest management practices and the illegal felling of trees have historically shown a tendency toward growth, which is causing an increase in degraded land and deforestation. The economic and environmental losses, as well as the social pressure on land use and natural resources (i.e. products made from the illegal felling of trees) are challenges that urgently require the strengthening of current forest governance. Taken together, all these multisectoral factors add up and find expression in high rates of deforestation and degradation. The most recent estimate made of the deforestation rate was of 72,000 ha per year for the decade between 2005-15 (MARENA 2017a).

## 2.1 Links to national development policies and priorities

ENDE-REDD+ serves as a complement to the environmental transformation pillars found in the National Human Development Plan (PNDH), essentially adaptation and mitigation of climate change and protection of Mother Earth. While Nicaragua contributes a mere ~0.35% of global emissions of greenhouse gases, climate change is rapidly debilitating sectors that are at the foundation of the country's economy (i.e. agriculture and livestock). For this reason, it is expected that ENDE-REDD+ will contribute to alleviate the extreme poverty prevailing in rural areas and exert a positive impact on the sustainability of agriculture, the raising of livestock and forest resources.

Furthermore, the PNDH (2012-2016) prioritizes the development of the Caribbean Coast by means of a specific development strategy for the region (2012-2016), which is based on three pillars: (i) to increase the socioeconomic well-being of the population in the Caribbean region; (ii) equitable, sustainable economic transformation that is in harmony with nature; and (iii)

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<sup>20</sup> <http://www.fonadefo.gob.ni/lecciones.php>

<sup>21</sup> A clear example is the degraded lands in the Central and Pacific regions of the country, now known as the “dry corridor.”



strengthening of autonomous institutionality for the purpose of achieving human development.

The main objective is to attain an economic, political and social reality that restores the rights of inhabitants of the Caribbean Coast and the Alto Wangki-Bocay (AWB) area by providing good quality basic human services and equitable and fair productive opportunities, based on autonomous, dynamic, well-coordinated citizen participation that contributes to reducing poverty and improving human development on the Caribbean Coast by 2020 (PNDH 2012, paragraphs 283 and 284).

In keeping with the PNDH, the REDD+ readiness process also prioritizes the Caribbean Coast. This region meets the requirements to establish an ERPD, as it includes indigenous territories, the largest natural forest areas in Central America, and the agricultural frontier is advancing mainly on the forest resources in the area.

The process of preparing and designing ENDE-REDD+ has been a unique opportunity to strengthen not only the forestry sector but also the environmental and agricultural sectors in Nicaragua, due to the debate surrounding the direct and underlying causes of deforestation and degradation, as this led to a holistic review of the problem regarding the loss of forests at national and regional levels. There follows a description of some of the policies and strategies that were considered during the design of the ENDE-REDD+ strategy and that are related to forestry, conservation, natural resources management and agricultural production:

- A National Sustainable Development Policy for the Forestry Sector, based on I Decree No. 69-2008<sup>22</sup>. This policy mandates, among other matters, the creation of a National Environmental Fund in support of the National Forestry Development Fund (FONADEFO<sup>23</sup>). This fund has for its aim to implement a financing mechanism that would operate as an incentive for forestry production and protection.
- **National Environmental Policy and Climate Change**, among whose guidelines are Sustainable Land Management, meaning to advance with physical planning with an emphasis on hydrographic basins, so as to ensure adequate planning of soil and space in both rural and urban areas.
- **National Fuelwood and Coal Strategy**, which began in 2011, is based on sustainable production by the gradual establishment of energy forest plantations; agro-forestry and silvo-pastoral systems; and the promotion of the rational and efficient use of fuelwood and charcoal.
- The **Caribbean Coast and Alto Wangki and Bocay Development Strategy** is based on the effort to articulate and complement national, regional and territorial public policy,

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<sup>22</sup> <http://masrenace.wikispaces.com/file/view/Asesoría+Mecanismos+e+Instrumentos.pdf>

<sup>23</sup> [www.fonadefo.gob.ni](http://www.fonadefo.gob.ni)



privileging, among other things, the recovery of values at community and personal levels, such as respect for Mother Earth and living in harmony with nature as a principle meant to inspire life in common.

- The **National Gender Policy** has fostered the participation and empowerment of women as an element in economic and social development. More women are now in leadership or decision-making positions. Also worth noting is participation by women in reforestation activities, which reached 47% of the approximately 400,000 participants nationwide each year (Table 1, INAFOR, 2015).
- The **General Physical Planning Policy**<sup>24</sup> was drawn up in 2001 with the aim of implementing a number of measures geared towards solving problems in the territory and establishing a National Territorial Planning System. Its application in intervention processes leading to the Sustainable Use of Natural Resources and the prevention and mitigation of natural phenomena is closely related to other state policies that seek to improve the population's standard of living and reduce extreme poverty. Among these policies are the population policy; environmental policy; decentralisation policy; and the poverty reduction policy.
- The **General Framework on Land Policy**<sup>25</sup>, was approved in 2006. This is a state policy designed with a comprehensive vision of the country's development. It has for its central objective to promote the juridical and physical security of land tenure by fostering sustainable land use. It was formulated through a consultative process that included the analysis of proposals and a consensus-based definition of priorities among different political, economic, social and technical actors for the purpose of taking decisions keyed to the management of land tenancy and the consolidation of rights to land, in an effort to ensure the economic development of Nicaraguan households.

In consonance with GRUN policies, the following plans, programmes and projects are being implemented:

- Among its policies geared towards rural development issues the **National Human Development Plan (PNDH)** proposes the following: provide financing and technical assistance to small farmers; employment; legal security regarding property; and adequate roads on which bring their produce to market. Poverty reduction policies aim to ensure broad-based economic growth and structural reform; investment in human capital; protection of vulnerable groups; governance and institutional

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<sup>24</sup> [http://www.ineter.gob.ni/Ordenamiento/politica\\_general.html](http://www.ineter.gob.ni/Ordenamiento/politica_general.html)

<http://legislacion.asamblea.gob.ni/normaweb.nsf/b92aeea87dac762406257265005d21f7/c60847e89df22a6e062570a100581b30?OpenDocument>

<sup>25</sup> [http://legislacion.asamblea.gob.ni/normaweb.nsf/\(\\$All\)/2B4CCA2786FCD7AF062575610054C2C3?OpenDocument](http://legislacion.asamblea.gob.ni/normaweb.nsf/($All)/2B4CCA2786FCD7AF062575610054C2C3?OpenDocument)



development; and three cross-cutting issues: (i) the environment and ecological vulnerability; (ii) social equity; and (iii) decentralization.

- **National Forestry Programme<sup>26</sup>(PNF):** In its 2010 version the PNF applies criteria taken from a variety of international initiatives concerning forests, and has for its main goal to improve the quality of life of the population, mainly small and medium producers who live from agriculture and forestry, indigenous peoples and ethnic communities. The programme seeks to promote environmental conservation, sustainable production and food security and sovereignty, using a physical planning approach. The programme is being implemented through several planning instruments, including the National Reforestation Plan, the National Forest Fire Prevention and Control Plan, and the National Fuelwood and Coal Strategy (2011-2021). The PNF must now be updated so as to incorporate the proposals put forth in ENDE-REDD+.
- The **National Reforestation Plan<sup>27</sup>** was begun in 2007. Its goal is to raise awareness among the population regarding the importance of reverting the process of deforestation, increasing forest cover and maintaining/improving the production of environmental services provided by forests, including carbon capture and storage. The reforestation campaigns being implemented under this plan, known as Reforestation Crusades, are executed by the National Forestry Institute (INAFOR) and MARENA. Between 2007-2015 a total of 1,236,878 hectares were reforested (Table 1, Figure 2).

Currently, the National Reforestation Crusades continue with the participation of several public and private institutions, as follows: universities, ministries, reforestation companies and environmental organisations, among many others. In June 2017 the participation of the Nicaraguan Army was worthy of note.<sup>28</sup>

**Table 1** Citizen Participation in Reforestation Activities 2010–2015.

Gender	2010	2011	2012	2013	2014	2015	Annual average
Men	265,012	116,800	215,000	174,154	240,078	253,748	210,799
Women	211,971	83,200	185,000	230,853	215,142	199,373	187,590
Total	476,983	200,000	400,000	405,007	455,220	453,121	398,389

<sup>26</sup>[https://www.google.com.ni/?gws\\_rd=cr&ei=aJx1V4HgFYi9eL6kugP#q=programa+forestal+nacional+de+nicaragua](https://www.google.com.ni/?gws_rd=cr&ei=aJx1V4HgFYi9eL6kugP#q=programa+forestal+nacional+de+nicaragua)

<sup>27</sup>[https://www.google.com.ni/?gws\\_rd=cr&ei=aJx1V4HgFYi9eL6kugP#q=plan+nacional+de+reforestacion+en+nicaragua](https://www.google.com.ni/?gws_rd=cr&ei=aJx1V4HgFYi9eL6kugP#q=plan+nacional+de+reforestacion+en+nicaragua)

<sup>28</sup> <https://www.el19digital.com/articulos/ver/titulo:58749-ejercito-de-nicaragua-participa-en-cruzada-nacional-de-reforestacion>





Figure 2 Reforestation during 2007 - 2015 (in ha).



- **National Forest Fire Prevention and Control Plan:** This is an instrument that is renewed on an annual basis and articulates strategic interinstitutional efforts which are coordinated through a commission made up of entities such as CD-SINAPRED, INAFOR, MARENA, Civil Defence, the Ministry of Education (MINED), Fire-fighters, the Office of the Public Prosecutor (PGR) and the National Police (PN).
- The **Production, Consumption and Commerce Plan 2016-2017** promotes nature-friendly, sustainable production, preserving forests, making rational use of water, using inputs, fertilizers and pesticides that reduce damage to the land and protect biodiversity.
- The **National Strategy for the Reconversion of Cattle-Ranching** uses an agroecological systems-based approach in order to guide Nicaraguan cattle-ranching toward becoming a component in the generation of good quality and safe products and subproducts, promoting consumption, Food and Nutritional Security and Sovereignty, the generation of income and hard currency by promoting processes of agroecological production and good industrial practices using traceability systems.

These strategies and national plans are put into practice by means of a number of projects and programs in agricultural foods and production, natural resources management and the promotion of good agro-environmental practices in the country. These initiatives seek to contribute to the restoration of rights, with an emphasis on access to resources by rural, indigenous and afrodescendant communities, a priority of the Nicaraguan government.

Among the programmes and projects currently being implemented are NICADAPTA<sup>29</sup>, AGRIADAPTA<sup>30</sup>, PROCACAO<sup>31</sup> and CAVAMA<sup>32</sup>. Also worth mentioning are the experiences

<sup>29</sup> <https://operations.ifad.org/documents/654016/8e6416a6-0476-4596-87e5-abf9aa6be128>

<sup>30</sup> <https://www.eda.admin.ch/countries/nicaragua/es/home/cooperacion/proyectos.html/content/projects/SDC/en/2015/7F09391/phase1?oldPagePath=/content/countries/nicaragua/es/home/internationale-zusammenarbeit/projekte.html>

<sup>31</sup> <http://www.economiafamiliar.gob.ni/?p=1991>

<sup>32</sup> <http://www.elnuevodiario.com.ni/economia/416935-embajador-ue-comprueba-avances-proyecto-cavama/> (News regarding CAVAMA, January 2017).



generated by projects whose cycle has concluded, such as CRISSOL<sup>33</sup>, Programa Apanás-Asturias<sup>34</sup> and NICARIBE<sup>35</sup>. These were very good experiences and will be of value when defining strategic ENDE-REDD+ actions in the territories, and above all when it comes to taking into account the lessons learned through the implementation of these programs and projects.

The ENDE-REDD+ strategy is interrelated with these public policy instruments and includes the national and/or regional strategies, plans and programs currently being implemented or still in force (Figure 3).

**Figure 3** Relation between the ENDE-REDD+ strategy and other national strategies and plans



## 2.2 Implementation by phases of ENDE-REDD+

Nicaragua has prepared itself to undertake actions by phases, as it proceeds to gradually implement its ENDE-REDD+ national programme and strategy. To that end, the country was

<sup>33</sup> <http://plataformacelac.org/programa/2> (Food and Nutritional Security Platform)

<sup>34</sup> <http://www.marena.gob.ni/index.php/programas-ambientales/en-ejecucion/28-cambio-climatico/84-programa-de-manejo-integrado-de-la-cuenca-apanas-asturias-gef-bid-ni-x1005-ni-t111-2012-2016>

<sup>35</sup> NICARIBE, Development of Agricultural, Fishery, and Forestry Productive Systems in Indigenous Territories in the Autonomous Regions of the North and South Caribbean Regions. Summarised in: <https://youtu.be/W89kuDdocrM> [http://legislacion.asamblea.gob.ni/SILEG/Iniciativas.nsf/0/262aaaf633e87bd70625792e006d0733/\\$FILE/CONVENIO%20FINANCIACION%20No.%20I-830-NI%20FIDA%20IDR%20NICARIBE.pdf](http://legislacion.asamblea.gob.ni/SILEG/Iniciativas.nsf/0/262aaaf633e87bd70625792e006d0733/$FILE/CONVENIO%20FINANCIACION%20No.%20I-830-NI%20FIDA%20IDR%20NICARIBE.pdf)



divided into three regions: Pacific, Central-Northern and Caribbean Coast (Figure 4). During the design of ENDE-REDD+, the guidelines and strategic actions were put forth that are considered suitable for each region as regards implementation of ENDE-REDD+, with a 22-year horizon in view (2018 a 2040).

There follows a description of the prioritisation of the three regions, separated into three work phases in the ENDE-REDD+ process:

- (i) For the first implementation phase the North and South Autonomous Regions on the Caribbean Coast were prioritised (RACCN and RACCS, respectively), as were the BOSAWAS Biosphere Reserve and the Indio-Maíz Biological Reserve. Taken together, these contain 82% of the country's natural forest and the largest continuous areas of closed or primary forests. In addition, the so-called agricultural frontier is advancing strongly towards these areas, and this is where deforestation and forest degradation are at their most intense. From hereon in, this part of the country shall be referred to as the PRE-CBI region (see Box 1).

PRE-CBI is the area of the country that is currently included in the design of the Emissions Reduction Programme Document (ERPD) and is slated to receive payment-for-performance. An international technical team supports specialized studies being undertaken in these parts of the country on issues such as the causes of deforestation and degradation, an analysis of land tenure, a mapping of investments, the reference level, displacements and reversions, among other subjects. The experience generated through the programme will contribute to advance with other, similar initiatives in the country's other regions.

- (ii) The second implementation phase will focus on the North-Central region, which borders the Caribbean Coast land area and still harbours significant natural forests, including the largest areas of natural coniferous forests. It is also the most productive region in the country, as it contains the largest areas of annual and perennial crops.
- (iii) The final stage of implementation will be in the Pacific region, as it is here that the least amount of natural forests has been conserved. Still, there are some important private and public protected areas (parks), and the last remnants of natural dry forest.

The location and size of these regions can be seen in Box 1, below.



Box 1. Implementation of ENDE-REDD+ in three phases.



**Figure 4** Physiographic regions and regions selected to carry out the ERPD in Nicaragua.

N.b.:

This map highlights the PRE-CBI region (ERPD area).

The **Regional Programa for Reduction of Emissions on the Caribbean Coast and the BOSAWAS and Indio Maíz biosphere Reserves (PRE-CBI) or carbon accounting area.**

**PRE-CBI** includes the autonomous regions on the Caribbean Coast, the BOSAWAS Biosphere Reserve and the Indio Maíz Biological Reserve. In administrative terms, this means the RACCN and RACCS and six municipalities: Wiwilí de Jinotega, El Cuá, San José de Bocay (province of Jinotega), Wiwilí de Nueva Segovia (province of Nueva Segovia), El Castillo and San Juan (province of San Juan de Nicaragua).

**Phase 1 (blue)**

**Caribbean Coast region:**

Size: 60,7401. 04 km<sup>2</sup>

Includes the North and South Caribbean Autonomous Regions.

**Phase 2 (green)**

**Central-Northern**

**Region:** Size: 41, 677.53

km<sup>2</sup>

Includes the provinces of Estelí, Madriz, Nueva Segovia, Matagalpa, Boaco, Chontales and Río San Juan (only the municipalities of El Almendro, Morrito, San Carlos and San Miguelito).

**Phase 3 (beige)**

**Pacific Region:**

Size: 18,313.23 km<sup>2</sup>

Includes the provinces of Chinandega, León, Managua, Masaya, Granada, Carazo and Rivas.



### 2.3 Overview of progress made on the ENDE-REDD+ readiness process

In Nicaragua the REDD+ readiness process carries implicit the articulation of interinstitutional and multisectoral levels, with dynamic bottom-up and top-down approaches, by means of platform built specifically for REDD+ issues in Nicaragua. This approach has favoured decision-making in ENDE-REDD+ processes. However, it is acknowledged that more participation, cohesion and effectiveness is needed as concerns communication and coordination between public and private entities interested in supporting the design and implementation of ENDE-REDD+ in the territories. Work will take place during 2017-2018 to overcome these weaknesses.

There follows a description of the progress made in the different phases of REDD+ in Nicaragua. The first phase refers to ENDE-REDD+ readiness and design (1.7.1); the second to the implementation of REDD+ (1.7.2). In the current context of the ENDE-REDD+ process, these two phases are concurrent.

### 2.4 Executive summary of ENDE-REDD+ highlights in Nicaragua

During the first year of the grant (2014), implementation of ENDE-REDD+ readiness in Nicaragua involved setting up the Project Implementation Unit (PIU). This took longer than expected. A dialogue got underway with key actors and a structure for participation and organisation was defined in participatory fashion during the preparation of the R-PP. This allowed MARENA to update itself and make considerable progress on the consultation, participation and social dissemination during the second year.

One important milestone which was reached in 2015 was the design of an Emissions Reduction Programme Idea Note (ER-PIN) and its acceptance by FCPF. This was a very significant achievement because it was the result of a collective effort involving cooperation and consensus-reaching between MARENA, the SERENAs, autonomous government authorities and representatives of the Indigenous Territorial Governments (GTI) in the North and South Autonomous Regions on the Nicaraguan Caribbean Coast. During the second year, MARENA carried out intensive nationwide communications campaigns, as well as dialogue and training on ENDE-REDD+.

In January 2016, the third year, a *“Letter of Intent for the Preparation of a Programme focused on Reducing Emissions due to Deforestation and Environmental Degradation.”* In August 2016 the Mid-Term Report was submitted and the PC approved the request for the additional funds needed to complete the readiness process. MARENA has committed itself to advancing in parallel with ENDE-REDD+ readiness and the regional emissions reduction programme on the Caribbean Coast, the BOSAWAS biosphere reserve and the Indio Maíz biological reserve. To that end, an Emissions Reduction Programme Document (ERPD) is being drawn up.



In 2017 Nicaragua will present the Readiness Package, as it seeks to obtain the approval from the CP of the FCPF, a requirement before introducing the ERPД for approval. A first draft of ENDE-REDD+ was presented in February 2017, when the first national consultation with indigenous and afrodescendant peoples living on the Caribbean Coast and the PI-PCN took place. Other important actors have joined the process of building the ENDE-REDD+ in an effort to support MARENA and ensure it is able to keep its national commitments. Among these are governmental actors such as MHCP, SPPN, SDDC, INETER, INAFOR, MAG, INTA and MEFCCA, as well as regional entities such as the autonomous governments of the North and South Caribbean Regions (GRACCN and GRACCS, respectively), the two regional councils (CRACCN and CRACCS) and the 23 Indigenous Territorial Governments (GTI).

Nicaragua has sought to take advantage of the potential synergies in the development of an ERPД, especially as regards the search for additional financing regarding climate change. The PIU has been strengthened by contracting staff that has been assigned to the MARENA and SERENA teams. This allows both for expanding their geographic coverage and deepening the readiness actions in the new zones selected in the Pacific, Central and Northern part of the country.

The physical-financial execution of the Project as it reaches the mid-term stage is satisfactory, having reached an accumulated percentage of 82.25%. These funds were used to: (i) enable the Project Implementation Unit (PIU); (ii) procure technical and technological equipment in RACCN and RACCS; (iii) training for institutions involved in the ENDE-REDD+ readiness process such as MAG, INETER, INAFOR, MHCP and the Secretariat for Public Policy of the Presidency; and (iv) dialogue and consultations with indigenous and afrodescendant peoples, local organizations, productive sectors and associations (i.e. cattle-ranchers and reforestation companies).

*There are three important strategic challenges in the design of ENDE-REDD+.*

The first is achieving *inter-sectoral co-ordination between the ministries of agriculture, the environment and energy*. The incentives regarding payment-for-performance coming from forests are still very modest, and do not yet attract the attention of the agriculture, livestock and forestry sectors.

The second challenge is the *strengthening of intersectoral coordination in order to tackle the problems of deforestation and forest degradation*, which are rooted in many different sectors. And, finally, the third challenge is to *design multisectoral coordination*. Although REDD+ enjoys support and political will at the highest level of government, it has taken a long time to ensure adequate communication channels. It is acknowledged that the REDD+ readiness process requires a complex structure, and it is fundamental to fine-tune coordination in order to be effective as regards its implementation.



Nicaragua aspires to design incentives that effectively contribute to changing the behaviour and attitudes of the various types of users or agents responsible for changes in soil use and natural resources management (forests, water, soils, etc.). These incentives are intended to contribute to the struggle against the direct and underlying causes of deforestation and forest degradation. The development of these strategic challenges is complex, and this is why multisectoral analytical capacities are needed.

### **Box 2. Important aspects of the ENDE REDD+ process in Nicaragua**

There are several positive aspects worth noting in the Nicaragua ENDE-REDD+ readiness process. Seven of the most noteworthy are highlighted below:

- (i) Political support at the highest level for carrying out the readiness process.** The ENDE-REDD+ readiness process has received direct support from the Office of the Presidency, through the Private Secretariat for National Policy (SPPN), the Secretariat for the Development of the Caribbean Coast (SDCC) and the Ministry of Finance and Public Credit (MHCP). These three institutions have provided both political and institutional support to MARENA, the lead entity for the ENDE-REDD+ readiness process in Nicaragua.
- (ii) Definition of ENDE-REDD+ actions.** The process of studying the causes of deforestation and degradation allowed for actors to analyse the measures it is necessary to take in order to reduce their direct and underlying causes, while simultaneously contributing to the mitigation and adaptation of natural resources to climate change and contributing to alleviate poverty in rural communities that depend mainly on forests.
- (iii) Design of a Strategy to reduce emissions from deforestation and forest degradation in Nicaragua (ENDE-REDD+).** The ENDE-REDD+ strategy has been designed with a 22-year horizon in view (from 2018 to 2040). Guidelines and strategic measures are included which must be socially, environmentally and economically viable and aim to reduce deforestation, forest degradation, while promoting the conservation of forest resources, sustainable forest management, improving the carbon stored and providing economic options that reduce poverty.
- (iv) Calls for meetings with numerous soil use stakeholders** to discuss the need to tackle the problem of deforestation and the role, risks and benefits which REDD+ carries implicit for each stakeholder group. One important result of this dialogue was the collective construction of a participatory scheme for the design of ENDE-REDD+, as well as elements such as the communications platform and the approach based on dialogue, alliances and consensuses reached. These have been key to the REDD+ readiness process.
- (v) Awareness-raising regarding the environmental problems** which cause deforestation, forest degradation and the failure to promote reforestation and natural forest regeneration. It is necessary to make visible there is a need to



create and strengthen national, regional and territorial capacities to achieve the collective construction of ENDE-REDD+.

- (vi) **Intense and constant dialogue between the parties involved.** This dialogue allowed for laying the foundation for the needed organisation and consultation, as well as to develop the other ENDE-REDD+ pillars. Through an on-going dialogue it was possible to develop strategic options, consult on a management framework for environmental and social impacts and advance on the definition of an ENDE-REDD+ implementation framework. The information exchange, dialogue and consultation platform, which was designed during the first stage of the R-PP continues in force, although there have been a few changes intended to improve the flow of information, communications and decision-making (see Figure 2).
- (vii) **Inclusion of public multisectoral entities to the dialogue platform and decision-making, in order to design the ENDE-REDD+ strategy and its 2018-2040 Plan of Action.** The current dialogue and decision-making platform, which includes the ENDE REDD+ coordination and technical tables, counts with participation from institutions from diverse sectors, such as the environment, forestry, agriculture and livestock, property and physical planning, municipal development, risks and natural disasters, security forces, regional governments, indigenous and afrodescendant territorial governments and public finance. Through this inclusive, multi-institutional and multisectoral approach, GRUN proposes that the ENDE-REDD+ be a state proposal that is cross-cutting to other sectoral development strategies and the PNDH.

#### 2.4.1 Contribution to the first phase of ENDE-REDD+ (readiness)

The estimated MARENA budget for the readiness was of US\$11 million. However, to date only FCPF has contributed directly to the ENDE-REDD+ budget. Notwithstanding the foregoing, other partners are making substantial contributions to this process. There follows a summary of the contribution made by partners in both phases.

Some organisations are collaborating by helping to increase understanding of the problem and contributing to the incorporation of knowledge in planning as regards the use and exploitation of natural resources. The ENDE-REDD+ design has benefited greatly from the progress made in the autonomous regions on the Caribbean Coast as concerns climate change and forests. The recent demarcation and titling of indigenous territories, for example, has laid a solid foundation for carrying out the consultation. This experience made for effective participation of hundreds of local actors in the preparation of the North Caribbean Regional Climate Change Strategy, as well as the Regional Forest Development Strategy.

Knowledge also continues to be generated as concerns the distribution of benefits in indigenous communities as well as territorial and community governance. On this matter, it is worth highlighting the substantial progress made regarding the environmental analysis





undertaken in RACCN, made possible with support from the Forest and Environment Consultative Committee (CCF-A), a platform for dialogue and coordination that has been working uninterruptedly since 2010 and which works closely with local entities such as CADPI<sup>36</sup> and Masagni, among others.

CCF-A is working on an initiative to incorporate knowledge to the planning of forest resource use and exploitation. In this framework, plans of action have been prepared that include forest restoration.

MARENA has entered into cooperation agreements with national universities and international projects (i.e. REDD+ CCAD-GIZ), which work on ENDE-REDD+, and entered upon agreements with each of the two autonomous regions (RACCN y RACCS).

In 2013 MARENA signed a one-year Memorandum of Understanding (MoU) with INAFOR and the World Forestry Institute at the University of Hamburg, Germany. This collaboration had for its objective to provide technical and financial support to carry out part of the resampling of permanent plots which were established during the National Forest Inventory. This activity allowed for monitoring changes in forest cover and soil use, as well as to evaluate the growth of forest species at the various sites.

#### **2.4.2 Contribution to the second phase of ENDE-REDD+ (implementation)**

There follows a description of a few examples of initiatives that are in the process of implementing early activities that will contribute to the development of ENDE-REDD+. In addition, a mapping of advocacy work and potential areas in which some of the national initiatives will be located are shown. These may be considered to be funds complementary to ENDE-REDD+ and the ERPD (Figure 5):

- The Inter-American Development Bank and Swedish Development Cooperation are carrying out a Project (2015-19) that applies environmental compensation incentives and mechanisms intended to promote the protection of water, forest and biodiversity resources (USD 449,600.00)
- With GEF funds the government is supporting forest regeneration in twelve protected areas (parks) and biological corridors in the Pacific, Central and Northern regions of Nicaragua.
- GIZ supported a Project aimed at indigenous populations, the goal of which was to promote agroforestry systems (USD 700,000.00). The most recent of these projects is the Timber Value Chain (CAVAMA), a multisectoral, nationwide Project that consists of providing incentives for forest restoration (€20 million). It is financed by the European Union. See Annex 6 for more information on these sources of financing.

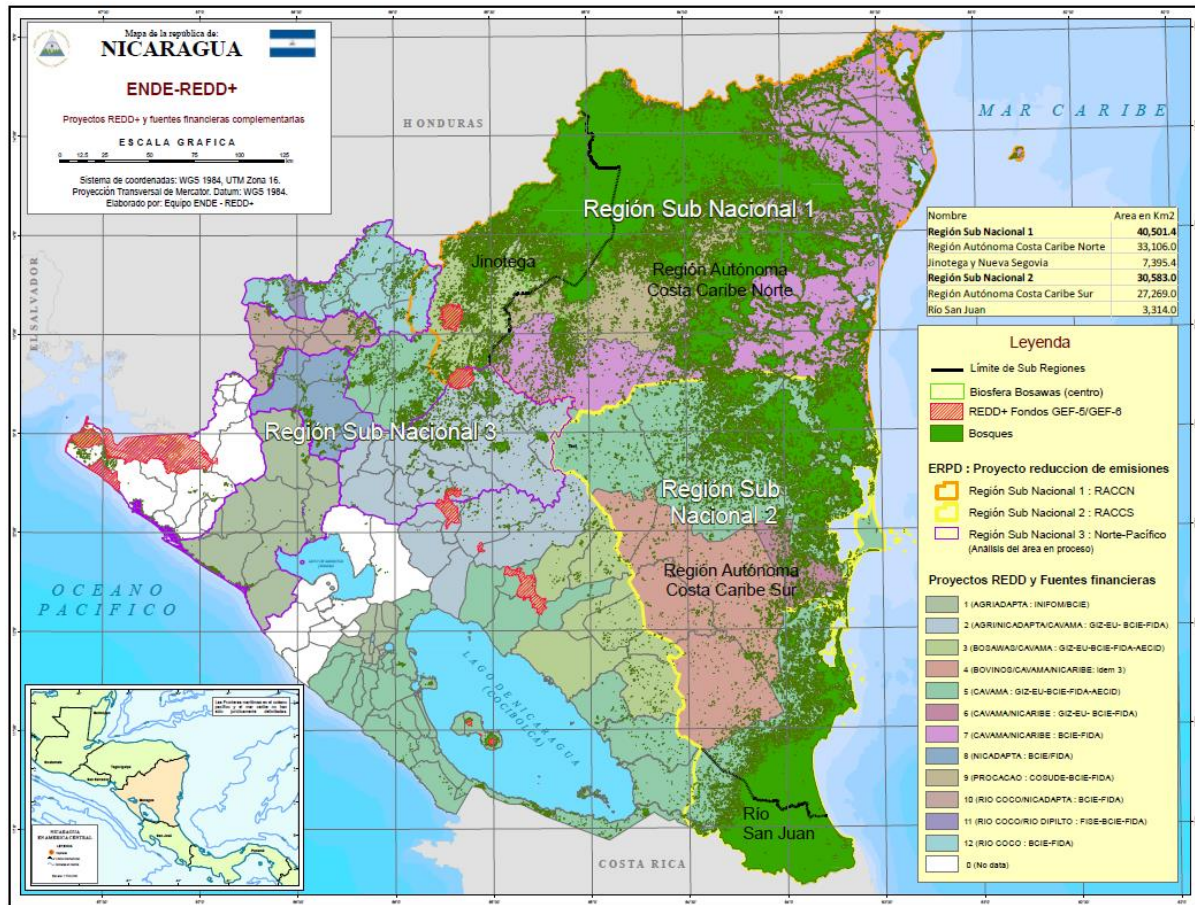
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<sup>36</sup> <http://www.cadpi.org/>





**Figure 5** ERPD projects and complementary financial sources that contribute to ENDE-REDD+ activities in Nicaragua (see w/ 200% de zoom).



### 2.4.3 Main steps forward in the ENDE REDD+ strategy

#### Component 1. Organization and Consultations for Readiness

The organisation and coordination of the interinstitutional and multisectoral readiness process has enjoyed support and political will at the highest level. Through SPPN in Nicaragua, GRUN has provided institutional support to MARENA, which has the mandate to lead the REDD+ readiness process, accompanied by other ministries and institutions such as MHCP, INETER, INAFOR, the autonomous regional governments and the indigenous and afrodescendant territorial governments, with a view towards consolidating intersectoral coordination with other public and private entities. This entails expanding participation by other public institutions, environmental organisations, producer associations, rural communities, indigenous and afrodescendant ethnic groups and associations of cattle-ranchers and reforestation companies.

The ENDE-REDD+ strategy (2018 to 2040) is being designed by means of a broad-based, participatory process that seeks to reach consensus among the parties involved. During the



REDD+ readiness process, the principle of free, prior informed consent was put in practice as regards the Miskitu, Mayangna, Ulwa, Creole, Garifuna and Rama peoples, as well as the Council of Indigenous Peoples of the Pacific, Central and Northern regions of the country. Thus far in the context of ENDE-REDD+ there have been 108 events, both regional and national, with a total of 6,946 participants, (35% women, 32% young adults, 49% members of indigenous and afrodescendant peoples). In general terms, the Communications Strategy in the Caribbean Coast Autonomous Regions and other places in the Pacific, Central and Northern regions have been strengthened.

The MHCP and SPPN have accompanied the readiness process by prioritising the search for investments with which to put the PRE-CBI in practice, as well as searching for green funds intended to ensure the sustainability of the ENDE-REDD+ Programme. Progress has been made as concerns articulation with other efforts to obtain funds that contribute to reduce deforestation and forest degradation. These initiatives have support from Swiss Development Cooperation (SDC), IADB, IFAD, GEF, GIZ and the EU, which are financing productive development and adaptation to climate change programmes and projects (see Section 1a and Annex 4).

As an outcome of the dialogues and debates held between MARENA, regional entities and the various actors (i.e. leaders of ITGs, authorities of the RACCN and RACCS autonomous regions, and regional technicians) a mechanism has been designed to strengthen communication (for bottom-up feedback). This will allow for receiving and dealing with any concerns or complaints these participants may have. This mechanism is national in scope, although in this first stage the focus has been more on rolling it out in the PRE-CBI regions. It should be mentioned that progress has been made in early dialogue with actors in the Pacific, Central and Northern Regions, and that there is a road map by which to advance with the studies and dialogues as needed during 2017.

## **Component 2. ENDE-REDD+ Programme Readiness**

Nicaragua has completed three studies that are key to the design of an ENDE-REDD+ strategy, as follows: *Causes of Deforestation and Forest Degradation at National and Regional Levels; Legal Framework and Public Policies* (which includes aspects regarding rights, use and enjoyment of natural resources in communal land and an analysis of forests vis-à-vis carbon ownership); and a *Land Tenancy and Natural Resources* study, which concentrates on the autonomous regions on the Caribbean Coast, the Alto Wangki Bocay and Río San Juan.

These studies served to facilitate understanding and discussion on the dynamics and governance of land use, the magnitude and territorial extent of the fundamental causes, direct and indirect (underlying), historical and current of deforestation and forest degradation in Nicaragua. Likewise, there was progress as concerns the prioritisation of strategic action guidelines and measures, the identification of barriers to the implementation



of ENDE-REDD+, the definition of social and environmental impacts and the actions necessary to mitigate potential risks.

Since late 2016 and to date progress was made also on specific studies in the field of accountability or PRE-CBI (ERPD). The Environmental and Social Management Framework (MGAS) was completed and is a participatory output. Its initial version was consulted with the various actors and representatives in February 2017. The MGAS lays the necessary foundation for implementation of the needed safeguards for the implementation of ENDE-REDD+.

For the purpose of following up on compliance with safeguards, there is a Geographic Information System (GIS) design soon to be validated by the participants themselves. It is linked to the ENDE-REDD+ Monitoring System.

As concerns the execution framework, an analysis has begun on the sharing of benefits. It will be based on the experience of the MDL projects and that of the National Forest Institute with the National Forest Development Fund (FONADEFO). Nicaragua has made considerable progress in its studies and analyses of the legal framework, environmental policies and guidelines for the implementation of the ENDE-REDD+ Programme. The results indicate that there are clear rules and regulations that will allow for the construction of an implementation mechanism that is clear, equitable and efficient for the participation and distribution of benefits derived from REDD+, and it is expected to advance along these lines in 2017-2018.

### **Component 3. Forest emissions reference level / Forest reference level**

The main steps forward have been the preliminary development of a Reference Level (NREF/NRF) for the 2005-2015 period and the development of a process intended to strengthen capacities on issues related to said Reference Level. This is to be done through interinstitutional technical tables and regional teams during 2015-2016. In the first phase of readiness the technical guidelines in support of NREF were consolidated (i.e. map validation protocol, definition of national classifications, definition of types of forests, among others).

Currently a MRV technical table has been consolidated and national coverage maps have been validated in order to standardise the methods applied and estimate classification errors, as well as errors in the methods applied. (Activity Data). National forest inventory data were used to update emission factors and preliminary NREF estimates.

The Third National Communication Project (TCN) is carrying out several studies that will lead to the publication of the third Greenhouse Gases Inventory (INGEI). This process contributed to generating the foundation for strengthening technical capacities used to estimate INGEI in the Agriculture, Forestry and Other Land Use Sectors (AFOLU) This has allowed for obtaining preliminary data on emissions and absorptions of data regarding activities in Nicaragua, as well as keeping consistency with the national accountability reporting process as concerns



INGEI and which are reported in the National Communications. Nicaragua expects to present its NREF to the UNFCCC in 2018.

#### **Component 4. Forest Monitoring System and Information and Information on Safeguards**

The design of the Monitoring System and its subsystems was concluded (forests, joint benefits, safeguards). These have been validated by the MRV technical table at national level. Institutional roles were defined and methods are being explored to include an early warning system and institute community monitoring. During 2015-2016 an updated diagnostic of technological needs was developed at institutional level. It reflects the progress made and also the gaps waiting to be filled so as to boost the efficiency of institutional actions. At national level, progress was made in certain aspects of the third INGEI, including the publication of maps of potential and current land use (2014 and 2015) and a National Reforestation Plan. There is now a wide variety of national data with spatially explicit information on variables such as soils, soil use, the climate, the environment, etc.

### **III. Regional Emissions Reduction Programme**

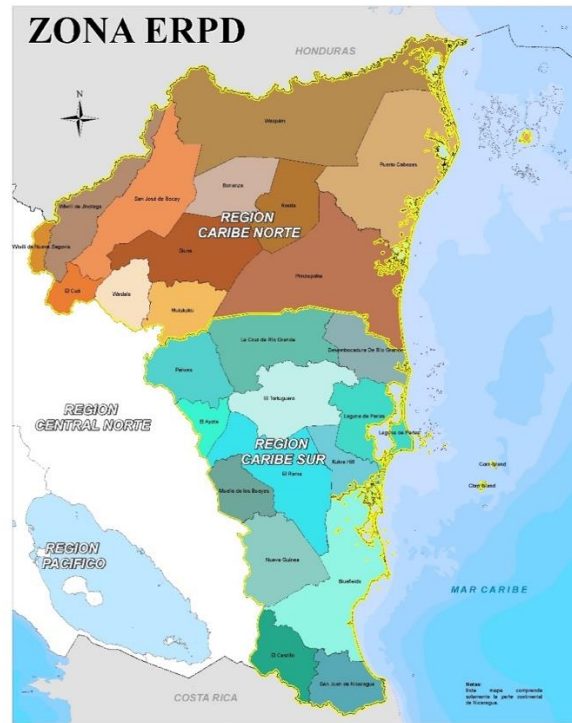
In tandem with the country readiness process a Regional Emissions Reduction Programme for the Caribbean Coast, the BOSAWAS Biosphere Reserve and the Indio-Maíz Biological Reserve<sup>37</sup> (PRE-CBI) was prepared. This Programme has allowed for carrying out the studies necessary to better understand the tendencies as concerns deforestation, the causes of deforestation and forest degradation and the analysis of the legal framework, the situation as regards land tenure and an analysis of regional investments.

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<sup>37</sup> In REDD+ parlance, the term 'regional' means it is sub-national.



**Figure 6** Location of the Regional Emissions Reduction Programme for the Caribbean Coast, the BOSAWAS Biosphere Reserve and the Indio-Maíz Biological Reserve (PRE-CBI)



### Self-evaluation of the REDD+ readiness process

Nicaragua presents the self-evaluation of the REDD+ readiness package based on the “Guide to the FCPF Readiness Evaluation Framework”, which is national in scope and consists of the following:

- A summary of the REDD+ readiness process;
- A report on the process of self-evaluation by the many stakeholders involved;
- The results of the nationwide self-evaluation by the many stakeholders involved;
- An examination of the nationwide self-evaluation by the many stakeholders involved;
- References and specific outputs of the readiness process: REDD+ strategy, MGAS, emissions reference level, national reporting and verification system, among others.

In general, the REDD+ readiness package covers all readiness activities, including the organisation of REDD+ activities, consultations and the preparation of strategies and intersectoral matters such as the government management and environmental and social safeguards. Annexes 2 and 4 detail more information on the progress made to date.

On 28 February 2017, MARENA held the Self-Evaluation Workshop on the REDD+ readiness process, with the participation of many actors and stakeholders. 80 women participated in this workshop, 70% men and 30% women (see annex 17 and figure 43), but more specifically



those of the Caribbean Coast Autonomous Regions and representatives of the Indigenous Territorial Governments in the Caribbean, Pacific, Central and Northern regions. This document describes the methodology and results of the self-evaluation regarding progress made in the readiness process of the National Avoided Deforestation Programme ENDE-REDD+.

During the workshop the actors/stakeholders and joint implementation entities that participate in the ENDE-REDD+ programme followed a Guide, Five thematic groups were formed to evaluate a specific set of indicators: 1) Sub-component 1a, 2) Sub-component 1b, 3) Sub-component 2a-2b, 4) Sub-component 2c-2d and 5) Components 3 y 4. In these working groups the participants reviewed the progress indicators for each subcomponent assigned to them. The description detailed in this self-evaluation can be found in Section III.

The criteria and indicators which were reviewed are based on the FCPF Guide<sup>38</sup>, for which reason the same colours were used for reference: Green = considerable progress made; yellow = good progress, needs to be developed further; orange = more development needed; red = no progress shown as yet (Table 2).

**Table 2** Assessment implemented to evaluate progress indicators for each ENDE-REDD+ sub-component.

Qualitative assessment	No progress shown as yet	More development needed	Good progress but needs to be developed further	Considerable progress made
Quantitative assessment <small>39</small>	< 20%	20 – 50%	50 – 80%	80 – 100%

Section III contains an explanation of the workshop methodology. In section 3.4 there is a description of how it is expected to continue with the self-evaluation in the REDD+ readiness process, for the purpose of including a larger amount of the many stakeholders. In Section IV, paragraph 4.4, shows the consensus among the groups that was presented at the workshop plenary (in brief, it shows a single vote per working group for the set of progress indicators which was evaluated).

For its part, Table 3, below, sums up the average of the individual assessment made by actors / stakeholders / participants in the participatory self-evaluation of the REDD+ readiness process. Said average was calculated based on the sum of individual assessments. This means that the individual opinion of each person was taken into account in order to obtain the group average assessment for each progress indicator.

<sup>38</sup> Guide to the FCPF Readiness Evaluation Framework for the, June 2013.

<sup>39</sup> The quantitative assessment represents the average of the individual assessments of the total number of persons that voted for the same progress indicator. This is why the colours differ from those shown in Table 15.





**Table 3** Progress made in R-PP components and sub-components; progress indicators.

R-PP components, sub-components and progress indicators	Self-evaluation <sup>40</sup> (28 February 2017)
Component 1: Organisation and consultations for readiness	
Sub-component 1a: National ENDE-REDD+ programme management mechanisms	
1. Accountability and transparency	
2. Operational mandate and Budget	
3. Multisectoral coordination and intersectoral collaboration mechanisms	
4. Technical supervision capacity	
5. Funds management capacity	
6. Information Exchange mechanism and compensation for complaints	
Sub-component 1b: Consultation, participation and social dissemination	
7. Participation and intervention of the main stakeholders	
8. Consultation processes	
9. Exchange of and access to information	
10. Implementation and dissemination to the public of consultation results	
Component 2: ENDE-REDD+ Programme readiness	
Sub-component: 2a. Evaluation on land use, factors causing changes in land use, the Forestry Law, policy and management	
11. Evaluation and analysis	
12. Setting priorities regarding direct and indirect causes of barriers to increase forest carbon reserves	
13. Relation between factors causes of barriers and ENDE-REDD+ activities	
14. Plans of action to ensure compliance with rights to natural resources, land tenancy and management	
15. Implications for laws and policies on forests	
Subcomponent: 2b. ENDE-REDD+ strategy options	
16. Presentation and establishment of priorities ref. ENDE-REDD+ strategy options	

<sup>40</sup>

This valuation represents the average of the individual assessments of the total number of people who voted for the same progress indicator, so these colors are different from Table 15.



17. Evaluation of viability	
18. Implications of strategy options ref. existing sectoral policies	
19. Adoption and implementation of legislation/ regulations	
Sub-component: 2c. Implementation Framework	
20. Guidelines for implementation	
21. Benefit-sharing mechanism	
22. REDD+ national record-keeping and activities of the ENDE-REDD+follow-up system	
Sub-component: 2d. Social and environmental impacts	
23. Analysis of matters related to social and environmental safeguards	
24. Design of ENDE-REDD+ strategy as concerns impacts	
25. Environmental and social mgmt. framework	
Component 3: Forest emissions reference level / Reference levels	
26. Demonstration of the methodology	
27. Use of historical data adjusted to current circumstances	
28. Technical viability of the methodological approach and congruency with orientations and guidelines set forth in UN Framework Convention on Climate Change and the Intergovernmental Group of Experts on Climate Change	
Sub-component: 4a. National forestry follow-up system	
29. Documentation of the follow-up approach	
30. Demonstration of early system implementation	
31. Institutional mechanisms and capacities	
Sub-component: 4b. Information system for multiple benefits, other impacts, management and safeguards	
32. Identification of pertinent aspects not related to carbon and social / environmental issues	
33. Follow-up, presentation of reports and Exchange of information	
34. Institutional mechanisms and capacities	

### Comparison of the evaluations of the REDD+ readiness process

Upon comparing the three evaluations which have taken place to date in the REDD+ readiness process, it is worth noting the progress made in most sub-components and under most progress criteria (Table 4). However, there are a number of areas that can still be improved,



both in terms of product development (analysis, documents, etc.), such as the dissemination of these achievements to key actors in the REDD+ readiness process.

It can be said that noteworthy progress has been made since the Mid-Term Review (August 2016), as became clear during the self-evaluation by the actors/stakeholders (28 February 2017). Also encouraging was the ownership being taken of the technical advances made in the EESA and MGAS processes and the design of the ENDE-REDD+ Strategy.

The ENDE-REDD+ Programme Implementation Unit made a major effort to improve many aspects of the consultation, participation and social dissemination, the socialisation of the analysis of the causes of deforestation and forest degradation and the measures required to mitigate them. Also disseminated was information on the social and environmental impacts of REDD+ activities and the progress made in the design of safeguards and non-carbon benefits. All of these aspects were acknowledged by participants during the self-evaluation and were reflected in the assessment of sub-components 1b, 2d and 4b.

**Table 4** Comparison of the three evaluations undertaken regarding the REDD+ readiness process, based on the same methodological guide

Criteria by which to evaluate progress	Mid-Term Report August 2016	ENDE-REDD+ June 2017	Self-evaluation (actors) 28 Feb 2017
Subcomponent 1a: National ENDE-REDD+ programme management mechanisms	Yellow	Green	Yellow
Subcomponent 1b: Consultation, participation and social dissemination	Yellow	Yellow	Yellow
Subcomponent: 2a. Evaluation on land use, factors causing changes in land use, the Forestry Law, policies and management	Yellow	Green	Yellow
Subcomponent: 2b. ENDE-REDD+ strategic options	Orange	Green	Yellow
Subcomponent: 2c. Implementation framework	Orange	Yellow	Yellow
Subcomponent: 2d. Social and environmental impacts	Yellow	Green	Green
Component 3: Reference levels concerning emissions	Yellow	Yellow	Yellow
Subcomponent: 4a. National forestry follow-up system	Orange	Yellow	Yellow
Subcomponent: 4b. Information system on multiple benefits, other impacts, management and safeguards	Red	Yellow	Orange

#### IV. Progress made on REDD+ readiness

The REDD+ readiness process in Nicaragua is governed by the FCPF Readiness Evaluation Framework<sup>41</sup>. The FCPF asks countries to describe the progress made in their country by presenting a REDD+ Readiness Package, which is to contain 5 elements: 1) the REDD+ strategy<sup>42</sup>; 2) the environmental and social management framework; 3) the Monitoring, Reporting and Verification System (MRV); 4) the Forest Emissions Reference Level (FREL); and 5) follow-up on environmental and social safeguards.

This section is a summary of the progress made by each of the components of project TF099264 during the 2014-2017 period. At the beginning of each progress indicator the results of the self-evaluation workshop carried out by the actors/stakeholders is described. The colour at the start of the progress indicator (shaded over the title) reflects the average of individual assessments made by workshop participants.

Each table in the evaluation by indicator is divided into two subjects: ethnic and focus groups. In the description of the assessment of each indicator the average value is shown, according to the individual voting by participants in the focus groups. The columns that refer to ethnic origin are shown only in a descriptive manner, simply to document what ethnic group they belong to. The abbreviations used are shown in tables 5 (institution of origin) and 6 (ethnic origin).

**Table 5** Institutions represented by participants at the National Self-evaluation workshop on the REDD+ readiness process

Institution (public and private)	
<i>MEFCCA (PU)</i>	<i>Reforestation companies (PR)</i>
<i>SERENA (RACC) (PU)</i>	
<i>CRACC (PU)</i>	<i>URACCAN (PR)</i>
<i>GRACC (PU)</i>	<i>CONAGAN (PR)</i>
<i>GTI (PR)</i>	<i>Regional technicians (PU)</i>
<i>PI-PCN (PR)</i>	
<i>SINIA/SIMIAR (PU)</i>	
<i>PU = Public entity</i>	
<i>PR = Private entity</i>	

<sup>41</sup> <https://www.forestcarbonpartnership.org/sites/fcp/files/2013/July2013/FCPC%20framework%207-25-13%20SPA%20web.pdf>

<sup>42</sup> In the case of Nicaragua, the national REDD+ strategy is known as ENDE-REDD+.



**Table 6** Ethnic makeup of participants in the National Self-Evaluation Workshop on the REDD+ readiness process

Ethnic groups	
CR	Creoles
ME	Mestizos
MI	Miskitos
RA	Ramas
UL	Ulwas
CH	Chorotegas

### **Component 1: Organization and Consultations for Readiness**

This component shows intersectoral evidence of the ENDE-REDD+ design and the efforts made by MARENA to roll it out via an inclusive process intended to attract the commitment of key sectors in deforestation and the planning strategy. The vision is that ENDE-RED+ management mechanisms be efficient and help to prepare the country to reduce future emissions.

The main goals of the ENDE-REDD+ readiness process as concerns organisation and national consultation are as follows:

- Maintain efficient functioning of the implementation unit.
- Promote and support dialogue and coordination among actors / stakeholders / participants on issues related to ENDE-REDD+.
- Hold consultations, training and workshops with all involved, in order to ensure an adequate level of participation in preparatory activities, in accordance with a consultation and participation plan.

#### **Sub Component 1a: National ENDE-REDD+ programme management mechanisms**

The REDD+ readiness process in Nicaragua is led by MARENA, the public institution which governs the country's environmental policy. It is charged with administrating the grant and implementing the ENDE-REDD+ programme.

ENDE-REDD+ was designed through a participatory process based on inclusive consensus, as can be seen both by the diversity of participants and the way in which its governance platform is structured (three working groups<sup>43</sup> to hold dialogue, consultations and reach

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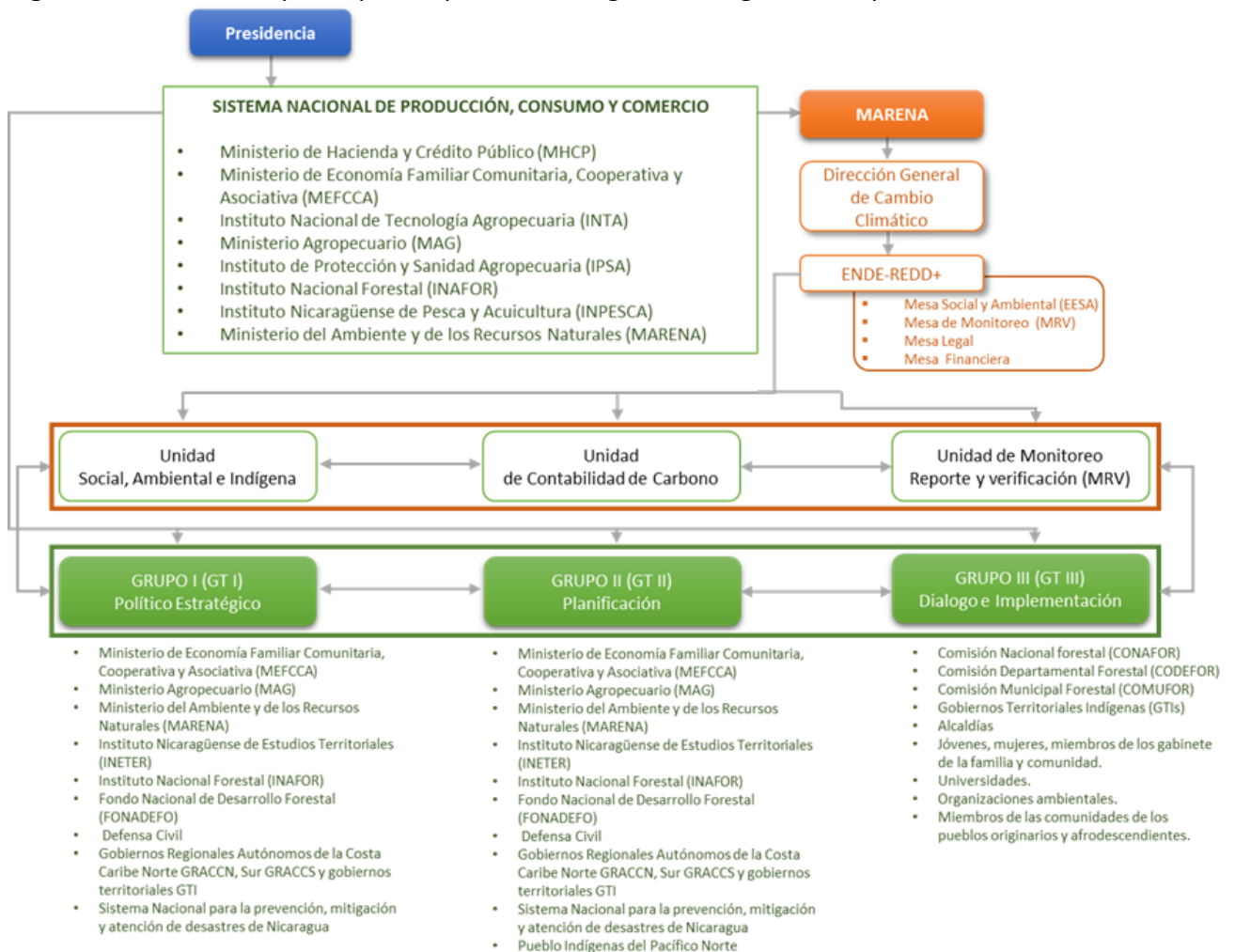
<sup>43</sup> Working Group I negotiates decisions related to public policy and strategic guidelines at the highest level. Working Group II is the technical team; it makes recommendations to Working Group I. Working Group III is an open space in which



consensus (Figure 7). This participatory platform has ensured that multiple actors were involved in decision-making.

The platform has allowed for the participation of different government institutions, environmental organisations, farmers, rural communities, indigenous and afrodescendant peoples, as well as consensus-based decision-making by multiple actors (Figure 7).

**Figure 7** ENDE-REDD+ participation platform designed during the R-PP phase.



### Institutional participation mechanisms

The ENDE-REDD+ institutional process is divided into three working groups (see Figure 3). Dialogue, consultation, and consensus takes place among these three groups. The governance platform allows for participation by different institutions from government,

deforestation stakeholders participate in order to hold dialogues, report and consult on the various studies, instruments and decisions regarding ENDE-REDD+.



universities, environmental organizations, farmers, rural communities, indigenous and afro-descendant people, all of which, and taken together, represent the national, regional and territorial level.

**Working Group 1 (Policy / Strategy):** Negotiates decisions related to public policy and strategic guidelines at the highest level (Presidency) regarding readiness and implementation of ENDE-REDD+, with the aim of reducing deforestation and forest degradation, taking actions or measures in the face of climate change and making sustainable use of forests.

- This Working Group is made up of the heads of government institutions who must deal with climate change and forests, as follows: (i) Ministry of the Environment and Natural Resources (MARENA), which presides; (ii) Ministry of Agriculture and Livestock (MAG); (iii) Ministry of Family, Community, Cooperative and Associative Economy (MEFCCA); (iv) Ministry of Finance and Public Credit (MHCP); (v) National Forestry Institute (INAFOR); (vi) Nicaraguan Institute of Territorial Studies (INETER); (vii) authorities of the Autonomous Governments on the Caribbean Coast; (viii) representatives of GTI in the autonomous regions; and (ix) the Council of Indigenous Peoples in the Pacific, Central and Northern Regions (PI-PCN, SPPN and SDCC).

**Working Group 2 (Planning):** Its role is to advise and make recommendations to Working Group 1 on the technical aspects of ENDE-REDD+. It implements dialogue with participants, provides technical assistance and puts forth needs, concerns and complaints from the various social and productive sectors related to ENDE-REDD+.

- This group is made up of experts from institutions that work on policies related to forests, the environment, climate change, research and technological innovation, as well as information systems, at MARENA, INAFOR, INETER, MAG, SE-SINAPRED, GRAAN, GRAAS, the Nicaraguan Army, the National Police, representatives of indigenous and afrodescendant territorial governments, representatives of indigenous territories in the Pacific, Central and Northern regions, associations of producers involved in the forestry, agriculture and livestock sectors. These contribute to the preparation of the ER-PIN, RMT, MGAS, Map of Actors, causes of deforestation, SNMRV, reference scenarios and ENDE-REDD+.

**Group 3 (Dialogue and Implementation):** This is a group that works on dialogue, consultation and reaching consensus. It allows for the most broad-based participation of participants at national, regional, territorial and communal levels. The Ministry of the Environment and Natural Resources issues the calls for attendance at the various meetings in Nicaragua, with the exception of the two autonomous regions on the Caribbean Coast, where this is done by the regional authorities.

- Group 3 reports, consults and obtains contributions for the different ENDE-REDD+ processes. This group is made up of farmers, women, the young, members of the



Family, Community and Life Cabinets, universities, environmental organisations, the population at large, community members of originary and afrodescendant peoples, representatives of organisations, and associations that work on matters related to forests, climate change and production, public sector institutions, municipal governments and the governments of the autonomous regions.

- Participation in ENDE-REDD+ activities (workshops, work sessions, etc.) is a result of the contacts that exist between GTI, farmers, environmental organizations and others identified on the map of actors. MARENA leadership on the issue of adaptation and mitigation of climate change facilitated acceptance by stakeholders.
- As concerns strengthening the autonomy of the Caribbean Coast regions, the invitation to workshops and work sessions is issued by the autonomous regional governments through the Secretariats for Natural Resources (SERENAs). In the case of the indigenous peoples of the Pacific, Central and Northern regions of the country the invitations are made by the Board of its Council, in coordination with MARENA.

In the sections below, the progress made by these working groups at these three levels of the platform are described. For example, in the section referring to the consultation, participation and social communication (subcomponent 1b, indicator 7) the activities developed by each of the groups and technical working tables (i.e., EESA, MRV), as well as other actors / stakeholders involved in the readiness process, i.e. originary peoples and women.

**Indicator 1: Accountability and transparency**

Results of the self-evaluation workshop:

Ethnic group				Members of working group			
ME	MI	CR	UL	CRACCS	MARENA technicians	SERENAs (RACCN/RACCS)	MEFCCA

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “Good progress, needs more development” to indicator 1.

At individual level, most participants acknowledged there has been considerable progress, given the evidence presented by the ENDE-REDD+ team as concerns accountability and funds management. However, they also pointed out that often the time constraints for fund-raising are a constraint as concerns the development of local activities (i.e. workshops or work sessions). For this reason they requested that MARENA operate the processes in a more expedite and effective manner. Individually, evaluations varied between greens and yellows, but ultimately, as mentioned, there was consensus on the value assigned.

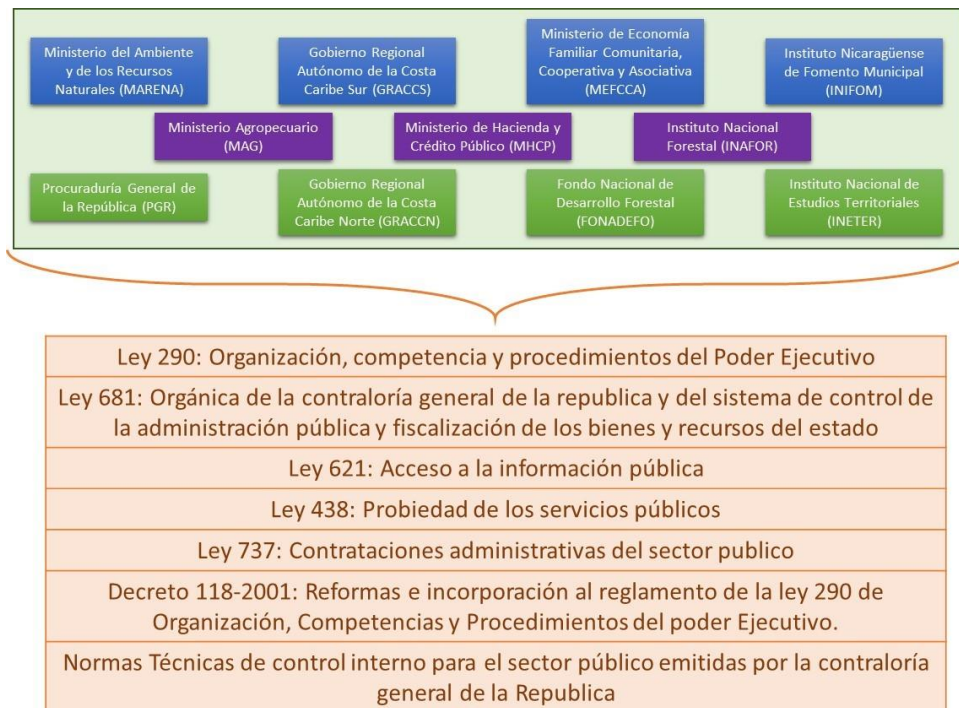
Ethnic groups: Mestizos (ME), Miskitos (MI), Creole (CR), Ulwas (UL)



## Progress on indicator 1

As concerns accountability, Nicaragua has a complete legal framework for acquisitions and financial management. MARENA, like other institutions involved in the ENDE-REDD+ readiness process, is subject to financial controls and obligations regarding accountability to the MHCP, the Office of the Comptrollers General and compliance with the law (Figure 8).

**Figure 8** Legal and normative framework on management, implementation and control of public administration in Nicaragua



In order to ensure there is transparency in procurement, the engagement of human resources and control of state assets and inventories, the institutions must use the Financial-Administrative Information and Management System (SIGFA), which is a GRUN financial administration control mechanism. SIGFA is based on national budgetary regulations and is made up of several subsystems, including the budget, influx of resources, accounting, treasury and an implementation unit subsystem.

All projects, including ENDE-REDD+, are subject to internal and external audits, which are carried out by the Office of the Comptrollers General, the MHCP, and multilateral and international financial organisations such as the World Bank. Furthermore, any person interested can obtain information regarding the behaviour of the ministries through the procedures established in the Access to Public Information Law (Law 621).



The ENDE-REDD+ project has been submitted to the scrutiny of five financial audits (2013, 2014, 2015, 2016 and 2017). The results of the audits show that project implementation is acceptable, with no expenditures being questioned. The following are the most important audit results:

- Expenditures with the appropriate supporting documents are 100% auditable.
- Expenditures not made had appropriate supporting documents and justifications, filed digitally and in hard copy.
- All activities, procurements and operational costs had the required support and justification.
- Project TF099264 has complied with the Operations Manual agreed to by MARENA and the World Bank. The Manual was updated in August 2016, in order to simplify operational procedures and make activities more efficient.

**Indicator 2: Operational mandate and budget**

Results of the self-evaluation workshop

Ethnic group				Members of the working group			
ME	MI	CR	UL	CRACCS	Regional technician (MARENA)	SERENAs (RACCN/RACCS)	MEFCCA

At the Self-Evaluation Workshop the working group assigned the value “Good progress, needs more development” to indicator 2 on the operational mandate and budget. Most of the participants stated they had a positive opinion regarding ENDE-REDD+ operational management, although more could be done if additional funds were available.

It is worth pointing out participants suggested that while most institutions do in fact operate within the jurisdiction of their mandate, there is weakness as concerns operating capacity, since several key ENDE-REDD+ entities have only a limited budget.

Ethnic groups: Mestizos (ME), Miskitos (MI), Creole (CR), Ulwas (UL)

**Progress on indicator 2**

The national REDD+ institutions operate in a framework of mandates which strengthen each other mutually, as they all converge in the National Human Development Plan (PNDH). The PNDH is the national strategic policy framework for the construction of sustainable development as promoted by GRUN. Guideline 12 of the PNDH mandates the *protection of Mother Earth, adaptation to the impacts of climate change and comprehensive risk management regarding disasters*.

MARENA takes responsibility for complying with this mandate. To that end, much as with institutions related to land use, natural resources and the autonomous governments on the

Caribbean Coast, it applies a clear regulatory framework, with a predictable budget, backed by the National Budget and Reforms Law.

In this manner, both MARENA, the other ministries involved in ENDE REDD+ and the autonomous governments on the Caribbean Coast have a budget allocated each year by the National Assembly (parliament). The regional governments, in turn, allocate an annual budget to their respective SERENAs.

MARENA receives resources from FCPF for ENDE-REDD+ readiness, and these are executed through the Project Implementation Unit (PIU), which in turn is attached to the Directorate General for Climate Change (DGCC). To execute FCPF funds, MARENA has formalised collaboration agreements with the Secretariats for Natural Resources (SERENAs) of the autonomous regional governments.

These agreements with the regional autonomous governments have allowed for strengthening institutional capacities at the SERENAs, both through their direct participation in the construction and planning of ENDE-REDD+, including the provision of equipment, means for mobilisation and the opportunity to participate in activities such as the validation of the Annual Plans of Operation, Procurement Plans, design of Terms of Reference, oversight of bidding processes related to ENDE-REDD+, as well as the strengthening of SINIA’s regional nodes and accounting, among others.

**Indicator 3: Multisectoral coordination mechanisms and intersectoral collaboration**

Results of the self-evaluation workshop:

Ethnic groups				Members of the working group			
ME	MI	CR	UL	CRACCS	Regional technicians (MARENA)	SERENAs (RACCN/RACCS)	MEFCCA

At the Self-Evaluation Workshop the working group assigned the value “Considerable progress” to indicator 3. Participants mentioned it is clear that the national and regional institutions directly involved in the ENDE-REDD+ are coordinating in order to exert influence on the design of the ENDE-REDD+ national strategy. Some acknowledged that this is a complex process that requires constant communication and timely information regarding events and results of each activity.  
Ethnic groups: Mestizos (ME), Miskitos (MI), Creole (CR), Ulwas (UL)

**Progress on indicator 3**

In order to ensure multisectoral and intersectoral coordination in the REDD+ readiness process, the carrying out of activities and decision-making, a model is used that is promoted

by GRUN that is based on dialogue, consensus and alliances. Operationally, it functions through the ENDE-REDD+ platform, with its three working groups and thematic tables (Coordination, EESA, Communication and MRV).

In addition, MARENA regularly participates in several national interinstitutional coordination platforms which work on issues related to social consensus and policy, such as the System for Production, Consumption and Commerce: the National Forest Commission (CONAFOR); the Forestry and Environmental Consultative Committee (CCF-A) in RACCN and the Family, Community and Life Cabinets, bringing the ENDE-REDD+ proposals to each of these.

In order to achieve effective interinstitutional coordination, MARENA signed collaboration agreements, the aim of which is to strengthen interinstitutional and multisectoral coordination, as well as improve the technical capacities of the institutions involved and ensure their active participation during the ENDE-REDD+ process. These institutions are as follows:

- Agreement with INETER in 2015 to coordinate the correction, improvements and updating of maps for the construction of Reference Levels. These served as inputs to better understand the historical dynamics of deforestation in Nicaragua.
- Agreement with INAFOR (2015), through which the 54 sample units of the National Forest Inventory were updated.
- Agreement with MHCP, the purpose of which is to accompany the identification and creation of conditions for the management of investments associated to the reduction of deforestation, forest degradation and an increase in the plant cover.
- Agreements among the SERENAs of the regional governments and the Council of Indigenous Peoples of the Pacific, Central and Northern Regions regarding activities planned by the project, including strengthening capacities, providing technological teams and means of mobilisation and opportunities to participate in activities such as the validation of Annual Plans of Operation, Procurement and Acquisition Plans, the design of Terms of Reference and the oversight of bidding processes related to ENDE-REDD+, among other things.
- Agreement with the autonomous regions on the Caribbean Coast and indigenous peoples of the Pacific, Central and Northern Regions to facilitate the active inclusion of regional governments, from contracting to each of the workshops and activities planned by the project. It further includes collaboration with the Secretariats (SERENAs) of the autonomous regional governments.
- Agreements were signed with the SERENAs of the autonomous regional governments and the Council of indigenous peoples of the Pacific, Central and Northern Regions. A



part of these agreements led to the increased assignment of technical teams and the strengthening of technical capacities (workshops with SERENA technicians).

- The agreements were signed with the autonomous regions on the Caribbean Coast and indigenous peoples of the Pacific, Central and Northern Regions have allowed for strengthening institutional capacities, both in order to participate directly in the construction and planning of ENDE-REDD+, including the provision of equipment, transport and the opportunity to participate in activities such as the validation of the Annual Plans of Operation, Procurement Plans, design of Terms of Reference and oversight of bidding processes related to ENDE-REDD+, among others.

In the autonomous regions, MARENA coordinates with the SERENAs. In RACCN, coordination takes place with the Forest and Environment Consultative Committee (CCF-A), so as to ensure that the ENDE-REDD+ design takes into account the regional plans and strategies on conservation, management and land use and forest resources. In order to ensure it is possible to hold an informed dialogue on the reduction of forest-related greenhouse gas emissions (GEI), PIU technicians in the regions promote dialogue on ENDE-REDD+ with forest regents and owners, as well as the indigenous territorial governments and their communities.

The ENDE-REDD+ readiness process has strengthened the dialogue with agriculture sector institutions (MAG and MEFCCA), and other entities such as PRO-NICARAGUA, the National Cattle-Ranching Commission (CONAGAN) and the Association of Reforestation Companies (CONFOR), among others. This programme could potentially reduce GG emissions by promoting sustainable and climatically intelligent agricultural practices; the reconversion of traditional cattle-ranching systems to agro-silvo-pastoral arrangements; and the regeneration of ecosystemic services leading to pine forest growth through reforestation and natural regeneration.

On the Caribbean Coast, MEFCCA is executing programmes that have the potential to promote ENDE-REDD+ actions, some of which are described below:

- ✓ The Programme in Support of Adaptation to Climate Change in Coffee and Cocoa Production by Small Farmers in Agro-Climatically Suitable Zones (NICADAPTA) seeks to improve living conditions of rural coffee and cocoa farmers in four geographic areas by incorporating them to markets and reducing their vulnerability to climate change.
- ✓ The Programme to Develop Agriculture, Fishery and Forestry in the RACN and RACS Indigenous Territories of (NICARIBE) aims to improve levels of income among 10,000 indigenous and afrodescendant families by increasing production, management and the sustainable use of natural resources and the strengthening of their organisations.
- ✓ The Programme to Improve Organizational and Productive Capacities of Cocoa Farmers in the Mining Triangle (PROCACAO) focuses on improving the income of



families and creating jobs by producing cacao and creating conditions to favour the adoption of sustainable agroforestry systems and the promotion of gender equity.

MARENA has proven able to establish a close dialogue with CONAGAN, a platform that brings together several organisations of large, medium and small cattle-ranchers that are part of the National System for Agricultural Production, Consumption and Commerce, with whom it works to analyse and put forth policies and programs leading to the development of agriculture and livestock. Currently it is promoting the Competitive Reconversion of Cattle-Ranching (PRCGB), which promotes the sustainable management of farms and cattle-ranches through forest conservation in at least 20% of farmland through the adoption of improved soil management practices.

Statement by the CONAGAN coordinator at its National Congress:

*...”...as CONAGAN we made a proposal to the effect that 20% of our land be the object of natural regeneration. Forests are there to absorb carbon dioxide, but ... we also need incentives that motivate farmers to plant more trees and make rational use of resources.”*

Ronald Blandón, Fourth Regional CONAGAN Congress

There is also an on-going dialogue with CONFOR, an entity that brings together a significant number of reforesting entrepreneurs and transformers of forest products. Coordination has taken place with support from PRO-NICARAGUA.

In the Pacific, Central and Northern regions of the country, interinstitutional coordination around ENDE-REDD+ has taken place with the mayor’s offices, the Council of Indigenous Peoples in the Pacific, Central and Northern Regions (PI-PCN), universities, associations, production-consumption-commercial systems, and associations of producers. This is a process that still requires strengthening.

During the REDD+ readiness process there has been collaboration from organisations that have undertaken studies, training and dissemination on REDD+ issues (i.e. Centre for the Autonomy and Development of Indigenous Peoples<sup>44</sup>, the Forestry and Environment Consultative Committee<sup>45</sup>).

GRUN is currently working on a cattle-ranching development strategy in which it is proposed to encourage the establishment of sustainable cattle-raising systems that protect forests and water sources, establish silvo-pastoral systems and promote reforestation as an alternative means of feeding cattle (forage), while protecting biodiversity in the face of variations in the climate.

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<sup>44</sup> CADPI has held courses to train actors/stakeholders on ENDE-REDD+.

<sup>45</sup> CCFA has disseminated information on activities and published a number of videos on its YouTube channel, which allow for obtaining good information on ENDE-REDD+ readiness.



In the autonomous regions, MARENA is coordinating with the Forestry and Environment Consultative Committee (CCFA) and the SERENAs to ensure that ENDE-REDD+ is congruent with regional plans and strategies on conservation, management, land use, forest resources and that an informed dialogue takes place on the reduction of forest greenhouse gas emissions. PIU technicians in the regions are promoting dialogue on ENDE-REDD+ with forest regents, forest owners and indigenous territorial governments and their communities. However, dialogue with both the municipalities (mayor's offices) and PI-PCN need to be strengthened.

The design of the PRE-CBI or ERPD has strengthened dialogue with institutions in the agricultural sector, such as MAG and MEFCCA on ENDE-REDD+, as well as PRO-NICARAGUA. This programme will potentially include the reduction of GG by promoting sustainable agricultural practices that are climactically intelligent, as well as the reconversion of traditional cattle-ranching systems to agro-silvo-pastoral systems and the regeneration of ecosystemic services that lead to the establishment of pine forests through reforestation and natural regeneration.

As mentioned earlier, MARENA coordinates with several entities at regional, territorial, municipal and community level, for the purpose of undertaking activities related to the REDD+ readiness process. In order to achieve good interinstitutional coordination, institutional agreements and memorandums of understanding (MoUs) were signed (see indicator 3). In total, MARENA has six collaboration agreements with different entities, through which it intends to strengthen interinstitutional and multisectoral coordination, thus improving technical capacities and active participation during the ENDE-REDD+ readiness process.

It is worth mentioning that historically the achievement of some degree of multi-sectoral and interinstitutional coordination and collaboration has been a complex process. Here too, it has taken longer than originally anticipated. However, it is considered there have been positive steps in the right direction. In this indicator, MARENA's most significant achievement has been the effective transmission to authorities that exert influence at the different ministries of the urgent need to act as concerns soil use and changes in land use and forestry.

As a result, the ENDE-REDD+ readiness process has received support from the highest levels of government, through SPPN and the MHCP, entities that understand it is a priority to fight the advance of the agricultural frontier in natural forest areas. In addition, GRUN acknowledges the potential improvements that a reduction of GG emissions in the agriculture, livestock and forestry areas can bring to the communities, ecosystems, biodiversity and the Nicaraguan population, while tackling the growing threat against precisely the natural resources that are the mainstay of the country's economy.

GRUN, through its Production, Consumption and Commerce platform has been able to establish an intersectoral and interinstitutional dialogue that has aligned strategic actions,



leading to a reversal of deforestation and forest degradation. A current example of this is the work being done on a strategy for the development of cattle-ranching, by proposing sustainable beef and dairy production systems that protect forests and water sources, establish silvo-pastoral systems and promote reforestation as an alternative for feeding cattle (forage) and protect biodiversity in the face of variations in the climate.

Another successful coordination has been with the sector of reforestation entrepreneurs (companies involved in agricultural and forest plantations). A dialogue has taken place, under the auspices of PRO-NICARAGUA, with CONFOR, an association of reforestation companies that brings together a number of entrepreneurs in the sector. Support has consisted in communicating and facilitating meetings at which PRO-NICARAGUA presents a vision based on the development of public-private joint investments aimed at advancing with the attraction of national and international investments.

**Indicator 4: Technical supervision capacity**

Results of the self-evaluation workshop:

Ethnic groups				Members of the working groups			
ME	MI	CR	UL	CRACCS	Regional technicians (MARENA)	SERENAs (RACCN/RACCS)	MEFCCA

At the Self-Evaluation Workshop the working group assigned the value “Good progress, needs more development.” Most participants mentioned that they noted considerable progress as concerns technical capacity, but that there are still gaps in technology and knowledge in the indigenous territories and regions. They suggested to continue with strengthening, but focusing more on local, communal capacities.

In addition, it was mentioned that most institutions do not have an enough budget or staff with which to cover ENDE-REDD+ readiness process activities. This means the activities need a work plan and additional resources. Still, one positive aspect in the regions, territories and communities is the frequent mutual support and backstopping between the institutions. For instance, SERENA provides resources to help mobilise MARENA technicians or those of other entities undertaking field visits or attending events at nearby sites

Ethnic groups: Mestizos (ME), Miskitos (MI), Creole (CR), Ulwas (UL)



## Progress on indicator 4

### *Organization for technical supervision and efficiency*

In order to ensure the participatory and efficient technical and financial implementation of ENDE-REDD+ among Group II, a coordination entity has been created, with the participation of MARENA, INAFOR, INETER, GTI, SERENA/GRACCN, SERENA/GRACCS, CRACCN and CRACCS.

This entity has several functions, including the provision of inputs and following up on the Annual Plans of Operation (APOs); preparing ToRs and proceedings of events; ensuring that activities taking place in the territories is appropriate and ensuring that the link with other actors is maintained through dialogue and the on-going strengthening of capacities, in such a way that indigenous and afrodescendant peoples and local communities are duly informed and able to participate in the design of ENDE-REDD+.

The PIU must be accountable to both MARENA and the World Bank for its effectiveness regarding the achievements of the results framework contained in the grant agreement. In this regard, a mandate issued by the government of Nicaragua is to strengthen institutional capacities as much as possible, in order to ascertain that actors/stakeholders/participants take ownership of the ENDE-REDD+ processes and outputs.

It has been a challenge for MARENA to comply with this mandate, given that national capacities on the issues concerning REDD+ were weak. On the other hand, to enlist suitable experts to guide the design of ENDE-REDD+ has been a slow process. Still, currently the PIU is complete and consists of a multidisciplinary team of twenty persons.

In the Pacific, Central and Northern regions and the dry corridor<sup>46</sup>, interinstitutional coordination has begun, and the institutional presence of MARENA staff has increased, with a view toward intensifying dialogue on actions intended to reduce emissions. Since August 2016 a technical team made up of three professionals has been designated to work on specific studies and communication in the dry corridor zone.

The GRUN strategy is to implement the R-PP in three stages, starting with the Caribbean Coast, BOSAWAS and Indio-Maíz, the areas with the highest deforestation rates in the country; the second phase will concentrate on the Central and Northern regions; and finally the third phase will turn to the highly deforested Pacific zone.

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<sup>46</sup> The term “dry corridor” refers to the municipalities that are affected by dry to very dry climates. They are located in the Pacific, Central and Northern parts of the country.



**Indicator 5: Fund- raising capacity**

Results of the self-evaluation workshop:

Ethnic group				Members of the working group			
ME	MI	CR	UL	CRACCS	Regional technicians (MARENA)	SERENAs (RACCN/RACCS)	MEFCCA

At the Self-Evaluation Workshop, the working group assigned the value “Good progress, needs more development.” Most participants mentioned that they perceived effective, efficient and transparent management. However, they also noted that there is still a gap to be covered by negotiating for additional funds. For example, there were local initiatives which were part of the original initial MARENA plan but then could not be put in practice. Another example is the development of pilot projects requested by actors/stakeholders at several ENDE-REDD+ events. Ethnic groups: Mestizos (ME), Miskitos (MI), Creole (CR), Ulwas (UL)

**Progress on indicator 5**

Through its financial structure, MARENA makes an effort to be as effective, efficient and transparent as it can regarding fiscal matters and in particular as concerns funds management. As concerns implementing regions and institutions, collaboration agreements were reached between top-level authorities, the autonomous regional governments and the SERENAs (see indicator 3, page 54).

Work is carried out by consensus and in keeping with that which is set forth in the Operations Manual approved by the World Bank,<sup>47</sup> as well as through the application of institutional norms and procedures. Considering that the Project has a single expenditures category, which includes consultancies, assets, training and operating expenses, the Terms of Reference (ToRs) are used that have been approved by MARENA top management, regional MARENA and the SERENAs. This instrument serves as a guide for action and a foundation for financial accountability.

Taking into account the requirements of the project implementation mechanism, technical and financial conditions are being created at the MARENA regional delegations by engaging two assistant accountants. Computers and administrative-financial training will be provided to the regional team involved in fiduciary management. Some of the most important aspects regarding funds management are described below:

<sup>47</sup> [https://drive.google.com/file/d/0B\\_fn731hbSpTSGNEcGFhbHIORE0/view?usp=sharing](https://drive.google.com/file/d/0B_fn731hbSpTSGNEcGFhbHIORE0/view?usp=sharing)

- The ENDE-REDD+ project has been allocated U\$ 3.8 million, which are executed through actions to be undertaken in its five components. Disbursements received to date are of ~ US\$ 2,025,230.80 (53.3%). To date the execution of funds disbursed stands at about 80%, most of it on Component 1 (governance, organisation and consultations) and Component 4 (national forest monitoring system). This reflects project needs in this phase of implementation.
- Fundraising has been approved by financial authorities at MARENA, MHCP and the annual review by the Office of the Comptrollers General.
- As per the agreement reached with FCPF, from the first period implementation the project has been subject to financial and compliance audits. The first of these took place in 2013 and was conducted by Narciso Salas and Associates; this was followed by a multiannual audit for the period from 2014 to 2017, carried out by Price Waterhouse Cooper. The results of both audits showed that funds execution complied with the most important aspects set forth in the grant agreement, as well as laws and regulations applicable to the project's financial aspects. Execution was deemed satisfactory and the auditors had no observations. Funds execution takes place using MARENA's financial infrastructure. In the regions and among implementing agencies, collaboration agreements were entered into between top authorities, the regional governments and the SERENA.
- To strengthen funds management capacity, MARENA will support the establishment of a Thematic Table on Climate Finances and Resources Management. This will take place through Group II and is to be coordinated by the MHCP. The goal is to design incentives in order to increase interest at MAGFOR, MEFCCA and private sector actors in emissions reduction due to avoided deforestation and forest degradation, reforestation, the restoration of plant cover and the adoption of climatically intelligent agricultural practices. Another objective of this Table will be to draw up proposals to attract funds with which to finance emissions reduction programmes on the Caribbean Coast and in the dry corridor zone, as well as develop business plans by which to attract private enterprises.
- In order to consolidate the ENDE-REDD+ readiness process, MARENA is requesting additional FCPF funds in the amount of US\$ 5 million. These would allow mainly for strengthening the readiness process in the Pacific, Central and Northern regions, maintain the functioning of the Thematic Table on Climate Finances and Resources Management, and to finalise the ERPD readiness process.
- MARENA has sought to establish coordination with activities financed by other partners, but it is still necessary to work more closely together with other entities. However, a number of public and private initiatives exist at national level that contribute to different aspects of the REDD+ readiness process. These mandates



strengthen each other mutually and have contributed to the design of the ENDE-REDD+ programme. Annex 6 contains a description of the most important national initiatives.

**Indicator 6: Information exchange and complaint compensation mechanism**

Results of the self-evaluation workshop:

Ethnic group				Members of the working group			
ME	MI	CR	UL	CRACCS	Regional technicians (MARENA)	SERENAs (RACCN/RACCS)	MEFCCA

At the Self-Evaluation Workshop the working group assigned a value of “Needs more development.” Most participants said more progress is necessary regarding exchanges of information. They acknowledged that the design of the feedback mechanism has advanced, but it is also necessary to take steps to improve implementation. Further, it is important to ensure adequate regional and territorial dissemination so the mechanism becomes operational. Ethnic groups: Mestizos (ME), Miskitos (MI), Creole (CR), Ulwas (UL)

**Progress on indicator 6**

With regard to the exchange of information, a briefing of the session was held during the sessions of the three working groups established in ENDE-REDD + to ensure information and agreements. There are two types of records for working group sessions, minutes, and memoirs. Meeting minutes are used for small group work sessions, less than 15 people, 2-4 hour meetings, or less than one business day. On the other hand, memories are usually made for workshops or group sessions of more than 15 people, which can be events from one to more days.

Both the minutes and the memories are shared with the participants and authorities. All reports or minutes are endorsed by the relevant authorities and are stored in the activities logs, so that the regional authorities can monitor the progress of the activities. The reports and / or minutes of meetings summarize the main comments addressed, disagreements, agreements signed and / or the next steps to follow.

Another way to exchange information is through the press releases, which are distributed to the participants by e-mail or published on the ENDE-REDD + website. Annex 2 presents a list of various press releases developed during the REDD + preparation process, as well as a link to access short newsletters and videos. Most of these press releases are hosted on the ENDE-REDD + website (<http://enderedd.sinia.net.ni>).

The technical studies of the preparation process for REDD + that represent a milestone in the progress of the preparation process, prior to being sent to the FCPF, are sent to the members of the working groups I and II, in the technical tables EESA and MRV. The members of the EESA and MRV tables know from the initial stages most of the technical studies documents, and through the working sessions can make observations to the documents, either during the work sessions or by email.

Subsequently, these documents in draft and final versions are distributed via e-mail to the protagonists, public officials or other participants in the REDD + preparation process. In addition to sending the documents by e-mail and printed for the leading leaders, all the digital information elaborated on the ENDE-REDD + website is placed, all reports of the events are available to the general public interested in REDD + In Nicaragua (Figure 9).

With regard to complaints, progress has been made with the design of the "Strengthening Communication with ENDE-REDD +"<sup>48</sup> mechanism, which provides options for the presentation of recommendations or complaints by the protagonists. It is currently being tested through the ENDE-REDD + website (Figure 9) and pilot tests will be carried out in October.

Nicaragua has a legal framework conducive to the establishment of this mechanism, Article 50 of the Constitution, for example, gives citizens the right to participate on an equal footing in public affairs and state management. In addition, Article 52 states that ... "Citizens have the right to make petitions, report anomalies and make criticisms ... to the State Powers or any authority; To obtain an early resolution ...".

The scope of the feedback mechanism is national and presents several options that facilitate the presentation of the participants to express concerns, nonconformities and suggestions on the activities of ENDE-REDD +. Access will be provided on the ENDE-REDD + website (Figure 9). Which will make it easier for interested people to have an accessible communication channel to express their opinions, suggestions or complaints.

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<sup>48</sup> The Mechanism for Strengthening communication has been known as the Feedback Mechanism and is the equivalent of a claim mechanism.



**Figure 9** ENDE-REDD+ Programme Website and Communications Strengthening mechanism



[http://enderedd.sinia.net.ni/index.php/2015-06-04-16-21-39/retroalimentacion.](http://enderedd.sinia.net.ni/index.php/2015-06-04-16-21-39/retroalimentacion)

The design of the Mechanism<sup>49</sup>, which includes the permanent use of mailboxes, will be located in municipal offices, offices of Indigenous Territorial Governments, MARENA offices, which will facilitate greater access and participation. Likewise, the feedback mechanism establishes a procedure for indigenous and Afro-descendant peoples that will ensure the right to free, prior and informed consent, since it joins the judges or whites of the communities in this mechanism, given their traditional role of attending And resolve conflicts within their communities, which are currently recognized by the country's justice system, and through community assemblies.

In addition, it has been considered that the Community Assemblies are spaces in which complaints are filed. In addition to the above, it has been incorporated in the design, the realization of periodic meetings that will serve to know about the level of satisfaction or concern about complaints of the protagonists related to the performance of the ENDE-REDD + projects, the distribution of benefits and services Environmental impacts that they involve.

The ENDE-REDD + Communication Strengthening mechanism or feedback mechanism has been disseminated in the different events carried out by the ENDE-REDD + Program (i.e. in the national self-assessment workshop and ENDE-REDD + consultation workshops).

The ENDE-REDD + national program through its territorial technicians has incorporated in its work plans visits to each of the ITGs and participation in community assemblies to explain to

<sup>49</sup> <http://enderedd.sinia.net.ni/Docs/DocENDE/9.%20Mecanismo%20Fortalecimiento%20de%20la%20Comunicación.pdf>



the authorities of the GTI, communal and community governments in general Which means ENDE-REDD +, the progress and pending actions to be carried out; This has ensured that all IWG leaders have up-to-date information on the preparation of ENDE-REDD +.

During the preparation process, the issue of complaints has functioned through the Coordination Bureau, which is part of Working Group II. This Coordination Bureau ensures the exchange of information on operational aspects, such as establishing priorities, Visit of the Missions of the WB, and resolution of nonconformities.

When non-conformities have arisen from any of the stakeholders represented in Group II, the way of presenting the nonconformity has hitherto been via e-mail and / or coordination meetings directly addressed to the Program coordinator or senior MARENA. Follow-up to the agreements is part of the working agenda of group II.

**Sub Component 1b. Consultations, participation and social communication**

During the ENDE-REDD+ strategy readiness process there has been participation by actors and stakeholders in the various national and regional consultations processes on MGAS, the ENDE-REDD+ strategy, the self-evaluation, the establishment of a Reference Level and the design of the National Monitoring, Reporting and Verification System.

**Indicator 7: Participation and intervention by the main stakeholders**

Ethnic group					Members of the working group			
ME	UL	CR	CH	Rama	MARENA technicians	Regional technician	Indigenous leader	GTI

At the Self-Evaluation Workshop the working group assigned the value “Good progress, needs more development.” However, individually there were those who found that progress on this indicator had been considerable, while others expressed they would like activities to be take place in the actual communities. While leaders of indigenous and afrodescendant peoples feel they have been involved from the outset of the REDD+ readiness process, they feel the consultation processes could be broader yet or take place in the communities.

Ethnic groups: Mestizos (ME), Ulwas (UL), Creole (CR), Chorotegas (CH), Rama (RA)

## **Progress on indicator 7**

### **Participatory ENDE-REDD+ process**

When the ENDE-REDD+ process got underway, a map of actors<sup>50</sup> was made that identified actor / stakeholder groups related to the readiness process. Among these were state institutions at their various levels; originary and afrodescendant peoples, Through its representations of Indigenous Territorial Governments, Community Governments and the Council of Indigenous Peoples of the North Central Pacific; the agriculture and cattle-ranching productive sector; the forestry sector; social movements; academe; communications media; forest owners and private wildlife reserves, among others. Each of these actors has been active in the analysis of the required studies and documents prepared by the ENDE-REDD+ team. These are without exception outputs based on consensus.

Since 2015 there has been a “Manual for Strengthening of Working Groups for Dialogue, Participation and Consultation with ENDE- REDD+”(annex 8)<sup>51</sup> and a web site<sup>52</sup> at which the proceedings of sessions, workshops and consultations are published, including lists of participants and photographic material that evidence the participatory nature of the processes.

### **Global statistics on ENDE-REDD+ participation**

There have been a total of 205 events, 91 workshops, 96 work sessions and 18 national congresses. The workshops and work sessions covered a number of objectives in the REDD+ readiness process (i.e. introduction to the ENDE-REDD+ programme for women, cattle-ranchers, communications media, the CCF-A and CRACCS).

There were also workshops at which key REDD+ issues were discussed, including the design of Communications Strengthening Mechanisms; the evaluation of environmental and social impacts of the various strategic options; the identification of safeguards; legal analysis; technical aspects of the Reference Level; and monitoring, among other things. Finally, consultation workshops were held on the initial version of the ENDE-REDD+ strategy, the ER-PIN, and training on specific subjects (i.e. Geographic Information Systems).

The training workshops have made it possible to prioritize topics of interest that contribute to the development of ENDE-REDD +, such as: forest governance, forest monitoring, use of geographic information systems, and application of guidelines of the Intergovernmental Panel on Change Climate Change (IPCC). The dialogue on ENDE-REDD + has also generated expectations in the protagonists (Box 3).

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<sup>50</sup> See map of actors / stakeholders at:

[http://enderedd.sinia.net.ni/Docs/Doc\\_PaqueteR/7.%20Mapa\\_de\\_Actores\\_ENDEREDD.pdf](http://enderedd.sinia.net.ni/Docs/Doc_PaqueteR/7.%20Mapa_de_Actores_ENDEREDD.pdf)

<sup>51</sup> See Manual in annex 8:

<http://enderedd.sinia.net.ni/Docs/DocENDE/17.%20Manual%20de%20Funcionamiento%20de%20los%20Grupos%20de%20Trabajo.pdf>

<sup>52</sup> <http://enderedd.sinia.net.ni>



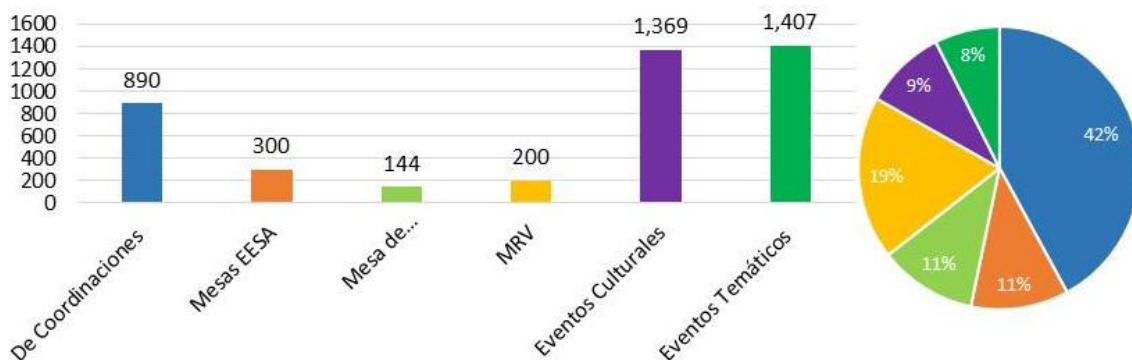


Box 3. Comments made by GTI leaders and young adults in relation to the ENDE-REDD+ process were generally favourable. They hope it will contribute to:

- acknowledgment and compliance with environmental and social safeguards in the indigenous territories;
- start up the financial mechanisms, as payment for environmental services and/or incentives that compensate indigenous and afro-descendant peoples for having conserved the remaining forested areas in the country;
- prioritization of activities that maximise the link between mitigation and adaptation to climate change, given extreme exposure to droughts, floods and natural disasters;
- dissemination of legal rights indigenous and afrodescendant peoples have to land tenancy;
- increase in the level of ownership taken by indigenous and afrodescendant peoples of the forest and territory legal framework;
- strengthening of technical capacities for monitoring forests and verifying / reporting on its condition; and
- acknowledgement, respect for and the promotion of collective rights, traditions and free self-determination of indigenous and afrodescendant peoples in REDD+ design and implementation. One way of achieving this is by holding consultations in the territory.

There were 205 events in total. The largest number of events, 42%, were coordinations, with 890 participants; 19% corresponds to the MRV table with 300 participants; The Table of Communicators had 11%, with 144 participants; And the EESA Bureau with 11%, with attendance of 300 participants (Figure 10).

**Figure 10** Types of events, number of participants and percentages by events carried out in the REDD+ readiness process



Box 4 sums up the total statistics for participation by ENDE-REDD+ actors/stakeholders/participants at events held from 2014 to date. Events by region were distributed as follows (in numerical order): RACCN (48), RACCS (33), National (17) and PCN (11), with a total of 8,650 participants.



Box 4. General statistics on participation at events in the REDD+ readiness process.

Number of events held per region and total number of participants.

Region	Events held by region					Participants
	RACCN	RACCS	PCN	National	Total	Total
Workshops	43	30	10	8	91	4,170
Congresses	5	3	1	9	18	2,776
Work sessions					96	1,704
Total	48	33	11	17	205	8,650

Data on participation at workshops by ethnic group:

Percentage of participation by ethnic group							
Ethnic group	Mestizos	PI-PCN	Miskitu	Mayangna	Rama	Ulwas	Afrodescendants
%	51	3	24	11.8	0.5	0.2	9.5

Organisations represented at the workshops

Organisations to which participants belong (in %)							
Gov.	GRACC	GTI	Mayor's offices	Academe	Organisations	Armed Forces	Cooperation Agencies
19	15	34	5	2	24	1	1

Data on the participation of men, women and youth at workshops, forums and congresses

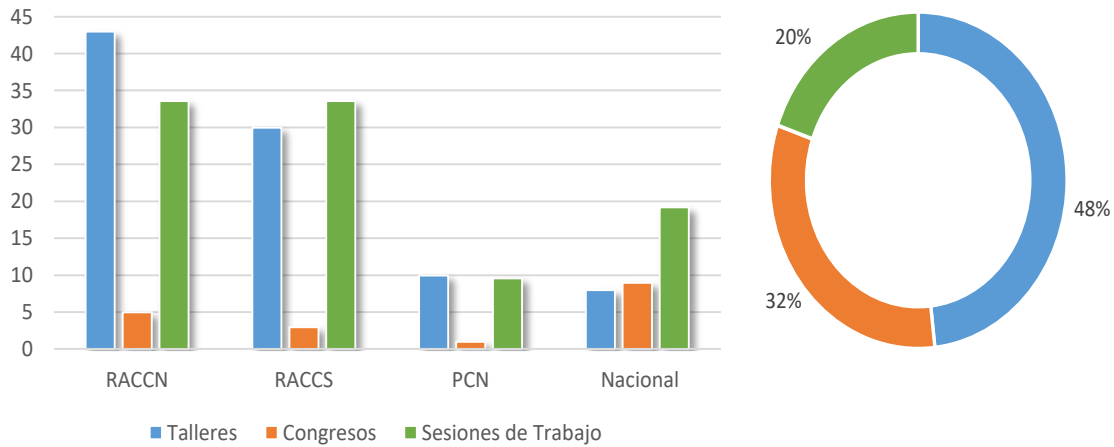
Type of event	Total *	H	M	Youth
Workshop	3,939	2,563	1,376	548
Forum	2,256	1,158	1,098	843
%	100	60	40	22

\* Used here are data available by segment.

Figure 11 shows the number of events held by region during the REDD+ readiness process. Most events were dialogue workshops and exchanges of information.



**Figure 11** Number of activities by type of events and region, percentage of participants by type of event



### Participation of originary peoples

ENDE-REDD+ has undertaken its readiness process upon the Free, Prior and Informed Consent of originary and afrodescendant peoples on the Caribbean Coast and the indigenous peoples of the Pacific, Central and Northern Regions. This was achieved by ensuring participation, dialogue and consensus in the following spaces: (Figure 12, annex 3):

- Representatives from the platform of ENDE-REDD+ working groups;
- Participation in the various workshops, exchanges of experience, capacity strengthening events and dialogue / consensus sessions;
- Review and feedback on studies carried out (MGAS, legal analysis, causes of deforestation, communications strengthening mechanisms, reference levels, national forest monitoring system); and
- participation in the communications strategy.

The methodologies used during the holding of these workshops, sessions, encounters and consultations have been participatory. Each began with a spiritual dedication, as a sign of respect for the religious beliefs of the participants. This was followed by an introduction of each person present and a general presentation on ENDE-REDD+. This ensures that everyone has the same basic understanding before embarking upon the specific theme of the event.

In case of workshops or sessions with indigenous or afrodescendant peoples who conserve their native languages, interpreters were present who ensured that the information was conveyed way in a culturally appropriate manner.



**Figure 12 Participatory CLPI events in the North and South Caribbean Autonomous Regions**



**Consentimiento Libre, Previo e Informado**

*Creadas condiciones favorables para proceso de consulta con pueblos indígenas y afrodescendientes sobre ENDE-REDD*

The participatory events facilitated dialogue with actors/stakeholders as key areas were prioritised because they need to be strengthened. In this way, attendees participated effectively in the development of ENDE-REDD+. Some of the priorities are as follows: forest governance, forest monitoring, GIS and the application of IPCC guidelines.

The open dialogue on ENDE-REDD+ has generated expectations among participants. In general, the opinion of GTO and young adults regarding the ENDE-REDD+ readiness process has been positive. It is expected that the ENDE-REDD+ will contribute to:

- acknowledgment and compliance with environmental and social safeguards in the indigenous territories;
- start up the financial mechanisms, as payment for environmental services and/or incentives that compensate indigenous and afro-descendant peoples for having conserved the remaining forested areas in the country;
- prioritization of activities that maximise the link between mitigation and adaptation to climate change, given extreme exposure to droughts, floods and natural disasters;
- dissemination of legal rights indigenous and afrodescendant peoples have to land tenancy;
- increase in the level of ownership taken by indigenous and afrodescendant peoples of the forest and territory legal framework;
- strengthening of technical capacities for monitoring forests and verifying / reporting on its condition; and



- acknowledgement, respect for and the promotion of collective rights, traditions and free self-determination of indigenous and afrodescendant peoples in REDD+ design and implementation. One way of achieving this is by holding consultations in the territory.

In sum, prior information was provided and this means that consent for ENDE-REDD+ is granted freely. Territorial and regional technicians – some of whom are indigenous – have explained and transmitted information in the language spoken by the ethnic groups, and have helped with translation at the workshops.

The ENDE-REDD+ team is of the opinion that basic favourable conditions have been created for consultation with indigenous and afrodescendant peoples as concerns the ENDE-REDD+ strategy, as well as other matters that require the full participation of community members, among them a benefit-sharing scheme, carbon rights and the implementation mechanism.

### **Participation by women**

The leading role played by women in this readiness process is very important, especially taking into account that in Nicaragua there is a gender policy and an Equal Rights and Opportunities Law (Law 648) that guarantees participation by women. The foregoing has favoured access by women to high-level positions at both political and technical level.

The ENDE-REDD+ team believes that the gender approach has been ensured for this readiness process, both in view of the degree of participation by women in the broad-based spaces for discussion, as well as in decision-making spaces. Box 5 details the list of women who are participating in decision-making positions in the autonomous regions and in ENDE-REDD+.

#### **Box 5. Indigenous Territorial Governments presided by women:**

##### **In RACCN:**

- President of CRACCN: Devoney McDavis
- President of GTI TUAHKA: Aurelia Patterson
- President of GTI TWI Waupasa: Ana Valeria Rafael
- President of GTI Wanki Maya: Mélida Madrigal
- President of GTI Wanki Kupia Awala: Rosse Cunningham
- President of GTI Prinzu-Awala: Prudelina Bobb
- Director of de SERENA: Nytzae Dixon

##### **In RACCS:**

- President of CRACCS: Judith Abraham
- President of GRACCS: Shayra Downs Morgan
- President of GTI Pearl Lagoon: Marguleth Casanova
- Director of SERENA: Hebé Machado



The participation by women in the workshops, forums and congresses is estimated at 40%. The presence of women in leadership positions in the regional autonomous governments of the North and South Caribbean Coast, as well as the indigenous and afrodescendant territorial governments, has facilitated the introduction of REDD+ issues on the agendas of regional governments and the EESA, MRV technical and coordination tables. Debate and review of specific actions regarding gender equity and the review of actions adapted to gender conditions in the territories is on-going.

Figure 13 shows sessions of the EESA<sup>53</sup> work table taking place in both regions. See the EESA Report::

**Figure 13** EESA work table in RACCS



### **Participation by the agriculture / livestock productive sector**

Through the Production, Consumption and Commerce System, GRUN has been able to bring the productive agriculture and livestock sector to the environmental and forestry discussion table. This has strengthened dialogue and alliances with the cattle-ranching sector, an important strength in Nicaragua's readiness process, given that cattle-ranching is the main factor in the advance of the agricultural frontier. Other sectors have also been incorporated to the dialogue, among them the sugar cane and peanuts sector, both of which have

<sup>53</sup> <http://enderedd.sinia.net.ni/Docs/DocENDE/14.%20Reporte%20%20EESA.pdf>



committed to reforestation. They have agreed to ENDE-REDD+ strategic guidelines, and oil palm producers have begun a dialogue with the support of PRO-Nicaragua.

There have been workshops and sessions with the cattle-ranchers, including relevant events such as the Fourth National Cattle and Livestock Congress (July 2013), the Third Regional Congress held in Siuna (May 2016), the Fourth Regional Congress held in Waslala (April 2017), a meeting held in Mulukuku with 200 cattle-ranchers invited by the mayor's office (December 2015) and national level work session at which discussions were held on opportunities for sector-wide collaboration to reduce deforestation for purposes of ENDE-REDD+ readiness.

Box 2. Impressions from members of the cattle-ranching sector.

The dialogue with the cattle-ranching sector stands out for the commitment made to implement more environment- and forest-friendly practices, as announced at the Third and Fourth CONAGAN Regional Congresses<sup>54</sup>, held in Siuna and Waslala, respectively. This is good news for the country. At the afore-mentioned events CONAGAN acknowledged:

- The environmental services provided by forests. Members expressed their willingness and needs in order to incorporate environmentally friendly productive practices that low in emissions.
- The contribution made by the work sessions on readiness for the PRE-CBI Emissions Reduction Programme (ERPD).
- The strong participation in the six work sessions.

In general the CONAGAN position and that of its affiliates is that they have a commitment to and support the defence of forests and reduction of emissions due to deforestation and forest degradation. An example of this is the recent support of the cattle-rancher organisations UPANIC and FAGANIC for the Rama Kriol indigenous communities when they denounced the invasion of their lands and the subsequent deforestation in order to establish illegal cattle farms in the Indio-Maíz biological reserve. UPANIC and FAGANIC emphasised that their members are not invading the protected areas in south-eastern Nicaragua.<sup>55</sup>

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<sup>54</sup> National Cattle and Livestock Commission (CONAGAN).

<sup>55</sup> The Rama and Kriol Territorial Government Denounces Invasion by Cattle-Ranchers. Joint pronouncement by Rama and Kriol leaders and the presidents of FAGANINC and UPANIC. July 2017.

<http://www.laprensa.com.ni/2017/07/12/lptv/2261517-gobierno-territorial-rama-kriol-denuncia-invasion-ganadera>



The REDD+ readiness process has allowed for holding a number of events that enabled dialogue, expressions of concern and learning from the experience of others. (Figure 14).

**Figure 14** Different events in the REDD+ readiness process



CRACCS work session



Dialogue with cattle-ranchers in Santa Rita-Mulukuku



Exchange of experiences with women leaders in RACCS



Work session w/ Wangki Maya GTI



RACCN women leaders exchange experiences



Learning about community monitoring experience in Miguel Bikam (RACCN)



## Progress made on REDD+ readiness in the PCN region

In the PCN region there has been a process of strengthening dialogue with actors / stakeholders, representatives of indigenous peoples, members of production, consumption and commerce systems, the private sector, universities and representatives of associations linked to the agricultural, cattle-ranching and forestry sectors. This took place through meetings, work sessions and workshops, of which the following are especially worthy of note:

- Participation at the International Congress on Biodiversity, Opportunities and Challenges
- Eight dialogue sessions with MARENA technical teams and members of the SPCC.
- A dialogue session with MARENA directorates and members of the SPCC.
- A dialogue session with CONAFOR, CONAGAN and members of the SPCC.
- A dialogue session with the Chinandega Farmers Association.
- Three meetings to strengthen dialogue and consensus among nursery operators, environmental units, universities and private SPCC technicians.
- A dialogue session with UNAN-León.
- Five dialogue sessions and consensus with indigenous peoples in the PCN regions.

It is worth highlighting the community meetings held for the purpose of strengthening dialogue and reaching consensus on good practices in the ENDE REDD+ Forest Resources Management Programme with mayor's offices and private companies in León and Chinandega (in attendance were actors / stakeholders from the Pacific, Central and Northern regions of Nicaragua. June 2017 (Figure 15).

**Figure 15** Community meeting in the PCN region



### Indicator 8: Consultation Process

Self-evaluation Workshop Results:

Ethnic Groups					Working Groups			
ME	UL	CR	CH	RA	MARENA Technicians	Regional Technicians	Indigenous Leaders	Pres. GTI

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “Considerable progress made” to indicator 8. At individual level, most participants acknowledged there has been considerable progress as regards *consultation processes*. This assessment is based on the fact that participating indigenous and afrodescendant leaders have been called to all representative consultation processes or, at least, a leader per GTI has been involved in the REDD+ readiness process. Participants have expressed their satisfaction with consultations.  
Ethnic groups: Mestizo (ME), Ulwa (UL), Creole (CR), Chorotega (CH), Rama (RA)

### Progress on indicator 8

The consultation process undertaken by Nicaragua in preparation for ENDE-REDD+ is inherent to the direct participation model promoted by GRUN. Through the three working groups who make up the governance platform have designed and developed the studies and proposals in a permanent exercise of dialogue and consultation. The working group II in particular has played a consensus-building and participatory construction by means of the thematic tables that form part of it. In each one of these tables there is representation of indigenous and afrodescendant peoples, such as the case of:

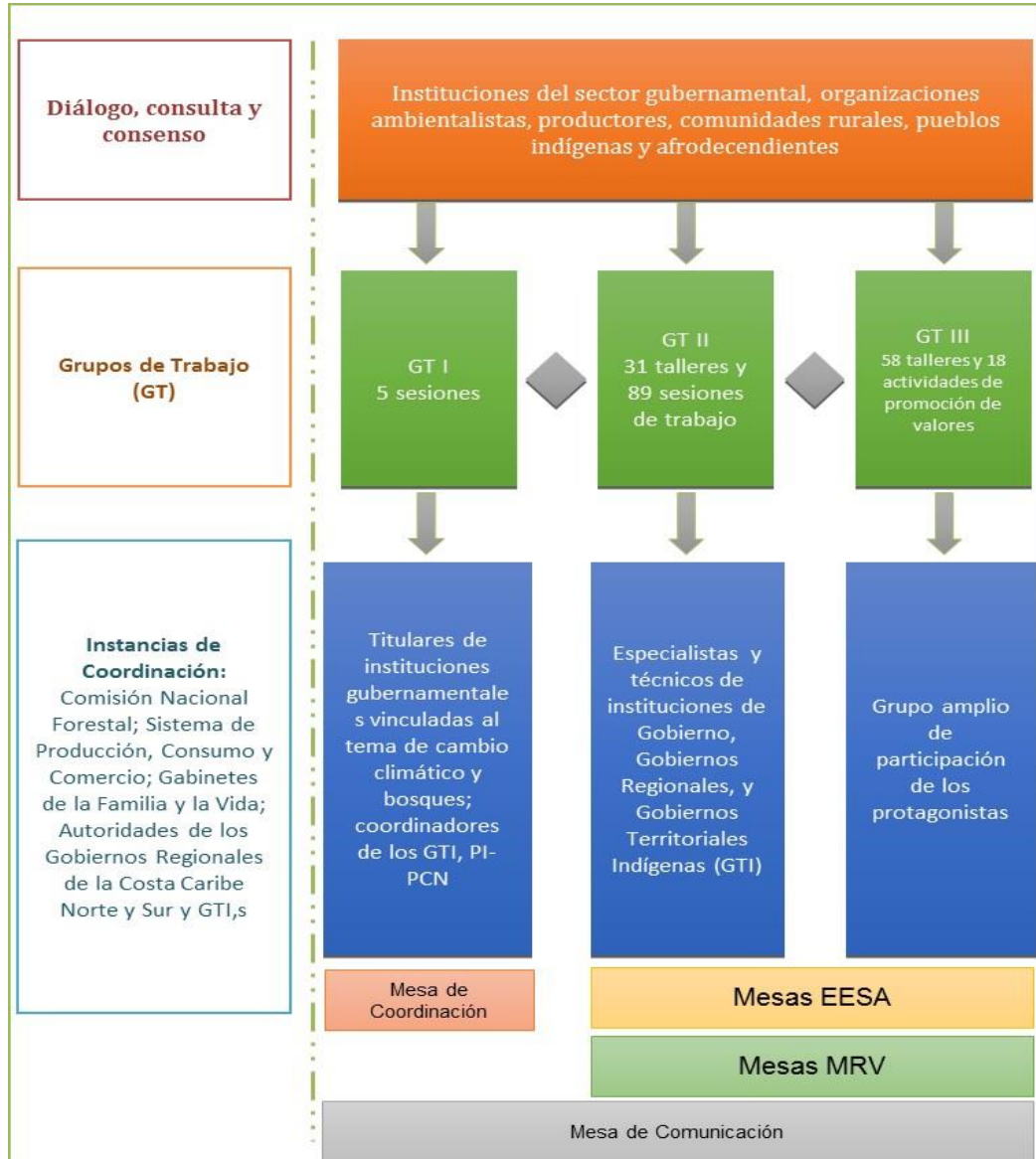
- (i) **Coordination Table:** This is a space for coordination and follow-up of the tasks mentioned in the AOPs<sup>56</sup>.
- (ii) **Social Communication Table:** set up to design and follow up the quality of dissemination of the ENDE-REDD+ goals and advances, as well as the creation of values from Mother Earth..
- (iii) **MRV Interinstitutional Table:** This table is responsible of analysing the technical topics referred to reference levels, monitoring, report and verification, safeguards and non-carbon benefits.
- (iv) **EESA Table:** This work table is aimed at following up EESA’s work plan. It is made up of representatives of the various groups of actors.

For its part, Working Group III has been the prime instance for conducting consultations with community actors and ensuring that all Indigenous and Afrodescendant Territorial Governments express their views on the proposals being prepared, and it is also the forum

<sup>56</sup> AOPs = Annual Operational Plans.

for broad participation For the various sectors (Figure 16). Further details of the dialogue platform, decision making and organizational structure in subcomponent 1a.

**Figure 16** ENDE-REDD programme working groups



**Consultation of the initial version of the ENDE-REDD+ strategy**

The ENDE-REDD+ initial version consultation process was carried out at national and regional levels, with marked emphasis on indigenous and afrodescendant peoples of the Caribbean Coast. As mentioned earlier, in the first phase of ENDE-REDD+, priority will be given to regions on the Caribbean Coast, BOSAWAS Biosphere Reserve and the Indio Maíz Biological Reserve.

Consultation of the ENDE-REDD+ strategy was developed within the framework of respect and restitution of rights of indigenous peoples<sup>57</sup>, in compliance with Law 28 Autonomy Statute of the Caribbean Coast; Law 445 on the Communal Property System of Indigenous Peoples and Ethnic Communities of Nicaragua's Caribbean Coast and of the Bocay, Coco, Indio and Maíz Rivers, and as well as Convention 169, Indigenous and Tribal Peoples Convention.

Information is provided prior to an event to allow for free consent to the ENDE-REDD+'s activity. Territorial and regional technicians, themselves Indians, have explained and transmitted information in the language of ethnic groups and have translated/interpreted in workshops (Figure 17).

**Figure 17** Participation by different actors / stakeholders



Indigenous peoples from the Pacific, Central, and Northern regions of Nicaragua have been invited to participate in national consultations. Other relevant actors have been included, i.e.

<sup>57</sup> In this context, native peoples include indigenous and afrodescendant.



cattle ranchers and tree growers. However, the need to strengthen this process is acknowledged and support for additional funds is expected to continue.

Specifically, 9 consultation activities were held concerning the initial version of the ENDE-REDD+ strategy. These were related to:

1. Presentation before the South Caribbean Autonomous Regional Council (4).
2. Consultation for MGAS and EESA report (1).
3. Consultation of the national ENDE-REDD+ strategy (4).
  - a. A workshop at national level.
  - b. Three workshops at regional level.
  - c. Regional authorities and the EESA RACNN table defined that consultations should be held in three geographical areas: Waspam with 7 GTI; Bilwi with 5 GTI, and the Triángulo Minero with 6 GTI.

Below is a brief description of each type of consultation carried out in the territories.

### **1) Presentation before the South Caribbean Autonomous Regional Council (CRACCS)**

Regional ENDE-REDD+ strategy consultations expanded the participation of each GTI and local stakeholders from the regions on the Caribbean Coast. In each session, the representatives of the region have submitted reports on the advances in readiness to working group I. See the aide-memoires/minutes of the consultation workshops in Whawhasang, Waspam and Puerto Cabezas: <http://enderedd.sinia.net.ni/index.php/2015-06-04-16-22-24/2015-12-21-20-50-42>

The CRACCS is the legislative entity at the RACCS. All indigenous peoples living in the region are represented in it, as are all the political parties. Results achieved during these consultations have been positive. The full council was informed at the plenary that activities had been approved. They have also been critical and/or requested information according to their own needs and interests. Each presentation is briefly mentioned:

#### *Presentation No. 1: 09 September 2014, project presentation*

- Soil studies, farm diagnostics, forest incentives programme, and in particular visit the most remote territories to collect their contributions to this strategy.
- Technical assistance must be provided to improve production in accordance with soil potential.



*Presentation No. 2:* 29 October 2015, several ENDE-REDD+ advances were presented, as well as support to SIMEAR<sup>58</sup>

- The plenary did not object.

*Presentation No. 3:* 19 April 2016, the Feedback Mechanism<sup>59</sup> was presented.

- Mayor's offices should increase their participation in this mechanism.
- Territorial planning is necessary to implement satisfactorily projects that help protect forest resources in the various communities in the region.

*Presentation No. 4:* 28 October 2016, RMT and Legal Analysis were presented

- Immediate action must be taken. No more new paddocks should be allowed.
- The ENDE-REDD+ programme is being built in a participatory manner, involving the GTI, strengthening its capacities, training, workshops, and the results achieved are the product of joint work.

## 2) MGAS consultation and EESA report

MGAS consultation and EESA report were presented on 27 February 2017. There were 72 participants, 51 men and 21 women. Several concerns were raised with respect to social risks. These were addressed in the MGAS document. Some concerns are presented in table 7:

**Table 7** Contributions by participants at the MGAS and EESA consultation workshop

Strategic lines	Expressed concerns
Line 3: Institutional capacity and structure if land use governance	- Lack of knowledge and non-compliance with the implementation of legal regulations and environmental safeguards on the part of institutions.
Line 4: Promote the development of positive incentives	- How to identify resources to encourage communities to conserve their forests. - Internal conflicts can be intermunicipal, interterritorial, and intercommunal. - That the accountability and transparency mechanisms related to the distribution of benefits do not sufficiently ensure their proper use. - How the incentive funds function must be defined or expect the emergence of a more effective mechanism to implement the funds in the country and the autonomous regions
Line 6: Improve forest governance in the territories and indigenous communities.	- Strengthen regional initiatives and articulate these with the national system. -Strengthen and recognize regional strategies.

<sup>58</sup> SIMEAR: Regional system of information, monitoring and environmental education.

<sup>59</sup> The name of the mechanism was subsequently changed.



### 3) ENDE-REDD+ national strategy consultation

As mentioned earlier, the initial version of the ENDE-REDD+ strategy was consulted in 4 consultation workshops: a national workshop, a workshop at the RACCS and two workshops at the RACCN. In this region consultations must be carried out in three geographical zones: Waspam, with 7 GTI; Bilwi, 5 GTI and Triangulo Minero, 6 GTI.

Another consultation workshop has been planned for 2017, in the municipality of Bonanza.

Consultations confirmed the strategic lines. Actions derived from (LE) were built in a participatory manner (Annex 1<sup>60</sup>). These LE collect the options of the working groups formed during the consultation events. In a similar way, the MGAS has been improved with contributions from social and environmental risks.

At the ENDE-REDD+ national consultation workshop 127 participants attended. Of these, 24% were women, and of these 69% were Mestizo and 15% Miskito, while 16% pertained to other ethnic groups in the country. During the national consultation workshop, a number of working groups met to review and read sectors of the strategy document (Figure 18).

**Figure 18** National ENDE-REDD+ Consultation



Regional consultations

<sup>60</sup> [http://enderedd.sinia.net.ni/Docs/DocENDE/13.%20Estrategia%20Nacional%20ENDE%20\(English\).pdf](http://enderedd.sinia.net.ni/Docs/DocENDE/13.%20Estrategia%20Nacional%20ENDE%20(English).pdf)





**Indicator 9: Exchange of and access to information**

Ethnic Groups					Working Groups			
ME	UL	CR	CH	RA	MARENA Technician	Regional Technician	Indigenous Leader	Pres GTI

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “Good progress, needs more development”. At individual level, most participants acknowledged that they had noticed forward steps but improvements were needed in a number of areas, such as increased dissemination of activities.

The examples offered for *exchange of and access to information* reflected that information channels can still be improved to ensure wider dissemination and access to products developed in the REDD+ readiness process, thus facilitating access for a wider spectrum of stakeholders  
 Ethnic groups: Mestizo (ME), Ulwa (UL), Creole (CR), Chorotega (CH), Rama (RA)

**Progress on indicator 9**

ENDE-REDD+ is implementing the Social Communication Strategy (ECS), which abides by GRUN’s communication policies to ensure compliance with the right to information and



freedom of expression. The ECS seeks to strengthen participation, dialogue, consultation and dissemination of activities carried out in the ENDE-REDD+ readiness phase (Figure 19).

ECS disseminates information on activities carried out by GRUN to reduce deforestation and forest degradation by implementing sound environmental practices through the various means of communication: radio (regional-national), television (regional), printed (brochures, leaflets, primers, etc.) oral (workshops, fairs, exchange of experiences, and others) and digital (web page).

**Figure 19** Important ECS outcomes in the REDD+ readiness process



### ***Exchange and dissemination***

Work tables with communicators from the RACCS and RACCN were set up within the framework of the ECS, in order to validate thematic contents and publicity pieces in such a way that communication becomes comprehensive, inclusive, and coherent, as well as respectful of cultural traditions, languages and ways of living and coexisting with nature.

The ECS ensures exchange and dissemination through:

- (i) Oral and direct communication with the various stakeholders involved, including Miskito, Mayangna, and Creole English translators from native communities and peoples of African descent. Their participation in the various events is aimed at improving understanding and command of the topics dealt with.
- (ii) Direct presence of territorial and regional programme technicians who are native to the area and can explain and transmit the required information in their native languages.



- (iii) Radio and TV messages have been created based on consensus with the various regional institutions, in their respective languages and thematic content of their own creation. Thus, short, simple, and creative sketches are disseminated in Spanish and the local languages spoken in regions of the Caribbean Coast, such as Creole and Miskito.

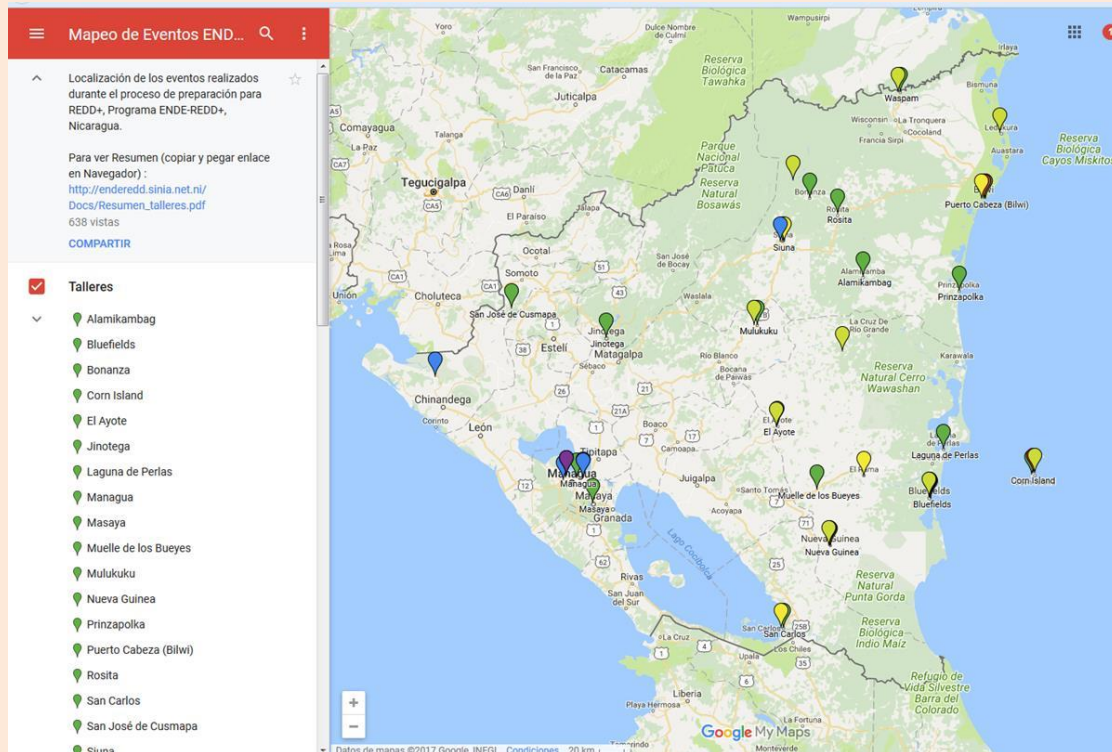
### ***Access to information***

The information put together during the ENDE-REDD process is shared through a variety of communication channels:

- Radio: At the RACC messages related to care and protection of natural resources are disseminated in Miskito, Creole, and Spanish on local radios. The goal is to inform the various stakeholders about climate change, reference levels and how to take care of forests. This is intended to promote appropriation and participation in climate-related matters by explaining these in simple terms and in the locally spoken language.  
Page link: Radio Campaign in the Regions (see annex with radio maps).
- Television: Radio spots created in Miskito, Creole and Spanish are transmitted on local TV channels. This allows us to reach the various stakeholders, including forest owners, producers, families and communities.
- Written media: The National ENDE-REDD+ Programme has developed a brochure with information and a description of components, reference levels, their benefits, and other impacts in both Miskito and Mayangna.
- A grassroots primer with environmental content related to the ENDE-REDD+ strategy was developed in a simple, inclusive, and respectful language toward the culture and idiosyncrasy of the stakeholders within the framework of regional and national consultations.
- A web site is hosted in the MARENA/SINIA page ([enderedd.sinia.net.ni](http://enderedd.sinia.net.ni)), which permanently updates the progress made in readiness, training activities, and workshops held, including workshop reports and other documents created within the framework of ENDE-REDD+ (Box 7).



Box 7. Mapping of events in the ENDE-REDD+ readiness process.



**Figure 20** Web site that contains a section titled 'Mapping of events,' intended to disseminate news about events held (workshops, work sessions, etc.) within the framework of the REDD+ readiness process in Nicaragua.

Map keys in <http://enderedd.sinia.net.ni>

Workshops = dark green; work sessions = red; fora = yellow; conferences = blue; fairs = brown; concerts = violet; visits = pale green.

### **Channel of communication**

ENDE-REDD+ considers oral communication as essential to the process of transmitting formal and informal information, as it helps coordinate activities with the GTIs and stakeholders in native communities and peoples of African descent. Community leaders replicate the messages through a variety of spaces in the community and the territory. The importance of implementing the ENDE-REDD+ Programme is discussed in workshops, exchange of experiences, and visits to local stakeholders.

Our teaching activities related to care and protection of natural resources, especially forests, have been part of this process of communication by organizing environmental festivals and marches, as well as ecological concerts to sensitize participants to love of Mother Earth. Environmental messages are promoted in these activities through group dynamics and printed thematic documents on related issues strictly pertaining to the environmental programme.



A proposal to produce an ENDE-REDD+ grassroots primer was addressed at the social communication table within the framework of national and regional consultations related to the Strategy to reduce emissions from deforestation and forest degradation in the face of climate change. This is intended to transmit simple messages, respectful of the culture and idiosyncrasy of the participants. This material has been subject to consultation and validation to subsequently create a new version and replicate it.

Furthermore, a brochure on the ENDE-REDD+ National Programme was developed to explain programme components, their benefits and impacts. It was translated into Miskito and Mayangna (Figure 21).

**Figure 21** Cover page of the ENDE-REDD+ Programme brochure in Miskito, Spanish and Mayangna.



ENDE-REDD+ brochures and leaflets may be accessed at:  
<http://enderedd.sinia.net.ni/Docs/Material%20ENDE/folletos/>

## **Indicator 10: Implementation and dissemination to the public of consultation results**

Self-evaluation Workshop Results:

Ethnic Groups				Working Groups			
ME	UL	CR	MI	GTI	MARENA Technicians	SERENAs	GRACC

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “Considerable progress made”. At individual level, most participants assessed as positive the progress made in disseminating information and the increase in dissemination of activities, as well as efforts to present materials in the country’s native languages. Nonetheless, they advocate promotion of increased participation and local dissemination of the progress made by the programme.

Ethnic Groups: Mestizo (ME), Ulwa (UL), Creole (CR), Miskito (MI)

### **Progress on indicator 10**

The communication strategy has as one of its goals to ensure effective management of the information needed by a number of management systems to operate. It also seeks to incorporate consultation results to the ENDE-REDD+ design. The three participation mechanism groups have carried out consultations with stakeholders (see indicator 7), but especially in groups I and II. The UEP has designated a working group within the ENDE-REDD+ team to coordinate management of knowledge, data and information related to ENDE-REDD+ with MARENA’s communication experts.

### **Information management in group I**

Group I (political level) usually discusses information provided by UEP in order to make strategic decisions concerning the ENDE-REDD+ design. As a general rule that information is the result of technical analysis of specific matters (i.e. environmental and social impacts of the ENDE-REDD+ activities, feasibility of strategic options) requiring political orientation. Technical tables will decide jointly with UEP when to request guidance from Group I.

In preparation of meetings with Group I, UEP will e-mail background documentation to be reviewed by group members, and a list of critical issues in need of guidance. The UEP will record the conclusions arrived at, incorporate these to the revised documents and/or communicate them directly to working tables. These will, in turn, incorporate the conclusions as applicable.

The UEP will also request document approval from Group I. Approval from Group I of key documents such as the ER-PIN, annual progress report submitted by MARENA to the FCPF,



and the mid-term report, is generally the second to last step prior to their publication, with approval from the President of Nicaragua being the last step.

Document approval consists of a process of verification by group members that orientations provided during the process of document development were taken into account. Results are usually positive, as the members of Group I have technical staff from their respective institutions working in Group II, who will ultimately make sure that these recommendations are incorporated into the ENDE-REDD+ design.

The UEP is also ready to incorporate the results of document verification by Group I which require to reflect sudden changes in national legislation or policy.

### **Information management in Group II**

The flow of information required for technical consultations carried out by Group II was defined jointly by MARENA and the SERENAs of the regional governments on the Caribbean Coast. MARENA draws up drafts of the proposals to be subsequently discussed at the various work tables. The comments and recommendations agreed upon by all stakeholders involved in the sessions are recorded in minutes and duly filed.

MARENA and the SERENAs share The revised drafts together with a matrix explaining how and if comments were incorporated into the new version of the document in question are e-mailed by MARENA and the SERENA to work table members. The ENDE-REDD+ staff working in the autonomous regions on the Caribbean Coast visits people who have no access to e-mail to inform them of how information has been managed in a specific process and the following decision making steps to be taken.

At the EESA tables, information management is based on documents prepared by the UEP, work agendas analysed by SERENAs to give them their approval or recommendations for change. The information flows from the UEP to SERENA by e-mail or as a result of a coordination meeting from the latter to the EESA work table. A minute is recorded during meetings.

On the other hand, the MRV table holds work meetings attended by officials from MARENA, INAFOR, INETER, MAG, INTA, FONADEFO in particular. The conclusions of work meetings are filed in graphic and narrative summaries, which include the list of participants, the work agenda and guide, and the agreements reached at the meeting. All participants will receive the minute and agreements of each meeting within a period no longer than 7 to 10 days after it was held.

Furthermore, MRV table meetings are hosted in the ENDE-REDD+ project web site. Final decisions and agreements reached in each meeting are recorded clearly and briefly, and shared by all the stakeholders involved. In practice all technical topics are discussed and decisions are made after an analysis has been carried out. In June 2016, the MRV table



resumed its work given the need to discuss and analyse a number of key issues related to NREF and MRV, such as: definition of forest, protocols for map validation, reference years for an analysis of change in land use, interinstitutional monitoring and coordination, monitoring of the causes of deforestation and forest degradation, adjusted NREF parameters, review of methods and use of official data, among others.

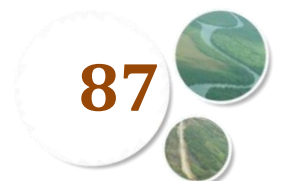
## **Next steps – Component 1**

### **Sub-component 1a**

- Continue implementing funds and creating conditions to implement additional funding.
- Strengthen coordination mechanisms with MEFCCA, producers and regional governments to design an emission reduction programme.
- Strengthen institutional capacities at MARENA, INAFOR, MAG and regional governments by providing training to the MRV table.
- Support the creation of a team to work on the topic of financing regarding climate change and resource management in the MHCP.
- Draw up an ER-PIN proposal for an emission reduction programme at the dry corridor.
- Create capacities for implementation of the communication strengthening mechanism.
  - Test the functioning of the mechanism.
  - Train indigenous leaders and those of African descent on how to incorporate information to the mechanism.

### **Sub-component 1b**

- Strengthen dialogue and coordination in the Pacific, Central and Northern regions of Nicaragua.
- Conduct consultation processes in the communities of the autonomous regions. These will be carried out with GTI support. Thus, the request for additional funds is US\$100,000
- Strengthen dialogue and consultation with the PI-PCN.
- Keep the web page updated.
- Strengthen information dissemination on radio, and television, as well as through written and digital means.
- Develop printed educational materials for ENDE-REDD+.



## Component 2: Programme Readiness

### *Sub Component 2a. Evaluation on land use, factors causing changes in land use, the Forestry Law, policy and management.*

#### **Indicator 11: Evaluation and analysis**

Self-evaluation Workshop Results:

Ethnic Groups			Working Groups						
ME	CR	MI	GRACCS	CRACCS	GTI	PI-PCN	SERENA	URACCAN	CONAGAN

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “Good progress, needs to be developed further”. At individual level, most participants stated that they had noticed considerable progress in analysing recent historical tendencies in land use. However, their perception is that scant progress has been made as regards forest legislation, matters linked to policies and management. During the event, participants were of the opinion that the way the information on this issue and the progress made is disseminated needs to be improved.

Ethnic groups: Mestizo (ME), Creole (CR), Miskito (MI)

#### **Progress on indicator 11**

##### ***Analysis of recent historical tendencies in land use***

In order to analyse historical tendencies in land use, MARENA, in coordination with INETER and INAFOR, conducted a process of spatial multi-criteria and multi-temporal analysis for years 1983, 2000, 2005, 2010 and 2015, by using LandSat images. The multi-temporal analysis is a milestone for the country because it forms part of a base with which to compare each evaluated year and represents a key data base to analyse the forest reference level (2005 to 2015).

As a result of this process, there is a broad and consistent spatial database that allowed a better and more in-depth analysis of deforestation and forest degradation hotspots in the country, as well as the effects on key ecosystems and the jurisdiction of protected areas, municipalities and indigenous towns. This data base is national in scope and contributes conclusively to update statistical data of changes in land use and the state of forests in the period from 1983 to 2015.

In order to move forward with the specific studies required by the ERPD (PRE-CBI region), technical support is made available by the international firm AGRESTA S.A., expert in





teledetection analysis, changes in carbon use and accounting. AGRESTA's technical support will be key to advance in updating activity data and uncertainty estimates, analysis of reversions and leaks, as well as revision of emission factors.

### ***Factors causing changes in land use***

In the year 2017 the ENDE-REDD+ Programme completed a study on the causes of deforestation and forest degradation. The study was an inclusive process in which more than 595 stakeholders participated in 20 events (workshops/work sessions), by means of which the relationship of historical tendencies related to deforestation and forest degradation was evaluated.

Below is a summary of the methodological process followed by the study of the causes of deforestation and forest degradation in Nicaragua (Figure 22):

Step 1: The information presented in the RRP<sup>61</sup> and ER-PIN<sup>62</sup> documents, and in the EESA workshops<sup>63</sup> held in 2012 and 2015, respectively, was reviewed prior to preparation of the first study draft. It included a description of the state of forests and deforestation from 2000 to 2010, and a systematization of direct and indirect causes reported to date, driving forces and areas of influence. Furthermore, it addressed the legal and institutional aspects involved and the country's efforts to reduce the detected causes.

Step 2: A phase of internal review of the study began with, among other things, the planning of a methodology to prioritize the causes of deforestation and forest degradation. Informal interviews were conducted with key actors and local workshops were carried out at the RACCN and RACCS to address the causes of deforestation and forest degradation (D&D causes). Plans were concurrently made to update background information for the national analysis/survey of the forest cover, use of land and changes in its use. These were intended to improve estimates of the deforestation rates, forest areas and off-forest areas.

In June 2016 began the standardization of national maps for the years 1983, 2000, 2005, 2010 and 2015. This included the development of a protocol to validate these national maps, the standardization of methods to classify the country's cover, and estimation of classification errors, among other aspects. Based on these efforts, an analysis of between periods for the years 1983-2000, 2000 and 2010, 2005-2015, 2000-2015, was incorporated to the D&D causes.

Step 3: After a round of internal reviews the need to improve the analyses submitted became evident, particularly as regards information of the nature of causes, their spatial distribution and relative importance to the total emissions derived from deforestation and forest

<sup>61</sup> [https://www.forestcarbonpartnership.org/sites/forestcarbonpartnership.org/files/Documents/PDF/June2012/R-PP\\_Nicaragua\\_versi%c3%b3n\\_%20formal\\_junio0112\\_cerrado.pdf](https://www.forestcarbonpartnership.org/sites/forestcarbonpartnership.org/files/Documents/PDF/June2012/R-PP_Nicaragua_versi%c3%b3n_%20formal_junio0112_cerrado.pdf)

<sup>62</sup> [https://www.forestcarbonpartnership.org/sites/fcp/files/2015/September/Nicaragua\\_ERPIN\\_Sept%2021%202015\\_final\\_Sp.pdf](https://www.forestcarbonpartnership.org/sites/fcp/files/2015/September/Nicaragua_ERPIN_Sept%2021%202015_final_Sp.pdf)

<sup>63</sup> A total of ten workshops were carried out.



degradation. A qualitative and quantitative method to evaluate the D&D causes was created at this phase. A round of consultations was carried out to obtain feedback of the report.

Step 4: Finally, after receiving feedback, the new report draft focused on improving some aspects of the characterization and prioritization of the causes. It also centred on including spatial and statistical analyses to show the relationship of multiple factors with the national, regional, and municipal processes of deforestation and degradation. In order to strengthen the study, secondary sources of publications from GIZ, CATIE, INAFOR, INETER, MARENA, GRACCS, GRACCN, MEFCCA, INTA, GTI, MAG and academia were consulted, as was the information contained in the aide-memoires of the various EESA activities developed by the ENDE-REDD+ project, particularly in the autonomous regions on the Caribbean Coast, and in other areas of the Pacific, Central and Northern regions of Nicaragua.

The main results achieved by the study of D&D causes are as follows:

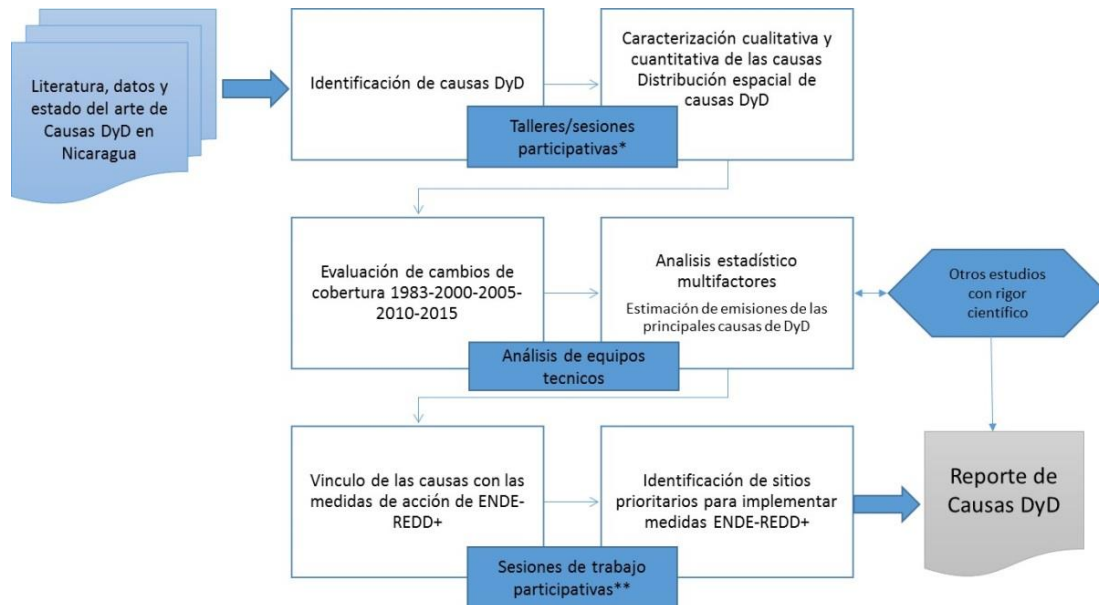
- Fundamental, direct and indirect causes of deforestation and degradation have been detected.
- Hotspots of deforestation between periods (1983-2000, 2000-2005, 2005-2010, 2010-2015) have been detected at national and regional level.
- The relative importance of each cause has been established according to the perception of stakeholders in Nicaragua's regions and the relative emissions of direct causes of deforestation and forest degradation.
- The causes of deforestation and degradation are characterized qualitatively and quantitatively.
- The link between ENDE-REDD+ actions and D&D direct causes has been analysed.
- Preliminary detection of priority areas to take ENDE-REDD+ actions based on a multi-criteria analysis.

The document of the study of the causes of deforestation and forest degradation is accessible at the following link:

[http://enderedd.sinia.net.ni/Docs/DocENDE/2.%20Estudio%20Causas%20Desforestaci%3%b3n%20y%20Degradaci%3%b3n%20Forestal%20\(English\).pdf](http://enderedd.sinia.net.ni/Docs/DocENDE/2.%20Estudio%20Causas%20Desforestaci%3%b3n%20y%20Degradaci%3%b3n%20Forestal%20(English).pdf)



**Figure 22** Methodology by which to study the causes of deforestation and degradation in Nicaragua



The relationship between historical tendencies in land use was assessed at a number of work sessions. The analysis of multiple factors, both socio-economic and biophysical (variables and proxies<sup>64</sup>), related to deforestation and forest degradation was completed. In addition, hotspots of deforestation and forest degradation between periods from 1983 to 2015 were detected.

Furthermore, MARENA in coordination with INETER and INAFOR completed the process of multitemporal spatial analysis for the years 1983, 2000, 2005, 2010 and 2015, with *Landsat 30 m resolution images*. The multi-temporal analysis is a milestone for the country because it forms part of a base with which to compare each evaluated year and represents a key data base to complete the forest reference level analysis (2005 to 2015) (see component 3 section).

There is at present a broad and consistent spatial database which permitted more in-depth and improved analyses of the country's hotspots of deforestation and forest degradation. It also allowed for evaluating the effects on key ecosystems, as well as on jurisdictions of protected areas, municipalities and indigenous towns. This national database certainly contributes to update statistical information on changes in soil use and the state of forests from 1983 to 2015.

During the readiness phase, MARENA focused on overcoming methodological limitations to quantify deforestation and forest degradation. A more in-depth analysis of historical

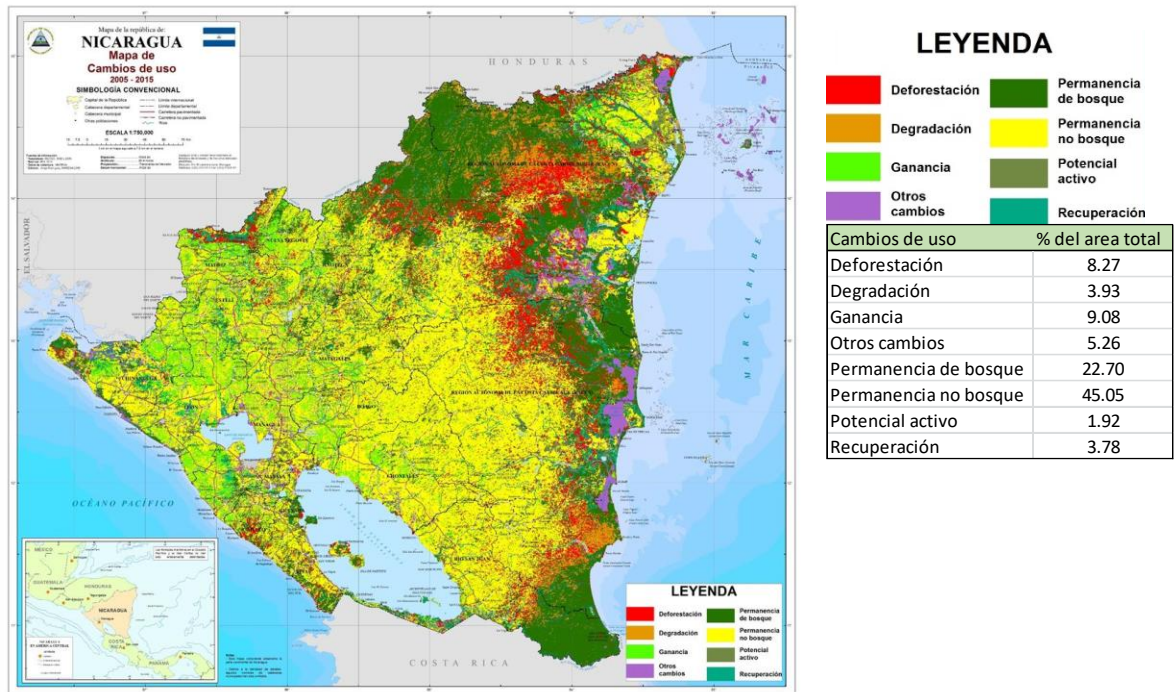
<sup>64</sup> A proxy variable is not in itself of great interest, but it can provide information from other variables of great interest.



tendencies of changes in soil use nationwide was carried out. The study was an inclusive process in which more than 595 stakeholders participated in 20 events (workshops/work sessions).

Changes in soil use between periods were evaluated from 1983 to 2105. However, the period of interest to establish the scenario of reference was from 2005 to 2015. Figure 23 shows the changes in use reported during the period from 2005 to 2015. Deforestation represented 8.27% and forest degradation, 3.93% of the total area in Nicaragua.

**Figure 23** Historical changes in soil use reported from 2005 to 2015 in Nicaragua



The analyses of hotspots of deforestation and forest degradation nationwide have been completed. First, steps forward were taken with studies on the Caribbean Coast. In the second half of the donation period, progress was made with studies to bring to light the state of forest resources in the Pacific, Central and Northern Regions of Nicaragua (PCN).

***Analysis of matters relevant to land tenure and titles, rights over natural resources, livelihoods and issues related to forest legislation, policy and management***

ENDE-REDD+ contributed to the evaluation study of land tenure and use of natural resources for the ERPD programme. The study did not identify barriers or conflicts related to property rights. However, problems were identified in soil use and changes in its use in the area of accounting, affected by issues derived from two large dimensions:

(i) An exogenous dimension or structural problem of economic order that has to do with the pressure exerted by vulnerable population groups who migrate elsewhere in the country in search for better economic opportunities and develop extensive agricultural productive systems; and

(ii) An endogenous dimension that brings to the fore the weaknesses in territorial planning, follow-up and control of management plans for protected areas, forest exploitation plans, follow-up and control of domestic use exploitation. It includes review and harmonization of the rules and regulations of communities and territories in general, despite the existence of an adequate legal framework.

The country has made progress in creating business and investment opportunities which promote social and economic development. The offer of creating a general and business regulatory framework to foster public-private investment actions was attractive and created opportunities for ethnic groups, indigenous and afrodescendant peoples. Nonetheless, the capacities of stakeholders need to be strengthened further, and equitable negotiations and investments are to be procured to protect and exploit resources in a sustainable manner.

Despite legal regulations in force to protect forest soil, according to which the land defined as forest or with forest vocation<sup>65</sup> shall be exploited with a sustainable base and not be subject to changes in use, changes in use have been made that are contrary to the legal provision set forth.

Nicaragua has made considerable progress in public policies dealing with use, protection, conservation and restoration of Mother Earth, and in calling the various segments of society to share responsibility.

The country has a full legal framework for forest management and use, which consist of the following main legal instruments: The National Environmental and Climate Change Strategy, the Forest Development Policy, the Conservation, Promotion and Sustainable Development of the Forestry Sector Law (462) and its regulations, administrative provisions for sustainable management of tropical broadleaf and coniferous forests, as well as forest plantations, Decree 32-2006 declaring economic emergency at the RACCN, RACCS and the departments of Río San Juan and Nueva Segovia, due to illegal tree felling transportation, handling, processing, storing, possession, export and commercialization of forest resources; Closed Forest Season Law (585), the National Forest Development Policy; the Law of Environment and Natural Resources, and Decree 01 – 2007 by which SINAP was created.

In addition to the foregoing, it has a legal framework that safeguards land tenure, property rights are recognized in the Constitution of Nicaragua [\[1\]](#) which sets forth the various forms of ownership and classifies them as public, private, associative, cooperative, community, communal, family, and mixed. It ensured land tenure without any discrimination for the

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<sup>65</sup>Law 217, Law of Environment and Natural Resources, Articles 98 to 101



purpose of producing wealth and, at the same time, fulfilling a social role for the benefit of the population and the country. The RACCs have a special legislation that ensures and recognizes ownership of the indigenous and afrodescendant peoples through laws 445 and 28.

According to data from the Property Intendancy in 2014<sup>66</sup> more than 133,391 rural and urban titles were granted, particularly in Pacific, Central and Northern Nicaragua. Twenty three territories of indigenous and afrodescendant peoples grouping together 304 communities have received property titles in the Autonomous Regions on the Caribbean Coast and the territories located in the Alto Wanki and Bocay basin under a special development regime.

**Indicator 12: Setting priorities regarding direct and indirect causes of barriers to increase forest carbon reserves**

Self-evaluation Workshop Results:

Ethnic Groups			Working Groups						
ME	CR	MI	GRACCS	CRACCS	GTI	PI-PCN	SERENA	URACCAN	CONAGAN

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “Good progress, needs to be developed further”. At individual level, most participants stated that they had noticed considerable progress in analysing recent historical tendencies in land use. However, they noticed few advances in forest legislation, policies and management. During the event, participants were of the opinion that dissemination of information and the steps forward taken on these topics should be improved.

Ethnic groups: Mestizo (ME), Creole (CR), Miskito (MI)

**Progress on indicator 12**

**Setting priorities regarding causes of deforestation and forest degradation**

Causes were prioritized using qualitative and quantitative methods at regional and national level. By means of participatory workshops, participants prioritized the causes based on their perception of the impact each one had on its environment (locality). The EDAN method was used to evaluate damages caused by environmental emergencies. This is the method implemented by MARENA’s Directorate of Environmental Emergencies (Table 8).

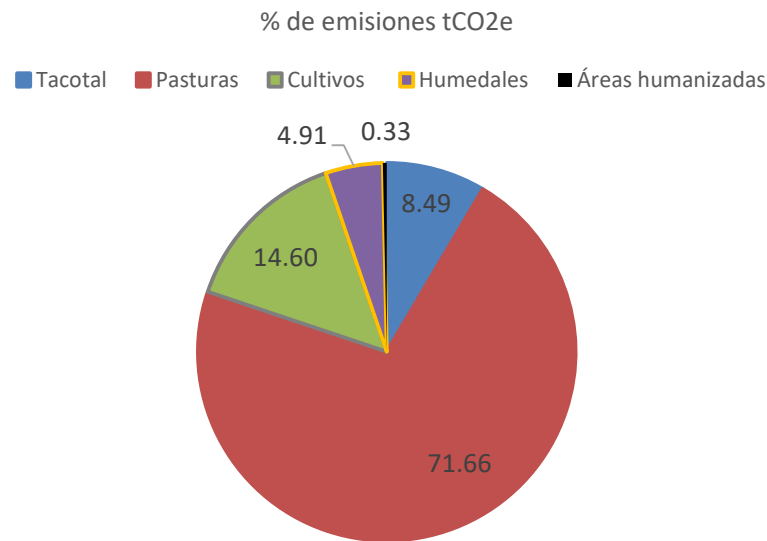
<sup>66</sup> <http://www.pgr.gob.ni/index.php/areas-de-la-pgr/intendencia-de-la-propiedad>

Then, spatial methods were applied to estimate the area affected by each direct cause (ranching, agriculture, forest regrowth [*tacotales*], among others). Estimates were also made of emissions generated by each cause due to loss of forest (Figure 24), and of those generated by forest degradation. However, these proved to be of no significance (less than 8%) when compared with emissions caused by deforestation.

**Table 8** Perception of impact from direct causes of deforestation and forest degradation by region

Regions/ Direct Causes		Ranching	Agriculture	Mining	Firewood	Fires	Timber Extraction
Deforestation	Caribbean Coast	XXX	X	XXX			
	PCN	XX	XXX	X			
Fires Degradation	Caribbean Coast				XXX	XXX	XXX
	PCN				XXX	XX	XX

**Figure 24** Percentage of estimated emissions by contribution to deforestation made by each direct cause during 2005-2015



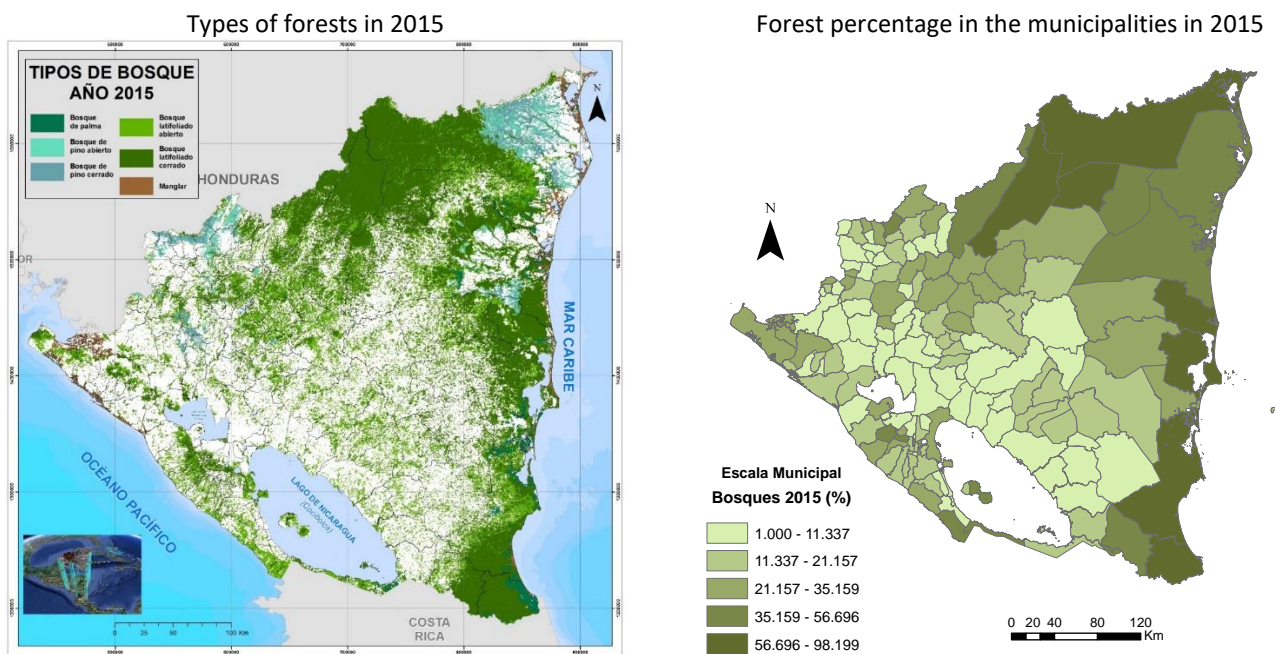
### Priority areas of ENDE-REDD+ implementation

ENDE-REDD+ has been defined as a programme of national scope which will be implemented by stages, taking into account economic resources, the priorities set regarding direct and

indirect causes of deforestation and forest degradation, and current percentage of natural forests in the country (Figure 25).

As was previously mentioned, GRUN has given priority to the autonomous regions on the Caribbean Coast, as together they contain 82% of the country’s natural forest and the highest deforestation and forest degradation levels over the past years. The second implementation phase will focus on the North-Central region, which borders the Caribbean Coast land area and still harbours significant natural forests, including the **largest areas** of natural coniferous forests. The final stage of implementation will be in the Pacific region, as it is here that the least amount of natural forests have been conserved

**Figure 25** Current forest cover at national and municipal scale



MARENA advanced in setting priority areas for ENDE-REDD implementation by applying strict methods of multicriteria analysis. Direct and indirect causes of deforestation supported the setting of priorities by region and the corresponding definition of the ENDE-REDD+ strategic guidelines (MARENA 2017a).

Figure 26 shows priority areas for ENDE-REDD+ implementation. It is worth to point out that the prioritization process should be complemented with economic analysis to evaluate the socio-economic and environmental feasibility of investment in critical areas defined by means of a multicriteria model.

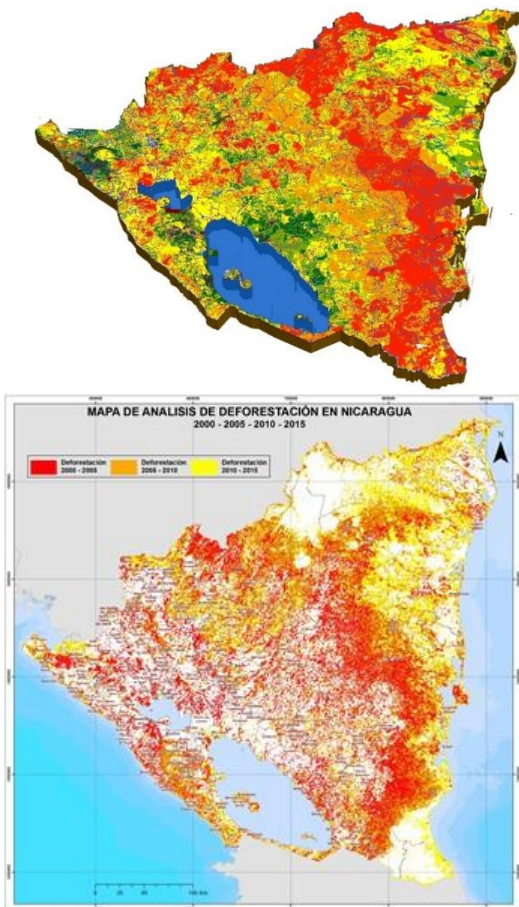
At present there is an expert who evaluates investments in the PRE-CBI region, that is, the region prioritized for this ENDE-REDD+ development stage. The study “Identification of Actors



and Mapping of Relevant Investments within the framework of the Emission Reduction Programme for the Caribbean Coast, BOSAWAS Biosphere Reserve and the Indio-Maíz Biological Reserve.”

A preliminary study advance is expected to be completed in 2017, as well as the analysis required for setting priority areas to implement ENDE-REDD+. The study seeks to analyse public and private investment, whether with internal financing or from international cooperation (bilateral and multilateral, as well as identification of actors and existing or potential financial mechanisms to contribute to the interventions programme required for implementing REDD+ measures in that region of the country: [http://enderedd.sinia.net.ni/Docs/Docsl/Informe\\_Final,%20Mapeo%20de%20finanzas%20y%20actores,%2018%20abr%202017.pdf](http://enderedd.sinia.net.ni/Docs/Docsl/Informe_Final,%20Mapeo%20de%20finanzas%20y%20actores,%2018%20abr%202017.pdf)

**Figure 26** Results of the multicriteria model, showing national priorities for implementing ENDE-REDD+ actions.



**Multicriteria model to show priorities for strategic ENDE-REDD+ actions (MARENA 2017a):**

- \*Reduction of deforestation and forest degradation, and increase in ecosystem assets and services in the country.
- \* Sustainable management of forests, water, energy, soils; value chains and green trade, and their contribution to local, regional and national economy.
- \* Improve RRNN governance and increase resilience of the population and ecosystems in the face of climate change.
- \* Adaptation management of the RRNN and conversion of productive systems at national level.

**Areas with higher priority:**

In North and South Caribbean Autonomous regions, BOSAWAS and the Southeast Nicaragua Biosphere Reserves, Wawashang and other bordering protected areas, as well as some small areas in the PCN regions. The areas marked in red should be reviewed at a more local scale to evaluate the social, environmental and economic viability of the ENDE-REDD+ measures.

**Indicator 13: Relation between factors causes of barriers and ENDE-REDD+ activities**

Self-evaluation Results:

Ethnic Groups			Working Groups						
ME	CR	MI	GRACCS	CRACCS	GTI	PI-PCN	SERENA	URACCAN	CONAGAN

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “more development needed”. At individual level, most participants stated that there is scarce information on the advances in barrier management and despite knowing factors and causes, the relationship between the two was not known. Participants considered that the way the information related to this topic is disseminated needs improvement and thus more development is required.  
Ethnic groups: Mestizo (ME), Creole (CR), Miskito (MI)

**Progress on indicator 13**

During the preparation of the ER-PIN, an analysis was carried out of barriers per strategic guideline defined in a broad and participatory process. A total of 18 barriers limiting the activities to increase carbon reserves and ENDE-REDD+ implementation were defined<sup>67</sup>. In 2016 a more in depth analysis of barriers was conducted to make sure that the barriers to ENDE-REDD+ implementation and their possible solutions were adequately identified so as to put forward integral solutions in ENDE-REDD+ activities and the implementation strategy at national level (Annex 11).

Advances have been currently made in analysing relations between causing factors and barriers to the implementation, as well as the impact that each LE could have (Table 9).

More detailed information on barriers related to the identified causes is presented in Annex 11. The analysis of barriers and direct and indirect causes is expected to be completed in the second semester of 2017 (underlying). Furthermore, a more in-depth analysis is expected to include aspects of feasibility (i.e. social and economic) which provide technical guidelines on how to overcome barriers to the ENDE-REDD+ implementation, such as technical and institutional barriers, among others.

<sup>67</sup> Review ER-PIN. Appendix 5.2-1, column E.

**Table 9** Direct and underlying causes, connected strategic lines, expected effects of REDD+ activities, importance, area of influence and uncertainty

Type of identified causes	Connected Strategic Line <sup>5</sup>	Effects <sup>1</sup>	Importance <sup>2</sup>	Area of Influence <sup>3</sup>	Uncertainty <sup>4</sup>	Identified Barriers
<i>Direct causes of deforestation</i>						
Cattle Ranching	LE 2,3,4	D	High	PRE-CBI++, PCN+	Low	-Absence of social audit mechanisms. -Little respect for laws and regulations. -Ignorance of regulations.
Agriculture	LE 2, 3,4	D	High	PRE-CBI++, PCN+	Low	
Mining	LE 2,3,4	DD	Low	PRE-CBI+ PCN+	Medium	
<i>Direct causes of degradation</i>						
Firewood and carbon consumption	LE 1,2,3,4	DD+	High	PRE-CBI++, PCN++	High	
Illegal felling	LE 3,4	DD+	High	PRE-CBI++ PCN++	High	
Illegal felling	LE 2,3,4	DD+	High	PCN+ PRE-CBI++	Medium	
Forest fires	LE 1,2,3,4	DD+	Medium	PRE-CBI++ PCN+	Medium	
<i>Indirect or underlying causes</i>						
Economic	LE 1,2,3,4,5,6	REDD+	High	PRE-CBI++, PCN++	Low	Limited resources for campaigning and expanding institutional presence (LE1 y LE2)
Productive	LE 3,4,5	REDD+	High	PRE-CBI, PCN	Low	
Institutional	LE 1,2,3,4,5,6	REDD+	High	PRE-CBI, PCN	Low	
Forest	LE 2,3,4,5	REDD+	High	PRE-CBI, PCN	High	

Codes:

No.	Column description	Categories	Category description
1	Effects: REDD+ activity boosted by reduction of direct and underlying causes, and implementation of actions under the connected strategic line.	D	Deforestation
		DD	Deforestation and forest degradation
		DD+	Deforestation, forest degradation and sustainable forest management
		D+	Forest management and conservation of stored carbon.
		REDD+	Deforestation, forest degradation, sustainable forest management, increase in carbon stocks, and conservation of stored carbon.
2	Importance = Level of importance according to stakeholders' perception.	Importance	Low
			Medium
			High
3	Region = area of the country where the cause has greater impact ++ : indicates the cause (direct and underlying) has greater impact. + : indicates the cause has (direct and underlying) less impact.	Region	PRE-CBI
			PCN
4	Uncertainty = knowledge of the cause (origin and magnitude) to monitor changes in it.	Uncertainty	Low
			Medium
			High
5	LE = Strategic lines that assist/combat the causes (direct and underlying)	Strategic Lines (LE)	1 - 6

**Indicator 14: Action plans to address the rights to use natural resources, land tenure and management.**

Self-evaluation results:

Ethnic Groups			Working Groups						
ME	CR	MI	GRACCS	CRACCS	GTI	PI-PCN	SERENA	URACCAN	CONAGAN

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “considerable progress made”. At individual level, most participants see positive advances have been made because they have learned about the progress made by the programme in this theme during their participation in work sessions and workshops on land tenure and forest management.

Ethnic groups: Mestizo (ME), Creole (CR), Miskito (MI)

**Progress on indicator 14**

Nicaragua has a sound legal framework that guarantees the legal conditions to develop ENDE-REDD+initiatives. Nicaragua’s Constitution recognizes the following types of property: private, communal, public, associative, cooperative, family and mixed.

As regards land tenure, the country has a full legal framework that provides legal security to owners, holders, and tenants According to INAFOR 2009, 53% of land holding is private property; 31%, communal property; 13%, public property; 1%, municipal property, and 2% other property systems.

In Nicaragua, 49% of forests are found in the Autonomous Regions on the Caribbean Coast (RACC, INAFOR 2009), a relevant area in the ENDE-REDD+ readiness, as has been explained in previous sections (see Box 1).

Since 1987, the region has been under autonomous rule as per the Constitution and Law 28, as well as the Autonomy Statute of the Caribbean Coast of Nicaragua which guarantee indigenous and afrodescendant peoples their rights to use and enjoyment of natural resources and their lands. Protected by Law 445 in the year 2001, a process of demarcation and titling started in the indigenous and afrodescendant territories on the Caribbean Coast, and along rivers Bocay, Coco, and Indio Maíz. In 2016, the National Demarcation and Titling Commission (CONADETI) has issued 23 titles for indigenous and afrodescendant territories which extend over an area of 37,252.91 km<sup>2</sup>, equivalent to 31.4% of the country’s surface area

On the other hand, to the year 2014 more than 111,052 rural and urban titles had been issued, particularly in the Pacific, Central and Northern regions of Nicaragua. Women have

benefitted the most from property titles, which means a form of protecting families and contributing to reduce gender inequalities that prevail in the country.

Furthermore, a study of the legal framework and public policies has advanced (see details in section 2c and Annex 2). It is intended to identify gaps and strengths in the legal sphere and put forward sector solutions that allow to implement ENDE-REDD+ initiatives.

All advances made in the process of readiness contribute to strengthen territorial governance. The ENDE-REDD+ proposal in Nicaragua created a sub-national implementation plan, in which the political, technical and local structures of the territories that belong to the Autonomous Regions play a leading role. Articulation of the Regional Councils (CRAAN and CRAAS), the Natural Resource Secretariats in the two regions, the Indigenous Territorial Governments (GTI), and the corresponding traditional authorities.

Additionally, the evaluation of land tenure and natural resources in the Caribbean Coast, the BOSAWAS and Indio Maíz Biosphere Reserves was completed (Annex 20)<sup>68</sup>. Although this study did not identify barriers or property rights conflicts concerning land tenure in the area of accounting. However, there have been threats in some territories that resulted from the use of soil and usufruct of natural resources in the territories of indigenous and afrodescendant peoples.

Nonetheless, problems related to the use and enjoyment of communal property do not put at risk nor to the detriment of the property rights of indigenous and afrodescendant peoples in its administration, protection and conservation. Communal lands in Nicaragua enjoy special protection as they are not subject to seizure, they are imprescriptible and inalienable. They cannot be alienated nor sold. Potential claims and rights over the property due to possession and/or improvements in areas of the titled territories under Law 445 do not prosper.

Nicaragua has carried out titling processes in the PRE-CBI region to demarcate and establish the limits of indigenous territories and properties outside of these territories. Restructuring is the final stage of the titling process and is part of restitution of rights to communal property, which has specific regulations and procedures to attend to these situations with third parties.

It is worth to point out that identified problems related to soil use and changes in soil use in the PRE-CBI region, have to major dimensions:

- (i) Exogenous dimension or structural problem of economic order which is related to pressure by vulnerable population groups who migrate from the rest of the national territory in search for better economic alternatives, developing productive, extensive agricultural systems, and

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<sup>68</sup> [http://enderedd.sinia.net.ni/Docs/Doc\\_PaqueteR/20.%20Análisis de la Tenencia de la Tierra\(040717\).pdf](http://enderedd.sinia.net.ni/Docs/Doc_PaqueteR/20.%20Análisis de la Tenencia de la Tierra(040717).pdf)



- (ii) Endogenous dimension brings to the fore the weaknesses in territorial planning, follow-up and control of protected areas management plans, forest exploitation plans, follow-up and exploitation control for domestic use, as well as review and harmonization of the rules and regulations of communities and territories in general, despite the existence of an adequate legal framework.

Recently some territories have developed instruments that establish regulations for coexistence, renting with other population groups, and promoting territorial planning, sustainable use of natural resources, and respect for traditional rules. Currently, it is expected that competent entities in this matter continue the titling process<sup>69</sup> of areas at national level and, in particular, in the PRE-CBI region.

**Indicator 15: Implications for forestry law and policies**

Self-evaluation results:

Ethnic Groups			Working Groups						
ME	CR	MI	GRACCS	CRACCS	GTI	PI-PCN	SERENA	URACCAN	CONAGAN

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “no progress shown as yet”. At individual level, most participants considered that there was insufficient evidence for a higher assessment (orange or yellow). The evaluation criterion was the advance of the Carbon Fund Regulation, even though the working sessions held in 2016 to design these regulations are still in a preliminary and consultation state with competent entities. But the expectation of the participants was that the country should already have such regulations to facilitate the implementation of incentives, particularly to forest owners.  
Ethnic Groups: Mestizo (ME), Creole (CR), Miskito (MI)

**Progress on indicator 15**

Under the ENDE-REDD+ Programme six workshops were held in 2015 in six municipalities on the Caribbean Coast, which were attended by 201 local actors. Their capacities were

<sup>69</sup> The titling process involves: (i) actions to clear land registries to ensure the full exercise of communal property, in case of properties registered without hidden defects the State will compensate the relevant individuals; (ii) recognition of agrarian reform titles issued prior to 1987, but protects communal property system as these can only make use and usufruct and their improvements cannot be sold, except to the same community; (iii) it considers acceleration of judicial decisions in complaints against third parties in communal property; (iv) as well as mediation and solution of conflicts among population groups, even in cases where they do not have legal documents. In brief, the goal is to guarantee communal property based on a model of dialogue and consensus reaching among all population groups.

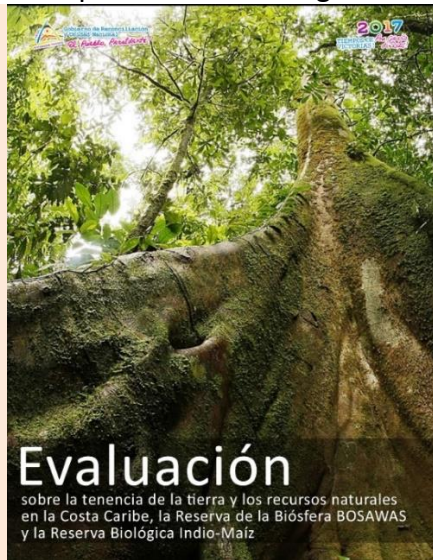
strengthened and the current situation of the forest sector was identified, together with weaknesses and strengths in the application of the legal framework in each municipality.

In this readiness process, it was brought to light that Law 462, Law of Conservation, Promotion and Sustainable Development of the Forest Sector created, since it was enacted in the year 2003, the Carbon Fund. This fund is intended to stimulate forest owners to manage and conserve forest resources to capture carbon. However, the lack of specific regulations for this fund has made its implementation impossible to this date.

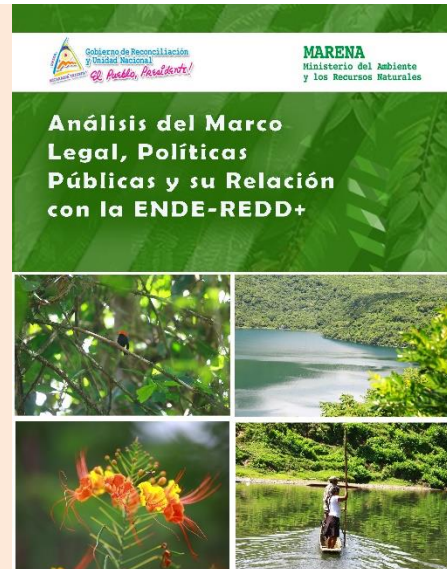
Preliminary results of the analysis of the legal framework and public policies identify the need for Nicaragua to regulate the Carbon Fund, instrument that promotes payment of an incentive for the conservation, preservation and sustainable management of forests. This mechanism for financing must be clear and will thus allow forest owners to access these incentives.

The technical-legal aspects to draw up a proposal for Carbon Fund regulations are provided through the ENDE-REDD project. Carbon rights are not determined in national legislation and will thus have to define their scope in the legislation. As regards this element, other relevant aspects emerge such as transference and who have this right. The main advances in the legal and institutional topic, and in the situation of land tenure are widely described in the documents mentioned in Box 8.

Box 3. Documents completed regarding the legal framework and policies related to soil use, land ownership and forest management



<http://enderedd.sinia.net.ni/Docs/DocsII/Analisis%20de%20tenencia%20y%20marco%20legal,%20versi%c3%b3n%20final,%2018%20abr%202017.pdf>



<http://enderedd.sinia.net.ni/Docs/DocENDE/15.%20An%c3%a1lisis%20del%20Marco%20Legal.pdf>





It is worth to point out that partial reform to Law 462 through Law 947 creates FONADEFO within INAFOR’s organic and administrative structure and defines it as a decentralized entity.

The law provides for a regulatory committee at FONADEFO, made up of INAFOR (presiding it), MARENA and MHCP<sup>70</sup>. The committee will be in charge of financial requests and decisions, and of encouraging and benefitting forest projects and programmes that contribute to the conservation, promotion and sustainable development of the forest sector. The committee’s role will be defined by INAFOR through a resolution.

Aspects that are still in need of moving forward in the country and that the ENDE-REDD+ process expects to promote: define the role of FONADEFO’s regulatory committee; finish FONADEFO’s regulations and the Carbon Fund’s, as well as the respective policy of distribution of benefits. These themes will be analysed and debated at the coordination tables and in ENDE-REDD+’s decision-making platform.

### Sub-component 2b. Strategy options

#### **Indicator 16: Presentation and establishment of priorities ref. ENDE-REDD+ strategy options**

Self-evaluation Workshop Results:

Ethnic Groups			Working Group						
ME	CR	MI	GRACCS	CRACCS	GTI	PI-PCN	SERENA	URACCAN	CONAGAN

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “good progress, needs to be developed further”. At individual level, most participants mentioned that it was positive to have completed the validation of the strategic lines, and recognized that these are coherent with the PNDH. But they emphasized that there is no detailed prioritization of the measures of each strategic line in the territories nor has the action plan 2018-2022 been completed as yet.

Ethnic groups: Mestizo (ME), Creole (CR), Miskito (MI)

### Progress on indicator 16

At the time the R-PP was formulated (in 2010-2011), the ENDE-REDD+ strategy was conceived as an application instrument of the strategic and programmatic framework regarding mitigation and adaptation in the face of climate change. Its purpose is to contribute to reduce emissions from deforestation and forest degradation, and to prevent and reduce the negative

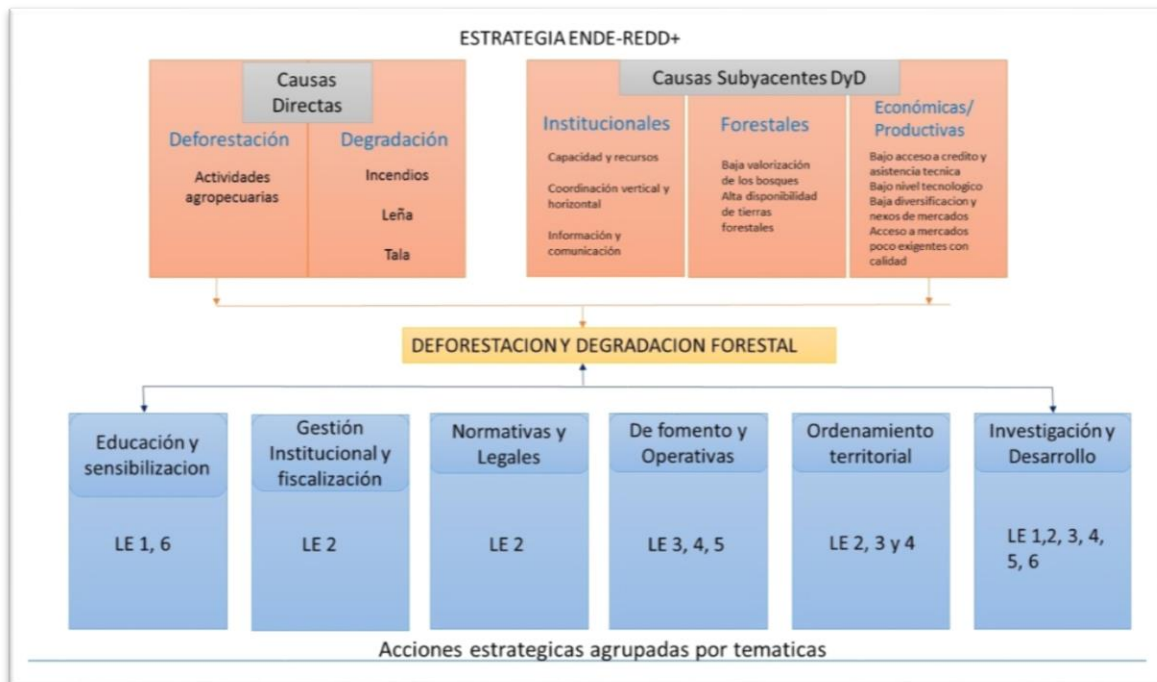
<sup>70</sup> Law 929 (repealed). Other members of the committee were MAG, AMUNIC and a member of the regional council). It was presided by MARENA.

impacts of climate change by increasing the resilience and adaptation capacity of forest and agricultural ecosystems, as well as of the population who depend on these. The goal is to reduce social, ecologic and economic vulnerability, and create the capacities to help mitigate GEI (especially CO<sub>2</sub>) in sustainable management of forests, conservation of biodiversity, increase in carbon reservoirs, generation of co-benefits from conservation and its effects on the well-being of the population. The ENDE-REDD Strategy 2018-2040 has been designed with an integral approach interrelating the four pillars on which rests ENDE-REDD+:

- National Forestry Programme
- Environmental and Climate Change Strategy
- Agroecologic Agriculture and Re-conversion of Cattle-Ranching
- Protection to biodiversity and protected areas

The strategic lines will guide actions aimed at reducing or eliminating direct and indirect causes of deforestation and forest degradation in Nicaragua (Figure 27). The initial draft of the ENDE-REDD+ Strategy was consulted in three events which laid the grounds to adjust the zero version. The document may be accessed at: [http://enderedd.sinia.net.ni/Docs/DocENDE/13.%20Estrategia%20Nacional%20ENDE%20\(E](http://enderedd.sinia.net.ni/Docs/DocENDE/13.%20Estrategia%20Nacional%20ENDE%20(E%20ingles).pdf) [nglish\).pdf](http://enderedd.sinia.net.ni/Docs/DocENDE/13.%20Estrategia%20Nacional%20ENDE%20(E%20ingles).pdf) in Annex 1.

**Figure 27** Representative outline of the ENDE-REDD+ strategy



To advance the analysis of priorities in the ENDE-REDD+ process, priority is given to the Caribbean Region, subsequently Central and Northern Nicaragua, and lastly, as mentioned in section 1.4, the Pacific region.

As a result of an intense dialogue held through the three working groups who make up the platform for dialogue to stop deforestation in Nicaragua, and after three consultation workshops (1 at national level and 2 regional ones), six strategic lines which guide the actions to reduce the rate of deforestation by at least 50% by year 2040 have been designed and validated. Validated guidelines and strategic actions are presented in Table 10.

**Table 10** Guidelines and strategic actions in the ENDE-REDD+ strategy

Strategic Guidelines (LE)	Strategic Actions
<p>LE1: Strengthen awareness-raising, education, communication and promotion of values and information related to protection of Mother Earth, taking into account territorial identity and world view of indigenous and afrodescendant peoples.</p>	<ul style="list-style-type: none"> <li>1.1 Develop cultural campaigns that promote a healthy environment.</li> <li>1.2 Strengthen the capacities of educators and social communicators in environmental issues.</li> <li>1.3 Promote experience exchanges that foster knowledge of the country's biodiversity and natural wealth.</li> <li>1.4 Manage knowledge that results from successful experiences in forest resource management and adaptation to climate change.</li> <li>1.5 Ensure adequate flow of information needed for decision-making on use of land and natural resources in the regional and local spheres of government.</li> <li>1.6 Incorporate topics related to forest and environmental policies and legislation into the national education system.</li> <li>1.7 Contribute to recognition of the cultural legacy and good environmental practices of indigenous and afrodescendant peoples.</li> </ul>
<p>LE2: Strengthen national-regional-local government coordination and capacity related to use of land and natural resources, taking into account forest, environmental, agricultural and energy policies and legislation.</p>	<ul style="list-style-type: none"> <li>2.1 Improve national-regional-and local coordination, particularly access to and flow of information related to use of land and natural resources.</li> <li>2.2 Strengthen coverage and managerial capacities in key institutions for ENDE-REDD+. This includes reinforcement of regional government equipment and specific programmes, such as the campaign against forest fires, monitoring and control of forest pests, the national reforestation crusade and natural regeneration management, as well as application of natural resource management tools.</li> <li>2.3 Strengthen the capacity of INAFOR, INETER and MARENA to monitor changes in soil use; oversee forest management plans and management plans for protected areas, as well as territorial plans for adaptation to climate change.</li> <li>2.4 Strengthen the early warning systems within the SNMRV by applying them in the regions on the Caribbean Coast and PCN, as</li> </ul>

Strategic Guidelines (LE)	Strategic Actions
	<p>well as setting up an institutional plan and unit to respond to alerts.</p> <p>Promote the incorporation of climate change adaptation criteria and sustainable management of forest ecosystems into agricultural and environmental policies, as well as in territorial planning processes.</p>
<p>LE3: Encourage protection, conservation and restoration of sceneries and biological corridors through forestation, reforestation and natural regeneration on the Caribbean Coast and the Pacific, Central and Northern Regions of Nicaragua</p>	<p>3.1 Condition agricultural incentives through forest conservation in farms (agricultural exploitation).</p> <p>3.2 Promote paid ecosystem (PSE) or conservation services that foster forest conservation in priority indigenous territories.</p> <p>3.3 Consolidate monitoring and control of APs (SINAP)</p> <p>3.4 Promote sustainable ecotourism.</p> <p>3.5 Promote reforestation and natural regeneration under different methods, especially for firewood production or forage banks.</p> <p>3.6 Promote reforestation and natural regeneration under different methods (i.e. gallery forests, plantations, regeneration, enrichment of perforated forests, windbreaker curtains) to maintain or restore ecosystem services (i.e. carbon capture, aquifer recharge, protection of water courses, reduction of landslides, hydric and eolic erosion, conservation of protected areas, restoration of biological corridors).</p> <p>3.7 Promote sustainable forest management/community forest management for timber and secondary or non-timber forest products, as mechanisms that improve production while simultaneously maintaining forest conservation.</p> <p>3.8 Strengthen the institutional framework and promotion of protection, conservation and sustainable use of mangrove ecosystems, strategic for the fishing-based economy, ecotourism and climate resilience of the coastal areas.</p>
<p>LE4: Increase sustainable agricultural and forest production, low in emissions, as well as producers income and employment.</p>	<p>4.1 Promote organizational development among unions of farmers, cattle ranchers and foresters (cooperatives, associations, etc.) to improve productivity and access to markets.</p> <p>4.2 Promote successful experiences with silvopastoral systems, agroforestry, forest plantations from a sustainable production approach low in emissions combined with forest conservation.</p> <p>4.3 Encourage group technical assistance with a commercial approach and good environmental practices.</p> <p>4.4 Promote mechanisms for accessing credit (i.e. through guarantees, cost reduction and risk aggregation) with the condition of adopting conservation measures.</p> <p>4.5 Promote research and development (R&amp;D) applied to the current needs to define adapted and climate intelligent technologies.</p> <p>4.6 Increase use of degraded land by means of plantations, SAF, and natural regeneration management.</p>

Strategic Guidelines (LE)	Strategic Actions
	4.7 Promote quality and value added products produced under schemes of zero deforestation or carbon print reduction (agricultural, livestock and forest)
LE5: Encourage investments and promote the strengthening of forest and agricultural value chains from a sustainable market approach, low in emissions, which value sustainability and reduced deforestation.	<p>5.1 Promote the capture of private investment and the model of public-private alliances and shared responsibility for sustainable and low in emissions productive projects.</p> <p>5.2 Foster the strengthening and articulation of the value chain links of priority line items (i.e. cocoa, coffee, meat, milk, timber and basic grains) focused on different markets and giving priority to green markets.</p> <p>5.3 Promote links with new green markets or sustainable products, especially to markets of meat from reduced deforestation system.</p> <p>5.4 Promote organizational echo innovation and organizational development for agricultural and forest producers (cooperatives, associations, etc.) in accordance with their participation in the links of the various value chains.</p> <p>5.5 Implement market intelligence to identify new green, inclusive markets and improve access to information on trade and market requirements with emphasis on sustainable products.</p> <p>5.6 Foster traceability, certification and responsible purchase of agricultural and forest products.</p>
LE6: Strengthen adaptation initiatives in the face of climate change in territories of indigenous and afrodescendant peoples on the Caribbean Coast and the Pacific, Central and Northern Nicaragua.	<p>6.1 Strengthen the technical and technological capacities of regional and territorial governments (GTI) and of the Council of Indigenous Peoples of the Pacific, Central, and Northern Nicaragua). This is intended to encourage their best involvement in implementing programmes, projects, plans and actions linked to ENDE-REDD+.</p> <p>6.2 Support the strengthening of community structures, the creation and strengthening of technical and administrative capacities to ensure efficient and responsible governance of lands, forests, waters, fishing, and biodiversity.</p> <p>6.3 Develop training programmes on topics related to climate change, forest co-benefits, carbon accounting and restitution of rights.</p> <p>6.4 Strengthen institutional capacity and ensure the distribution of knowledge to implement ENDE-REDD+ based on the territorial reality and recover ancestral knowledge.</p>

To consolidate the ENDE-REDD+ national strategy and ensure its success, this strategy will be based on four pillars, namely: institutional, ethnic, awareness-raising, production and conservation (see more details in Annexes 7 and 13)

### Indicator 17: Evaluation of viability

Self-evaluation Workshop Results:

Ethnic Groups			Working Groups						
ME	CR	MI	GRACCS	CRACCS	GTI	PI-PCN	SERENA	URACCAN	CONAGAN

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “more development needed”. At individual level, most participants considered as positive that strategic lines have specific measures, that through consultation of these lines, dialogue has been strengthened, and that attention has been drawn to the impacts of deforestation and forest degradation in the country. However, they mentioned the importance of delving more in-depth into the topic of social and environmental viability, as well as in the cost-benefit analysis of the main measures to be considered in the territories. All of them asked for more ENDE-REDD+ information on this issue.

Ethnic groups: Mestizo (ME), Creole (CR), Miskito (MI)

#### Progress on indicator 17

The ENDE-REDD+ strategy has six strategic lines and 37 action lines, which were identified in a participatory form and have been selected in accordance with their social and environmental viability, as well as the risks and opportunities. These act as an umbrella when necessary to deal with (decrease or revert) the causes of deforestation and forest degradation, as well as to assist in increasing carbon stocks. Strategy development is based on four pillars: Institutional, indigenous, awareness-raising, communication and information; and production and conservation.

The ENDE-REDD+ strategy relies on the promotion of sustainable forest production, food security, stabilization of vulnerable areas, protection to aquifer recharge, and development of a financing mechanism. Additionally, as an implementation platform it takes includes the strengthening of strategic alliances, inter-institutional coordination and forest governance.

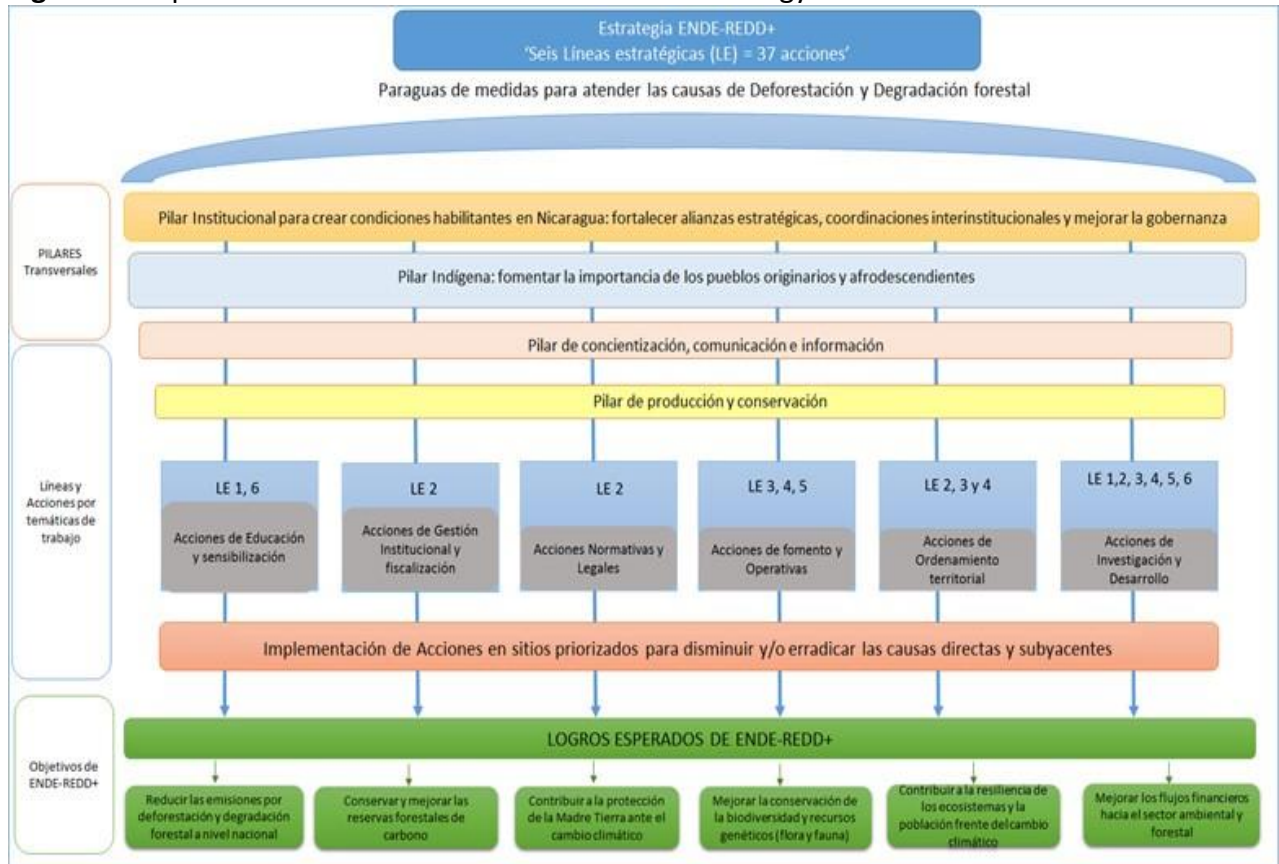
It is worth to point out that the ENDE-REDD+ Strategy will contribute to improve financial flows to the environmental, forest, and agricultural sector for the purpose of improving the positioning and competitiveness of products and services coming from these sectors nationally and internationally.

Below is a brief description of the ENDE-REDD+ Strategy pillars. The umbrella architecture of interventions is based on the complementary strategy pillars or guidelines in support of increasing sustainable forest and agricultural production together with forest protection (production-protection). Here, the institutional pillar is focused on improving enabling conditions for land use; the pillar of awareness-raising, communication, and information is

crosscutting to the others, and the indigenous pillar expresses the importance of the forest residents for forest conservation and their vulnerability in the face of climate change (more details in Annex 7).

Many of these transformational changes will depend on the use of monetary, fiscal and non-monetary incentives applied at both the level of individuals, families or territories, and the level of businesses.

**Figure 28** Representative outline of the ENDE-REDD+ strategy



The main advances in evaluating the viability of strategic options are summarized as follows:

- The specific actions, risks and barriers that each strategic line must work with to implement ENDE-REDD+ activities at national level were identified in a participatory manner (with contributions from the three ENDE-REDD+ decision-making levels).
- The study on forest governance began in late 2016. It will help identify with precision the strengths and weaknesses of the various levels of government regarding the ENDE-REDD+ implementation. The national study on forest and environmental governance will be near completion in late 2017. Advances on this issue may be consulted in Annex 4 at:

**Indicator 18: Implications of strategy options ref. existing sectoral policies**

Self-evaluation Workshop Results:

Ethnic Groups			Working Groups						
ME	CR	MI	GRACCS	CRACCS	GTI	PI-PCN	SERENA	URACCAN	CONAGAN

\*\* At the Self-Evaluation Workshop the working group decided by consensus to assign the value “more development needed”. At individual level, most participants considered that more analysis of ENDE-REDD+ options and their relation with current development programmes and projects of the forest, agricultural and environmental sector was needed. Some mentioned that coordination of these initiatives should be reviewed to avoid duplicating resources in the same place at which REDD+ activities will be implemented.

Ethnic Groups: Mestizo (ME), Creole (CR), Miskito (MI)

**Progress on indicator 18**

The institutional, economic, legal and management mechanisms required to implement ENDE-REDD+ programme’s strategic options in Nicaragua are defined within the framework of the ENDE-REDD+ Programme. These options respond to national policies and priorities defined in the PNDH, whose guidelines contribute to the socioeconomic development and forest conservation and protection of forests of indigenous peoples and communities who depend on the forest.

In this respect the ENDE-REDD+ technical team has collected and prepared an inventory of binding policies, laws and instruments with the strategic options based on the institutional and financial mechanisms, and the existing regulatory framework for the interrelationship with the protection of Mother Earth. The foregoing has been part of activities that MARENA has been leading in the past four years.

At present there are options being analysed to make the necessary adjustments to the country’s political and legal framework to complement and ensure the regulations on protection, land use and conservation, as well as restitution of the rights of indigenous and afrodescendant peoples, and rural communities dependent on the forest.

**Sub-Component 2c. Implementation Framework**

Institutional, economic, legal and management mechanisms required to implement the options of the ENDE-REDD+ programme in Nicaragua. Furthermore, there are options being



analysed to make the necessary adjustments to the country’s legal and political framework that complement and ensure the regulations on land protection, use and conservation, as well as restitution of the rights of the indigenous and afrodescendant peoples, and rural communities dependent on the forest.

**Indicator 19: Adoption and implementation of legislation/regulations**

Self-evaluation Workshop Results:

Ethnic Groups				Working Groups				
ME	MI	CR	RA	GTI	Emp. Refor.	MARENA Technicians	MEFCCA	FONADEFO

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “good progress, needs to be developed further” At individual level, most participants considered that advances in the country’s laws and policies are b, but mentioned that there are times when laws or regulations are not well known in the territories, implementation of laws is low, and more dissemination of ENDE-REDD+ studies are needed, as well as of the laws and regulations in force. Ethnic groups: Mestizo (ME), Miskito (MI), Creole (CR), Rama (RA)

**Progress on indicator 19**

The ENDE-REDD+ Programme has been working on a proposal of regulations for the Carbon Fund since 2016 within the framework of the Law of Conservation, Promotion and Sustainable Development of the Forest Sector. Such proposal will set forth the procedure, establishment and obtainment of a government approval to develop a payment mechanism for environmental services. This has for a purpose to stimulate forest conservation and sustainable management practices, as well as carbon fixing in Nicaragua.

This mandate is additionally based on Decree No. 73-2003, Regulations of Law 462, Conservation, Promotion and Sustainable Development of the Forest Sector. The proposed fund to capture carbon will be institutionalized in the National Forest Development Fund (FONADEFO) through a window, thus benefitting stakeholders who own forests and develop preservation activities.

In this respect, Nicaragua has updated the definition of forests, developed based on consensus of the MRV table members, which will be included in the decree creating the Carbon Fund. Any area equal or greater than 1 ha with a canopy coverage equal or greater than 30%, and a total average tree height equal or greater than 4 meters is considered to be a forest in Nicaragua, including ecosystems such as bamboo, mangroves, natural palm, xerophyte forests, scrubs and riparian vegetation.

**Indicator 20: Guidelines for implementation**

Ethnic Groups				Working Groups				
ME	MI	CR	RA	GTI	Emp. Refor.	MARENA Technicians	MEFCCA	FONADEFO

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “good progress, needs to be developed further” At individual level, most participants are aware of advances made in legal and regulatory aspects of the forest sector, but considered that legal arrangements regarding carbon rights, how will benefits be distributed, and the mechanisms for direct financing or investment to be implemented in the territories.

Ethnic groups: Mestizo (ME), Miskito (MI), Creole (CR), Rama (RA)

**Progress on indicator 20**

The national forest legislation has a range of incentives aimed at forest development. It encourages natural or legal persons to adopt sustainable management of forest resources for the purpose of increasing the national forest stand and reverting the deforestation process affecting the country.

Law 462 provides in article 28 that the State will promote and stimulate forest restoration, protection and conservation. It will also set forth regulations that will ensure the restoration of conservation areas.

Article 36 provides that forest promotion and stimulation will be carried out in coordination with other related public sector entities and participation of the private sector, and it will have for a purpose: a) forest management, b) expansion of forest cover, c) forest protection and conservation, d) increase in value added, e) technology improvement, f) research promotion, and g) strengthening of the forest sector.

Additionally, the Law of Environment and Natural Resources provides for a system to evaluate and pay for environmental services. It is intended to establish payment of services and to generate financing of incentives to promote conservation, preservation and sustainable use of environment and natural resources.

The system of evaluation and payment of environmental services will, pursuant to the law, have: 1) an executive and participatory institutional framework for the system of evaluation and payment for environmental services by creating its respective structure and administrative organization; 2) system goals aimed at facilitating the process of payment of environmental services; 3) public participation mechanisms and instruments, and 4) spheres of institutional action to promote payment for environmental services in the country.

In view of the foregoing, the country is ready to design an equitable and transparent benefit distribution mechanism for the purpose of making restitution of rights to forest owners who reduce emissions from deforestation and degradation, who implement forest conservation and sustainable management practices, and increase carbon forest reserves in the country.

This mechanism will generate monetary and non-monetary benefits based on INAFOR's good experiences with FONADEFO. Further, it will clearly establish the process of carbon transfer.

A system of registration related to climate risk adaptation and management called Classification of Climate Change Expenses, Disaster Risk Management, and General Environmental Management is being developed in Nicaragua.

The MHCP is gradually implementing this system of Classification of Climate Change Expenses, Disaster Risk Management, and General Environmental Management. This will allow to integrate climate change and disaster risk management policies into government plans and the national Budget to follow-up the needs stated in the National Human Development Plan, the National Environmental and Climate Change Strategy; and the National Integral Management Policy for Disaster Risk Reduction.

To be able to view the resources allocated to risk management and climate change will provide the MHCP key information to conduct dynamic financial analyses that will help optimize the resources allocated to reduction, mitigation, preparedness, and response to climate and disaster risks.

Additionally, classification is important because it contributes to an institutional and policy framework that is more aware of and responsible for climate change. Such a framework will facilitate a dialogue that will extend beyond environmental experts and into other institutions by informing them of CC policies and their fiscal implications. Moreover, it will help manage additional resources by identifying policy goals that require additional financing, and evaluating resources already allocated at both the domestic and external levels.

Among other scheduled activities to be carried out with additional resources, a diagnostic assessment of the legal and financial instruments to identify, improve or create mechanisms to implement carbon rights, and distribute monetary and non-monetary benefits to forest owners has been planned. The diagnostic will contribute to adopt and formalize official mechanisms.

Furthermore, the Ministry of Finance and Public Credit, within the framework of national efforts to reduce deforestation and forest degradation, is leading a team that will provide financial accompaniment to management of investments associated to reduction of deforestation and forest degradation, as well as to increase in canopy coverage. As part of the team's role, it will define financing methods for projects with REDD+ components in tune with fiscal sustainability and macroeconomic stability criteria.



Similarly, the team that will provide financial accompaniment together with ENDE-REDD+’s social and legal team will discuss and define the procedures and mechanisms to deal with complaints. Thus, beneficiaries would have the means to submit their complaints if need be.

**Indicator 21: Benefit- sharing mechanism**

Ethnic Groups				Working Groups				
ME	MI	CR	RA	GTI	Emp. Refor.	MARENA Technicians	MEFCCA	FONADEF0

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “good progress, needs to be developed further” At individual level, most participants are aware of advances made by ENDE-REDD+’s dialogue tables in addressing this topic. However, they expressed the opinion that more information and discussion is needed regarding the distribution of benefits and the mechanisms to be implemented in the territories to ensure transparency.  
 Ethnic groups: Mestizo (ME), Miskito (MI), Creole (CR), Rama (RA)

**Progress on indicator 21**

The recent reform to the Conservation, Promotion and Sustainable Development of the Forestry Sector Law (Law 462) by means of Law of Partial Reform No.947 passed on 26 April 2017, modifies the way the National Forest Development Fund (FONADEF0) operates within the organic and administrative structure attached to the National Forestry Institute (INAFOR).

FONADEF0 will finance forest programmes and projects that contribute to conservation, promotion and sustainable development of the forestry sector in charge of a regulatory committee made up of INAFOR, MARENA and the MHCP. A draft regulations proposal for the Carbon Fund is being worked on in the country for presentation, approval and implementation of forest incentives, This will contribute to develop clearer and transparent procedures.

On the other hand, experience has been gained in the transfer of benefits for forest exploitation activities to indigenous communities, regional and municipal governments, as provided for in Law 462, article 49. “The amount of revenue received by the State as payment for exploitation, penalties, validity taxes, auctions of seized goods will, in keeping with provisions in this Law and its regulations, be deposited in a special account kept by the National Treasury to this effect”.

Forest exploitation benefits are presently distributed as follows: 25% to the Caribbean Coast for indigenous communities living where the resource to be exploited grows; 25% to the municipality; 25% to the corresponding council and regional government, and 25% to INAFOR

through FONADEFO; 35% in other regions of Nicaragua to the municipalities where the exploitation takes place, and 65% to INAFOR. This experience will help the stakeholders to understand the benefit distribution outline for ENDE-REDD+ specific programmes and projects (i.e. ERPD).

Furthermore, a mechanism to carry out the distribution of benefits is being designed based on a participatory and inclusive approach (that is, from the bottom up) from the communities, GTI, municipalities and regional governments. Therefore, the incorporation of cultural, social, economic, and organizational elements has been considered to ensure that benefits reach the community.

Another advantage in designing the benefit distribution system will be the experience gained by indigenous and afrodescendant peoples in communities on the Caribbean Coast, who run and manage natural resources based on their collective rights. Thus, they generate income that is distributed in the communities in agreement with their culture.

Some examples of natural resources managed under the concept of the right to self-determination include: soil (Karatá case), water (Tuapí case), sand (Kamla), stumpage (Boom Sirpi), the regulatory system to exploit natural resources of Wangki Twi Tasba Raya. At the RACCS, indigenous communities work under a benefit distribution system regulated by internal rules duly approved by the Regional Council (i.e. Tasba Pouni and Laguna de Perlas).

When the benefit distribution mechanism is more advanced, all procedures and mechanisms will be made public through different media, especially on the ENDE-REDD+ web site. Newsletters will be designed and published to explain the method and criteria to obtain benefits, as well as any other information that is required to ensure transparent allocation of benefits.



**Indicator 22: REDD+ national record-keeping and activities of the ENDE-REDD+follow-up system**

Self-evaluation Workshop Results:

Ethnic Groups				Working Groups				
ME	MI	CR	RA	GTI	Emp. Refor.	MARENA technicians	MEFCCA	FONADEFO

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “Considerable progress made”. At individual level, most participants acknowledged there has been progress as concerns record-keeping, given that technological and institutional strengthening of such institutions as INAFOR and MARENA (i.e. district offices and SINIA nodes) and the record-keeping experience of forest plantations were taken into account. However, they also pointed out that record-keeping should include other areas, especially forest owners; that it should be automated and more information regarding the territories should be disseminated.  
 Ethnic Groups: Mestizo (ME), Miskito (MI), Creole (CR), Rama (RA)

**Progress on indicator 22**

The country gained experience through the National Office for Clean Development, which had a record-keeping system and the structure of a number of criteria and indicators that allow for reducing imports of petroleum products. There is improvement in the use of useful energy in the case of energy replacement projects; development of productive activities (productive use of energy); and avoidance of greenhouse gas emissions, among others.

The ENDE-REDD+ unit is designing a record-keeping and information monitoring system for the purpose of creating a tool that allows, in a flexible, secure and reliable manner, to safeguard de information connected to location, property, carbon accounting, and financial flows for ENDE-REDD+’s regional and national programmes and projects.

REDD+’s record-keeping system will keep control of forest carbon projects (PFC) for the purpose of increasing carbon at national level. Specifications and requirements will be noted to obtain records of those who prefer payment per environmental services or payment per results.

The record-keeping system will be applicable to forest owners at national level according to ownership system (private, communal, public, mixed). MARENA will be the national entity in charge of record-keeping through the General Directorate of Climate Change. The minimum requirements for PFC will be: (i) letter requesting registration, (ii) power of attorney, (iii) copy of the legal document that will prove property rights where the forest is located (title) and (iv) PFC profile.

The record-keeping and monitoring system will be incorporated to the technological platform of the National Environmental Information System (SINIA). SINIA has been strengthened with the ENDE-REDD+ project, thus ensuring dissemination of information and public access to it

The carbon capture record will be kept through a system that will allow for monitoring titles in a transparent manner. Prior to designing the application software, a conceptual definition will be made to establish the correct incorporation of variables, as well as record-keeping in real time, and avoid double accounting. The platform will be located in MARENA's web site.

In addition, there are an instruments for Climate Expenditure Classification, Disaster Risk Management and General Environmental Management Classification is being implemented in Nicaragua, which will allow the integration of Climate Change and disaster risk management policies into the government's plans with the budget, In follow-up to the needs set forth in the National Human Development Plan; The National Environmental and Climate Change Strategy; And the National Policy for Comprehensive Management of Disaster Risk Reduction. This instrument is especially relevant in terms of transparency of public expenditure on Climate Change while addressing adaptation as well as mitigation and loss and damage.

The resources for risk management and climate change will provide the MHCP with key information for dynamic financial analysis to optimize the resources allocated to mitigation, mitigation, preparedness and response to climate and Disasters.

#### **Sub-component 2d. Social and environmental impacts**

EESA is a methodology that has contributed to the participatory process during the design of the ENDE-REDD+ strategy as EESA takes into account social and environmental considerations, and identifies benefits and risks. It puts forward actions to improve the former and reduce risks; ensure analysis and compliance with World Bank Safeguards and Operational Policies. EESA is the mechanism through which it has been possible to elaborate the Environmental and Social Management Framework (MGAS) to be fulfilled during the implementation phase of ENDE-REDD +

EESA and MGAS ensure that social and environmental aspects are included in ENDE-REDD+ strategy. They foster participation and consultation from the stakeholders involved. MGAS ensures mitigation measures in the face of social and environmental risks that could affect the rights of indigenous and afrodescendant communities, and those of Mother Earth.



### Indicator 23: Analysis of matters related to social and environmental safeguards

Self-evaluation Workshop Results:

Ethnic Groups				Working Groups				
ME	MI	CR	RA	GTI	Emp. Refor.	MARENA technicians	MEFCCA	FONADEFI
Green	Yellow	Green	Yellow	Yellow	Green	Green	Green	Yellow

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “Considerable progress made”. At individual level, most participants acknowledged there has been significant progress as concerns safeguards, identification of impacts, and selection of the ENDE-REDD+ programme safeguards, as well as the system of information for follow-up. However, they also pointed out that the current design of the Safeguard Information System (SIS) should be disseminated in the territories.

Ethnic Groups: Mestizo (ME), Miskito (MI), Creole (CR), Rama (RA)

#### Progress on indicator 23

The analysis of the social and environmental safeguards in Nicaragua starts by acknowledging that the indigenous and afrodescendant peoples of the Caribbean Coast and PCN regions enjoy the rights, duties and guarantees enshrined in the Constitution, particularly the rights to self-determination, full and effective participation, to maintain and develop their identity and culture, to have their own forms of social organization and govern their local matters; as well as to maintain communal forms of ownership of their lands, their use and enjoyment, as provided for in laws 28 and 445.

An EESA work table was set up in each of the autonomous regions on the Caribbean Coast. It is made up of regional universities, GTI, organizations of women, young adults, communicators, the two regional councils and regional autonomous governments. These tables have held 12 work sessions and 11 workshops to analyse strategic options, social and environmental impacts and risks, mitigation measures and their relation with safeguards. Another 7 workshops were carried out to analyse the country’s legal framework as regards ENDE-REDD+.

The analysis on safeguards addressed the following aspects:

- Proposals of participants in dialogue workshops
- Nicaragua’s legal framework
- CMNUCC’s safeguard framework



- World Bank's safeguard framework
- Convention 169 of the International Labour Organization (ILO), and
- *United Nations Declaration on the Rights of Indigenous Peoples*.
- National strategies and plans (PNDH, Environmental and Climate Change Strategy, National Forestry Plan, National Biodiversity Strategy).

Some tools created by the regional autonomous governments on the Caribbean Coast together with the Forest and Environment Consultative Committee (CCF-A):

- Regional Climate Change Strategy for the RACCN,
- Regional Forest Development Plan for the GRACCN
- Development Strategy for the Caribbean Coast and Alto Wangki Bocay

For the ENDE-REDD +, the links between the Cancún Safeguards were identified, which are supported by the Legal Framework of Nicaragua, and the analysis of the impact of the WB Safeguards for each strategic line defined in the design of The Strategy to reduce emissions from deforestation and forest degradation. See Annex 14, of this document.

With respect to the World Bank Safeguards, it was identified that of the ten Operational Policies, seven of them required to be activated for ENDE-REDD +. Likewise, it was analyzed that they are supported by the legal framework of the country, providing guarantees for environmental and social management in accordance with the requirements. See Annex 13 (of this document).

The PBs of the WB to be activated are:

- Environmental assessment OP 4.01
- Natural habitats OP 4.04
- Pest Management OP 4.09
- Cultural Physical Resources OP 4.11
- Indigenous Peoples OP 4.10
- Involuntary Resettlement OP 4.12
- OP Forests 4.36

## Indicator 24: Design of ENDE-REDD+ strategy as concerns impacts

Self-evaluation Workshop Results:

Ethnic Groups				Working Groups				
ME	MI	CR	RA	GTI	Emp. Refor.	MARENA technicians	MEFCCA	FONADEF

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “Considerable progress made”. At individual level, most participants acknowledged there has been significant progress as concerns the design of the initial version of the ENDE-REDD+ strategy. However, they also pointed out that this version should be disseminated in the territories, especially in indigenous communities.

Ethnic Groups: Mestizo (ME), Miskito (MI), Creole (CR), Rama (RA)

### Progress on indicator 24

During work sessions the EESA tables have identified and analysed the social and environmental impacts and risks that guided the design of each of the ENDE-REDD+’s six strategic lines and their lines of action. A social and environmental risk analysis was made of each one of them; measures to mitigate these were considered, and restitution of the rights of indigenous and afrodescendant peoples, and of Mother Earth were ensured.

The analysis of the EESA tables was supported by the study of the Causes of Deforestation and Forest Degradation, the study of the Political and Legal Framework, as well as the Safeguards.

The MGAS<sup>71</sup> is an instrument of relevance in the execution of the ENDE-REDD +, since it guides the procedures to ensure an adequate environmental and social management, this document describes an analysis of positive and adverse social and environmental impacts, of the ENDE actions -REDD + and includes an assessment of the environmental and social safeguards that the country will activate in implementing the ENDE-REDD +, and contains specific sections that address the requirements of each country's safeguard policy and procedures to reduce environmental and social risks of The actions derived from the ENDE-REDD +.

The main adverse social and environmental impacts identified are listed in Table 11 below, and the mitigation measures were listed in the MGAS.

71

<http://enderedd.sinia.net.ni/Docs/DocENDE/7.%20Marco%20de%20Gesti%c3%b3n%20Ambiental%20y%20Social.pdf>



**Table 11** List of social impacts by strategic line defined in the initial version of ENDE-REDD+

Summary of negative impacts by strategic line	
<p>Strategic guideline 1: Strengthen awareness-raising, education, communication and promotion of values and information related to protection of Mother Earth, which consider territorial identity and the view of the world of indigenous and afrodescendant peoples.</p>	<p><b>Adverse social impacts</b></p> <ul style="list-style-type: none"> <li>• Cultural activities and information materials not adjusted to local cultures.</li> <li>• Not using the native language may limit identity and local communication.</li> <li>• External facilitators who do not understand or do not adapt to local cultures; or see with biased eyes the relation between indigenous peoples and the forest. Their attitude when they first arrive is that they are there to raise awareness.</li> <li>• To replicate the traditional role played by women.</li> </ul>
<p>Strategic guideline 2: Strengthen national-regional and local coordination, as well as government capacity related to the use of land and natural resources by considering forest, environmental, agricultural, and energy laws and policies.</p>	<p><b>Negative social impacts</b></p> <ul style="list-style-type: none"> <li>• Organizational weakness and shortcomings in reaching consensus as regards respect for indigenous, afrodescendant and mestizo territories; in making joint decisions, and in effective follow-up and monitoring.</li> <li>• Non-compliance with obligations due to lack of budget.</li> <li>• Poor communication due to weak linguistic comprehension between the parties.</li> <li>• Expanding criteria for protection of the forest affects use of resources by the rural population.</li> </ul> <p><b>Negative environmental impacts</b></p> <ul style="list-style-type: none"> <li>• Measures to prevent illegal timber extraction are not included in plans to open new roads.</li> </ul>
<p>Strategic guideline 3: Promote protection, conservation and restoration of sceneries and biological corridors through forestation, reforestation, and natural regeneration on the Caribbean Coast and Pacific, Central and Northern Nicaragua.</p>	<p><b>Negative social impacts</b></p> <ul style="list-style-type: none"> <li>• Benefit distribution mechanisms fail to benefit the forest population.</li> <li>• Definition of benefit distribution mechanisms generates conflict in the community.</li> <li>• Tourist demands transform the culture of the communities.</li> <li>• Territorial planning results in relocation of families and/or restricted access to families who depend on the forest's natural resources for their livelihood.</li> </ul> <p><b>Negative environmental impacts</b></p> <ul style="list-style-type: none"> <li>• Natural habitats are modified for purposes of ecotourism.</li> <li>• Introduction of exotic forest species that are affected by endemic pests or affect biodiversity.</li> </ul>

<p>Strategic guideline 4: Increase sustainable agricultural-forestry production, low in emissions, as well as the income of producers and employment.</p>	<p><b>Negative social impacts</b></p> <ul style="list-style-type: none"> <li>• Programme and project designs do not include cultural elements of indigenous and afrodescendant peoples.</li> <li>• Productive transformation affects traditional livelihoods of indigenous and afrodescendant peoples.</li> <li>• Territorial planning results in relocation of families and/or restricted access to families who depend on the forest's natural resources for their livelihood.</li> <li>• Sacred sites are not taken into account.</li> </ul> <p><b>Negative environmental impacts</b></p> <ul style="list-style-type: none"> <li>• Forest plantations managed as single-crop farming affect biodiversity.</li> <li>• Increase in illegal tree felling and forest fires.</li> <li>• Introduction of exotic forest species that are affected by endemic pests or affect biodiversity</li> </ul>
<p>Strategic guideline 5: Encourage investments and strengthening of forest and agricultural value chains based on a sustainable market approach that values sustainability and reduced deforestation.</p>	<p><b>Negative social impacts</b></p> <ul style="list-style-type: none"> <li>• Programme and project designs do not take into account cultural elements of indigenous and afrodescendant peoples.</li> </ul>
<p>Strategic guideline 6: Strengthen adaptation initiatives in the face of climate change in the territories of indigenous and afrodescendant peoples of the Caribbean Coast and Pacific, Central, and Northern Nicaragua.</p>	<p><b>Negative social impact</b></p> <ul style="list-style-type: none"> <li>• Political interference in forestry and environmental governance processes.</li> <li>• Generation of conflicts between municipal and territorial authorities.</li> <li>• Active participation of indigenous women and their organizations fails to grow stronger.</li> </ul>

**Indicator 25: Environmental and social mgmt. framework**

Self-evaluation Workshop Results:

Ethnic Groups				Working Groups				
ME	MI	CR	RA	GTI	Emp. Refor.	MARENA technicians	MEFCCA	FONADEFO

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “Considerable progress made”. At individual level, most participants acknowledged there has been progress as concerns the initial version of the social and environmental management framework. However, they also pointed out that progress needs to be made in analysing barriers to implementation, especially as concerns measures to overcome barriers, and that more dissemination of this analysis is required in the territories.

Ethnic Groups: Mestizo (ME), Miskito (MI), Creole (CR), Rama (RA)

**Progress on indicator 25**

An Environmental and Social Management Framework (MGMS) is in place to help regulate, order and control projects that are executed since ENDE-REDD +, and have analyzed the social and environmental risks that may arise and Contains the measures to minimize the social and environmental impacts identified through the EESA process (see EESA Report<sup>72</sup>).

Its overall objective is to "Ensure adequate environmental and social management in the different ENDE-REDD + programs, projects and actions, including compliance with related national environmental legislation and the World Bank and Cancun Safeguard Policies, establishing the tools And necessary procedures for this.

The MGAS also includes a Mechanism for Strengthening Communication or Feedback<sup>73</sup>, of national scope, which will allow the protagonists to raise through five access points, present observations and complaints if necessary. In the sub-component section 1a, in the progress of indicator 6, a greater explanation is made about this mechanism.

An Indigenous Peoples Planning Framework (MPPI)<sup>74</sup> is also included, as ENDE-REDD + will strongly affect the country's forested areas, of which 59% is in areas owned by indigenous and Afro-descendant, indigenous and Afro-descendant peoples . This document reflects the

<sup>72</sup> Reporte EESA: <http://enderedd.sinia.net.ni/Docs/DocENDE/14.%20Reporte%20%20EESA.pdf>

<sup>73</sup>

<http://enderedd.sinia.net.ni/Docs/DocENDE/9.%20Mecanismo%20Fortalecimiento%20de%20la%20Comunicaci%C3%B3n.pdf>

<sup>74</sup>

<http://enderedd.sinia.net.ni/Docs/DocENDE/11.%20Marco%20de%20Planificaci%C3%B3n%20de%20Pueblos%20Indigenas.pdf>

approach expressed in the workshops and working sessions with indigenous and Afro-descendant peoples that any project, policy or program related to deforestation and forest degradation, conservation, natural resource management, payment for results and others, Should be subjects subject to consultation, for which a protocol has been incorporated for prior and informed consent and consultations.

In addition, the Policy Framework for Involuntary Resettlement is included in the MGAS<sup>75</sup> in which the analysis of the safeguard of WB OP 4.12 is presented and is related to each of the strategic lines of the Strategy. Applying the analysis of the Safeguard to the strategic lines, it has been identified that there is some possibility that when implementing three of the six lines, some people or communities will be affected regarding restrictions of the use of the resources that they have been using. The lines identified are lines 2, 3 and 4, which are:

1. Strengthen national-regional and local coordination and capacity of governments related to the use of land and natural resources considering forestry, environmental, agricultural and energy laws and policies
2. Promote the protection, conservation and restoration of landscapes and biological corridors through afforestation, reforestation and natural regeneration in the Caribbean and Pacific Coast, Central North.
3. Increase sustainable and low-emission agricultural and forestry production, as well as producer incomes and employment.

## **Next steps - Component 2**

### **Subcomponent 2a**

- Continue the study of forest governance with the PI-PCN. It will contribute to evaluate the status of regional and municipal governance to identify with accuracy the strengths and weaknesses of the various levels of government related to ENDE-REDD+.
- Evaluate opportunity costs of ENDE-REDD+ activities that will be promoted under the framework of strategic lines.
- Strengthen the analysis of relation between barriers and ENDE-REDD+ activities.
- Draw up a carbon regulation proposal.

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<http://enderedd.sinia.net.ni/Docs/DocENDE/12.%20Marco%20de%20Politicasy20de%20Reasentamiento%20%20Involuntario.pdf>



### **Subcomponent 2b**

- Detail ENDE-REDD+ implementation route in the PCN.
- Study of forest governance which will contribute to the analysis of the strategic lines..
- Comprehensive analysis of costs and benefits of activities to implement strategic lines at national level.
- Finish the social and environmental viability analysis of the strategic lines. It should even bring significant gaps to the fore during the implementation, interinstitutional and intersectoral threats and opportunities.
- Conduct a gender and ENDE-REDD+ study that allows for identifying opportunities and threats for indigenous women from the ENDE-REDD+ implementation.
- Carry out case studies and draft a proposal for adjustments to the legal framework and policies that are required for the implementation of strategic options.
- Make an analysis of opportunity costs from avoided deforestation and an economic assessment of tangible assets and intangible goods from the forest in priority areas.

### **Subcomponent 2c**

- Advance the process of carbon rights regulations and make sure that the many stakeholders are participating.
- Carry out an analysis of opportunity costs from avoided deforestation and economic assessment of the tangible and intangible assets from the forest in priority areas.
- Define guidelines for the implementation of the ENDE-REDD+ programme. Clear regulations were developed that will allow for creating a clear, equitable, and efficient mechanism to distribute benefits from REDD+.
- Finish the study on ERPD benefit distribution and/or REDD+ activities implemented at national and regional levels.
- Draw up a technical framework for record-keeping of ENDE-REDD+ projects.

### **Subcomponent 2d**

- Draw up Involuntary Resettlement Procedure Regulations.
- Draw up social and environmental framework for the Emission Reduction Programme.



### Component 3. Forest emissions reference level / Forest reference level

#### Indicator 26: Demonstration of the methodology

Self-evaluation Workshop Results:

Ethnic Groups			Working Groups				
ME	CR	RA	SERENA	GTI	INAFOR	SINIA/SIMIAR technicians	MARENA DIPLAN

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “Good progress, needs more development”. At individual level, most participants acknowledged there has been progress as concerns the methodology for building the NREF, as well as the opening of the MRV interinstitutional table. However, they also pointed out that the validation analysis of maps and emission factors has not been completed as yet, and results should be made official.  
Ethnic groups: Mestizo (ME), Creole (CR), Rama (RA)

#### Progress in indicator 26

To date Nicaragua has drafted the first reference level (NRE) proposal. It takes into account the historical average of annual net emissions from deforestation for the period 2005-2015. Greenhouse gas emissions (GEI) from deforestation, as well as carbon reservoirs in aboveground mass.

The reference level was defined as CO2 tonnes equivalent per year. Data is considered preliminary given that the intended goal is for the NRE to grow progressively to the extent that data on activities and emission factors are updated at national level.

The MRV table is assessing the possibility to include other REDD+ activities in the preliminary reference level, such as increase in carbon stocks. Additionally, an NRE is being drawn up for the PRE-CBI region. Estimates for national NRE and NRE for PRE-CBI are closely related given that both use the same national database and the same emission factors, the difference is the scale and proportion of the activity data.

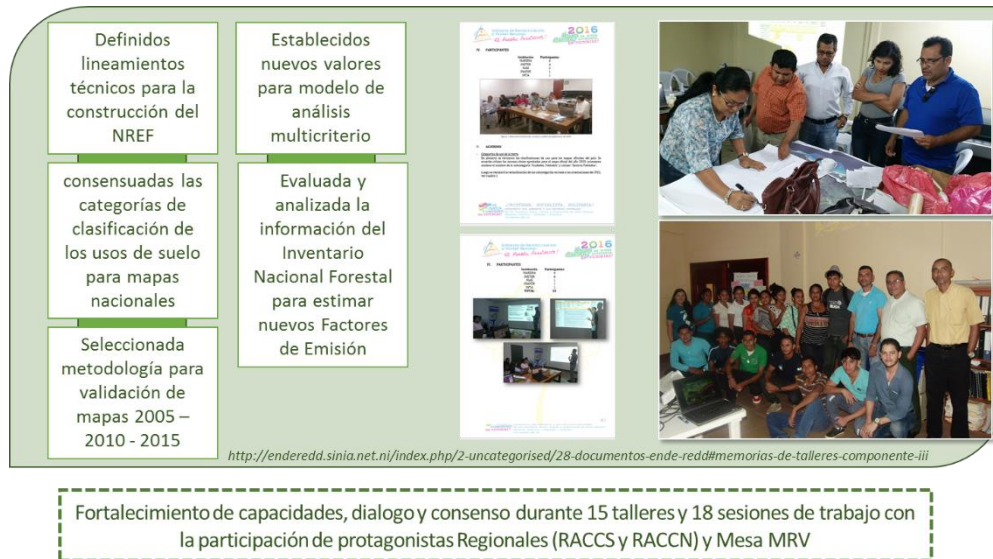
There is currently available a document on the preliminary reference level with estimates for the period 2005-2015, which explains the methodology used (i.e. factors, assumptions, and equations) and the procedures employed are detailed in Annex 16 at (<http://enderedd.sinia.net.ni/Docs/DocENDE/6.%20Doc.%20Niveles%20de%20Referencia.pdf>).

As regards the reference level, in 2015 Nicaragua implemented a plan of institutional strengthening aimed at the participants in the interinstitutional platform, and stakeholders



at the RACCS and RACCN. Such plan was directed to strengthening the technical teams in specific and key issues to draw up the NREF. INAFOR, MARENA, MAG, INIFORM experts, mayor's offices, and representatives of south and north regions on the Caribbean Coast<sup>76</sup> (Figure 29).

**Figure 29** Most important advances of NREF



A total of 15 workshops have been held and included professionals from 21 municipalities. These workshops address topics on IPCC and FCPF methods and orientations to create NREF, definition of forest, analysis of reservoirs, and deforestation rate, among others. In addition, 18 work sessions with the technical monitoring, reporting and verifying table<sup>77</sup>, as well as consultations with regional expert tables<sup>78</sup> (RACCN and RACCS) to draw up, reach consensus, and validate the methodology protocol<sup>79</sup> which contains definitions, methods, scales, scope, and approaches that were considered for building the NREF (Figure 30).

<sup>76</sup> <http://enderedd.sinia.net.ni/index.php/2-uncategorised/28-documentos-ende-redd#memorias-de-talleres-componente-iii>

<sup>77</sup> Put together by experts from MARENA, INAFOR, MAG, INETER, INTA and regional technicians from the RACCN and RACCS

<sup>78</sup> Put together by: CCF-A, SERENA, GRACCS, GRACCN, MEFCA, INAFOR, MARENA, INTUR

<sup>79</sup> <http://enderedd.sinia.net.ni/index.php/2-uncategorised/28-documentos-ende-redd>



**Figure 30** Summary of activities undertaken regarding the reference level and monitoring system (components 3 and 4)



**Indicator 27: Use of historical data adjusted to current circumstances**

Self-evaluation Workshop Results:

Ethnic Groups			Working Group				
ME	CR	RA	SERENA	GTI	INAFOR	SINIA/SIMIAR technicians	MARENA DIPLAN

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “Considerable progress made”. At individual level, most participants acknowledged there has been progress as concerns the process of validation and standardization of historical and current maps, as well as adjustment of processes to national circumstances and capacities. However, they also considered necessary to complete the analyses and activities to estimate the final NREF and maintain a technical dialogue through the MRV table.  
 Ethnic groups: Mestizo (ME), Creole (CR), Rama (RA)

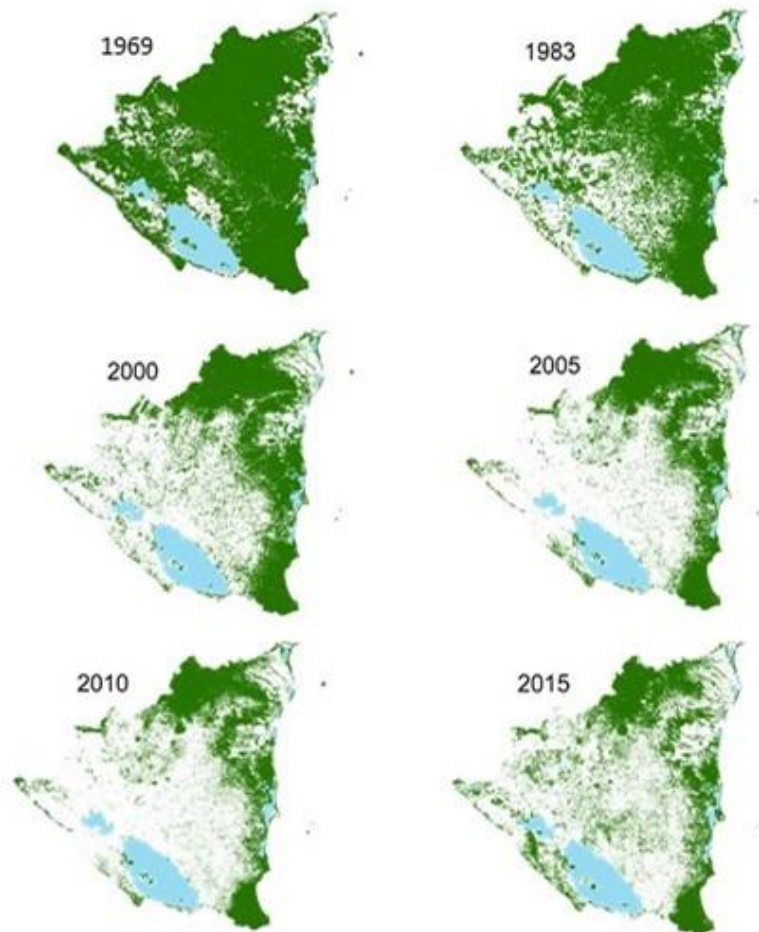
**Progress on indicator 27**

When the ENDE-REDD+ process started in 2014 the country had official soil use maps from the years 1983 and 2000. In 2012, the German Technical Cooperation Agency (GIZ) in cooperation with the National Forestry Institute (INAFOR) produced historical soil use maps for 2000, 2005 and 2010.

In order to estimate the NREF, data on changes in soil use had to be comparable in the historical series by standardizing protocols for interpretation and classification of images so that maps could be compared with each other. Maps were based on 30 m resolution LANDSAT images using consistent stratification with national GEI inventories.

ENDE-REDD+ with the support of INETER succeeded in getting a review, improvement and validation approved, and making official the historical series of soil use maps of Nicaragua. Topographical sheets, field historical data, satellite LandSat images and Rapideyes, as well as standardization of the 17 official use types in the country for all maps. One of the most important results is the standardization of a temporal wall to wall series for the years 1983, 2000, 2005, 2010 and 2015 (Figure 31), and construction of map validation protocols and classification of types of soil uses.

**Figure 31** *Multitemporal series, evaluated for the purpose of constructing a historical tendency for deforestation and forest degradation in Nicaragua.*



**Figure 32** Development of a protocol for the validation of national forest cover maps



The reference level also uses information generated by the National Forest Inventory (2007-2008). The inventory covers all types of forests in the country and provides information on aboveground biomass, variables and data used to build national emission factors.

During the year 2015 INAFOR together with ENDE-REDD+ concluded the first forest inventory re-measurement stage which consisted in updating the information provided by 54 sampling units<sup>80</sup>. In 2017 the MRV table carried out a comprehensive review of available information to estimate carbon stock per forest type (coniferous and broadleaf forest), canopy (open and closed), and the categories considered as non-woody vegetation.

**Indicator 28: Technical viability of the methodological approach and congruency with orientations and guidelines in United Nations Framework on Climate Change and the Intergovernmental Group of Experts on Climate Change**

Self-evaluation Workshop Results:

Ethnic Group			Working Group				
ME	CR	RA	SERENA	GTI	INAFOR	SINIA/SIMIAR technicians	MARENA DIPLAN

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “Considerable progress made”. At individual level, most participants acknowledged there has been substantial progress as concerns the technical documents and were able to review NREF data and methods. Furthermore, they recognized that the methodological information was explained at the MRV tables in a transparent and precise form.  
 Ethnic groups: Mestizo (ME), Creole (CR), Rama (RA)

<sup>80</sup> <http://www.inafor.gob.ni/inventario/>

## Progress on indicator 28

The reference level is consistent with the National Inventory of Greenhouse Gases (INGEI), given that the methods, data and information used were generated by the ENDE-REDD+ programme in coordination with INAFOR and INETER.

This implies that activity data are identical in both and that emission factors vary as regards the calculation level; level 1 was applied to the INGEI and level 2, to the NREF national factors for forest categories. Level 1 (default values) was applied only for land uses not forest such as bushes, crops, pastures, and humanized areas. On the other hand, methods are consistent with and attached to the IPCC according to its guidelines for 2006. Nicaragua hopes to present its NREF before the CMNUCC in 2018. The following actions took place to ensure methodological compliance with the IPCC and CMNUCC:

- a) Make canopy maps based on the categories of IPCC land representation: forest lands, wetlands, farming land, grassland, settlements and other lands.
- b) Review and analysis of emission factors and associated errors. Specific emission factors (FE) per type of forest (i.e. general types of forest) to raise the emissions estimate at level 2 of analysis.
  - a. Updated emission factors (draft).
  - b. INF database adapted to recalculate biomass and carbon values.
- c) Validated definition of forest applied to analyse changes in soil use during the periods evaluated in the country (i.e. 2000-2010, 2000-2005, 2010-2015).
- d) Comprehensive review of the preliminary NREF to include data and information pertinent to estimates, classifications and categories of soil use.

The activities carried out have contributed to establish technical strengths at the interinstitutional work table and the regional tables. Such strengths have facilitated the building of methodological documents and validation tools oriented toward estimate of NREF within a participatory framework at the MRV table (Figure 33).



**Figure 33** SNMRV components and entity part of the system by mandate



### **Next steps – Component 3**

- Carry out a process of resampling in units of national forest inventory to estimate forest emission factors.
- Improve estimates of national emission factors for non-woody categories.
- Diagnostic and analysis of forest degradation.
- Technical strengthening to interinstitutional teams in new methods and procedures to estimate CO<sub>2</sub> emissions and absorptions.
- Construction of land use map for the year 2018 to serve as input to know and identify current changes in use.
- Update estimates for the NREF based on new emission factors.

### **Component 4. Forest monitoring system and information on safeguards**

In 2014 Nicaragua began preparing and setting up a national forest monitoring system, safeguards and non-carbon benefits. Diagnostics, work sessions and workshops were carried out with technical actors from the regions and national institutions. Key actors, roles, indicators, and guidelines were identified for the operational functioning of the SNMRV.

Below is a description of the advances made in the process of creating the SNMRV subsystems.

## Component 4a. National forest follow-up system

The main subsystem goal is to monitor the status and condition of forests in Nicaragua, estimate the amount of captured carbon from forest conservation and management, or emissions from deforestation and forest degradation.

### **Indicator 29: Documentation of the follow-up approach**

Ethnic Groups			Working Groups				
ME	CR	RA	SERENA	GTI	INAFOR	SINIA/SIMIAR technicians	MARENA DIPLAN

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “Good progress, needs more development”. At individual level, evaluators consider that there is clear and precise evidence of the methodology to be used and, in addition, that this methodology is aligned to the CMNUCC, IPCC guidelines, and in the national sphere with the guidelines of the government’s National Human Development Plan (PNDH). Furthermore, the institutions involved in this process play a clear role that allows them, through synergic processes, contribute and support monitoring implementation and also know the uncertainties involved in the carrying out of processes.

Ethnic groups: Mestizo (ME), Creole (CR), Rama (RA)

### **Progress on indicator 29**

In 2014 Nicaragua began preparing and setting up a national forest monitoring system, safeguards and non-carbon benefits. Diagnostics, work sessions and workshops were carried out with technical actors from the regions and national institutions. Key actors, roles, indicators, and guidelines were identified for the operational functioning of the SNMRV.

The SNMRV was prepared through participatory processes of dialogue and consensus-reaching at which key actors of the three working groups from the ENDE-REDD+ programme were involved. These processes were divided into two stages: The first consisted in capacity development and interinstitutional, regional and territorial strengthening in conceptual themes to build monitoring systems. To this effect, 6 regional workshops (RACCS and RACCN) and 7 working sessions with the interinstitutional technical teams were carried out. The second stage involved analysis and evaluation to generate the proposed conceptual and operational functioning of the SNMRV; institutional roles and system outputs were discussed and a preliminary version of the system was created.

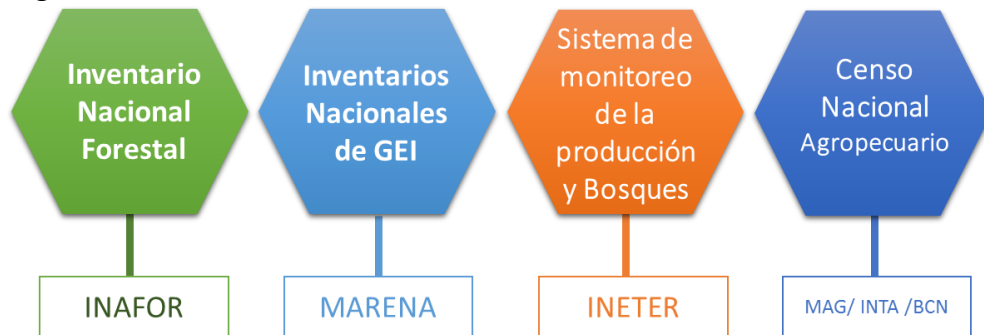
In February 2017 the institutions that make up the MRV technical team<sup>81</sup> evaluated the national systems in charge of managing and monitoring forest information, environmental

<sup>81</sup> MARENA, INETER, INAFOR, MAG, INTA, SERENAS,



indicators and indicators of changes in soil use. It is worth to point out that the national monitoring systems have methodological protocols internationally validated and have generated inputs to estimate the historic forest cover, status of forest biomass by species, agricultural and cattle ranching growth, as well as estimates of greenhouse gases from the Use of the Land sector, changes in land use and forestry. Currently a MRV technical table has been consolidated. Its role has been to review the SNMRV methodological aspects and the information subsystems, as well as the institution coordinating each SNMRV component (Figure 34).

**Figure 34** Four SNMRV components and entity which by mandate coordinates its functioning



Other public and private entities are included and cooperate in collecting, processing and validating information in the field to be used by SNMRV in generating final reports. Among these we have: local monitoring (regional governments, indigenous communities, mayor's offices, territorial governments) and institutional partners (MEFCA, INIDE, SINAPREDD, MHCP) (Figure 35).

That same year the SNMRV's operational and functional structure was designed for the institutions involved that establishes the relation and connectivity between the national monitoring systems. A functioning protocol<sup>82</sup> was created in a participatory manner for the MRV system, which contains the following:

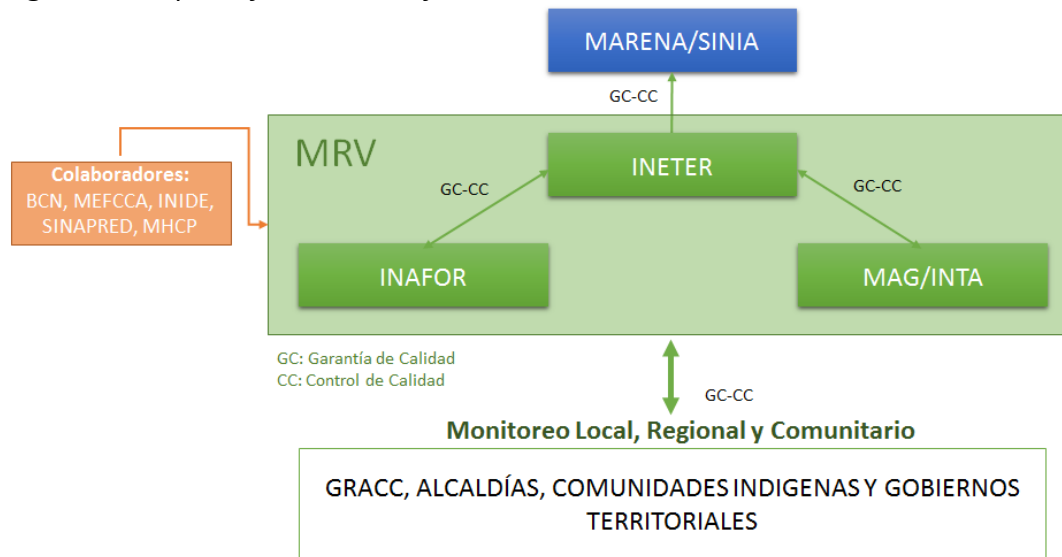
1. Definition of institutional roles.
2. Description of interoperability tests implemented between MARENA and INETER by using thematic layers (reforestation map) generated by INETER and incorporated to MARENA's viewers.
3. Preparation of operational tests with the ODK software (Open Data Kit) as a key tool for community monitoring.

<sup>82</sup> <http://enderedd.sinia.net.ni/Docs/DocENDE/5.%20Doc.%20Dise%c3%b1o%20de%20SNMRV.pdf>





**Figure 35** Proposal for a SNMRV flowchart .



**MARENA** – Informe oficial MRV

**INETER** – Monitoreo de la cobertura forestal y cambios de uso del suelo / compila información / estima las emisiones del sector UTCUTS

**INAFOR** – Mediciones y elaboración de línea base forestal

**MAG/INTA** – Línea base de agricultura y ganadería

**SINIA** – Mediante la interoperabilidad con INETER, presenta y facilita la información del SNMRV a todos los usuarios

To ensure the good functioning of the MRV system, the ENDE-REDD+ programme has improved national technical capacities by means of courses and training in analysis of spatial images and teledetection. Participants in the strengthening process involved actors from the RACCN and RACCS regional nodes, technicians from territorial governments and institutions (INAFOR, MARENA and INETER). Additionally, support was provided to INAFOR in 2015 for on-site updating of data on 54 permanent sample plots (PPM).

**Figure 36** Comprehensive training in GIS – Web administration – System of Indicators for Strengthening the Regional Node.



Efforts made by Nicaragua and the MRV system institutions have generated significant improvement in data interpretation, collection of information, field measurements and



estimates of accuracy or uncertainty calculations. Currently institutions such as INETER, INAFOR, SINIA-MARENA have improved their technological capacity, which ensures that the information generated for the new forest monitoring will better calibrate data and reduce uncertainty.

**Indicator 30: Demonstration of early system implementation**

Self-evaluation Workshop Results:

Ethnic Groups			Working Groups				
ME	CR	RA	SERENA	GTI	INAFOR	SINIA/SIMIAR Technicians	MARENA DIPLAN

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “Good progress, needs more development”. This indicator shows a yellow colour which is indicative of good process but in need of more development. Evaluators consider that there are clear signs of capacity for monitoring and that through these processes it is possible to identify any changes in forest cover based on reference levels. By measuring these changes, it is possible in turn to calculate the emissions reflected in the National Inventory of Green House Emissions (INGEI).  
Ethnic groups: Mestizo (ME), Creole (CR), Rama (RA)

**Progress on indicator 30**

Nicaragua combines two information collection tools to estimate man-made emissions based on changes in soil use (deforestation) and absorption by GEI sinks (carbon reserves and cover increase) related to the forest sector. These tools include: a) forest inventories based on measures and data collection in the field; b) analysis, interpretation and teledetection of satellite images.

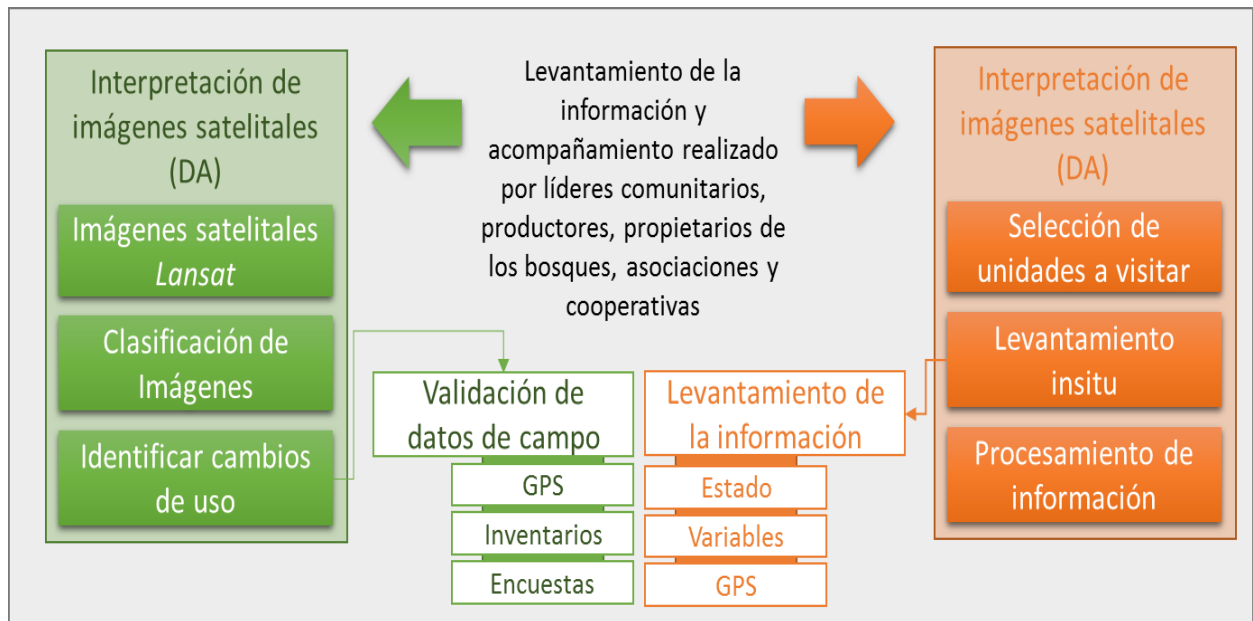
In the year 2016-2017 INETER has carried out national monitoring of productive cycles of farmland and the country’s forest cover. Monitoring activity is interinstitutionally coordinated by INETER, MAG and INTA, thus ensuring that information is spatially classified and interpreted, and validated in the field. INAFOR also has national databases of forests compiled in the National Forest Inventory (2009). Furthermore, in the year 2015 INAFOR with support from the ENDE-REDD+ programme managed to update 54 permanent sample plots. National follow-up, measurement and control instruments are presented in Table 12.

**Table 12** National forest follow-up, measurement and control instruments

Institución	Instrumento de medición	Link de acceso
INETER	Annual monitoring of crops and forest cover by means of LandSat satellite images.	<a href="http://mapserver1.ineter.gob.ni:8080/IDE-PRODUCCION/">http://mapserver1.ineter.gob.ni:8080/IDE-PRODUCCION/</a> <a href="http://mapserver1.ineter.gob.ni:8080/IDE-USOPOTENCIAL/">http://mapserver1.ineter.gob.ni:8080/IDE-USOPOTENCIAL/</a>
INAFOR	Monitoring and measurement using information gathered in the field.	<a href="http://www.inafor.gob.ni/inventario/index.html">http://www.inafor.gob.ni/inventario/index.html</a>

The SNMRV system considers that all territorial and local actors play the role of “local monitoring”. The national monitoring process is carried out by means of a territorial network of technicians from MARENA, INETER, INAFOR, MAG and INTA accompanied by community leaders, producers, forest owners, associations and cooperatives (Figure 37).

**Figure 37** Summary of activities carried out on issues pertinent to the Reference Level and the Monitoring System (Components 3 and 4)



In the year 2016 - 2017, the ENDE-REDD+ programme in coordination with INETER and INAFOR created historical soil use maps; conducted preliminary estimates of national emission factors, and have made the first estimates with this improved database. The results can be reviewed in the Reference Level document

(<http://enderedd.sinia.net.ni/Docs/DocENDE/6.%20Doc.%20Niveles%20de%20Referencia.pdf>).

The Third National Communication Project (TCN) is being financed with readiness funds for REDD+. The information that has been generated to this date was used to compare changes in forest cover and carbon content; estimate greenhouse gas emissions and absorptions from the Soil Use, Change in Soil Use and Forestry sector (UTCUTS) from TCN's national GEI inventory. A summary of additional studies conducted in 2016 and those on-going in 2017 is presented in Annexes 15 and 16, respectively.

Currently the national systems for monitoring, measuring and estimating forest GEI emissions and absorptions are not able to identify and evaluate emission displacements. But the first stage of technological strengthening of INETER, MARENA, SINIA e INAFOR was launched in 2015 for the purpose of overcoming these limitations and technical training activities took place in the regional, territorial and local nodes.

Furthermore, the study of reversions<sup>83</sup> and displacements of the causes of deforestation and forest degradation is underway and completion is expected in 2017. In the year 2018 the early warning system integrated into the SNMRV is expected to be functioning. This will ensure specific monitoring of displacements<sup>84</sup>.

Decision-making concerning the progress made in the SNM-MRV design has been inclusive and the members of the institutions which are part of the MRV table have been involved. A total of 18 work sessions were held with the technical table on monitoring, reporting and verification<sup>85</sup>, as well as consultations with the regional<sup>86</sup> expert tables (RACCN and RACCS) to draw up, reach consensus on and validate the methodological protocol<sup>87</sup>. It contains definitions, methods, scales, scope, and approaches which were considered for construction of the NREF, as well as key aspects of the SNM-MRV's defined structure, its subsystems and potential indicators, among other topics.

The documents generated and validated by the technical tables were considered for construction of the NREF and to ensure transparency. All documents, the aide-memoires, of each work session held were published through the project's web page.

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<sup>83</sup> <http://enderedd.sinia.net.ni/Docs/DocENDE/4.%20Reversiones%20Nacionales.pdf>

<sup>84</sup> <http://enderedd.sinia.net.ni/Docs/DocENDE/3.%20Analisis%20de%20Desplazamientos.pdf>

<sup>85</sup> Put together by experts from: MARENA, INAFOR, MAG, INETER, INTA and regional technicians from RACCN y RACCS

<sup>86</sup> Put together by: CCF-A, SERENA, GRACCS, GRACCN, MEFCA, INAFOR, MARENA, INTUR

<sup>87</sup> <http://enderedd.sinia.net.ni/index.php/2-uncategorised/28-documentos-ende-redd>



**Indicator 31: Institutional mechanisms and capacities**

Self-evaluation Workshop Results:

Ethnic Groups			Working Groups				
ME	CR	RA	SERENA	GTI	INAFOR	SINIA/SIMIAR Technicians	MARENA DIPLAN

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “Good progress, needs more development”. The evaluators considered that the role of each institution in charge of satellite monitoring and forest inventory has been clearly defined. The data thus generated will be available to the public at large on an ENDE-REDD+ programme web page once they become official. It was determined that the updated diagnostic of needs makes it possible to set priorities for activities and resources, and accomplish in less time the goals set forth in the process of monitoring.

Ethnic groups: Mestizo (ME), Creole (CR), Rama (RA)

**Progress on indicator 31**

Two computer tools were designed to facilitate the exchange and dissemination of information among the local institutions and users (regional governments, mayor’s offices, communities, and the public at large). Currently the information thus generated (minutes/aides-memoires from work sessions, workshops, events and catalogues of thematic maps).

1. The <http://enderedd.sinia.net.ni> web site forms part of the dissemination and transparency tools to publicly share the ENDE-REDD+ programme results. By means of this tool, the various actors have access to the generated documents and studies, and keep informed of the results attained in workshops, work sessions or national consultation activities.
2. The GeoPortal stores and presents maps made by the ENDE-REDD+ programme which were reviewed and validated by the interinstitutional table, technical team (INETER, MARENA, INAFOR, MAG, and INTA). Efforts to implement interoperability among INETER and MARENA geospatial information management systems stand out in this process, for instance: map viewers (<http://165.98.133.137/VisorReforestacion/>). Box 9.
3. The two tools are advanced versions and are ready for the ENDE-REDD+ programme to function.

Construction of the prototype version of GeoPortal was made possible by incorporating information layers provided and processed by the institutions which make up the interinstitutional table. These are the same that make up the National Environmental

Information System (SINIA) attached to MARENA (box 9). Additionally, the strategic alliance between MARENA and INETER will advance with the issue of interoperability among national monitoring subsystems. Furthermore, Monitoring of the country's productive cycles (will be based on INETER's previous experiences and lessons learned (first, second, and third growing seasons)<sup>88</sup> will be useful to design the SNMRV.

The SNMB design document includes a list of indicators generated by SINIA<sup>89</sup>. Other indicators were selected in 2016 to respond to what is needed to set up the Greenhouse Gases Inventory (INGEI) and implement the ENDE-REDD+.

Currently GeoPortal presents studies on soil use changes by means of maps. But it is expected that by 2018 it will be capable of presenting changes in real time, early warnings and displacement monitoring. It will also be able to estimate profits and losses in the forest cover.

In March 2017 a diagnostic process took place as part of institutional strengthening efforts. It includes: Identification of the SNMRV human resource needs; training and acquisition of computer equipment. The diagnostic<sup>90</sup> was built with interinstitutional stakeholders (MARENA, INETER, INAFOR, SINIA, MAG, and INTA) and the budget required to ensure efficient forest monitoring was estimated.

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<sup>88</sup> <http://mapserver1.ineter.gob.ni:8080/IDE-PRODUCCION/>

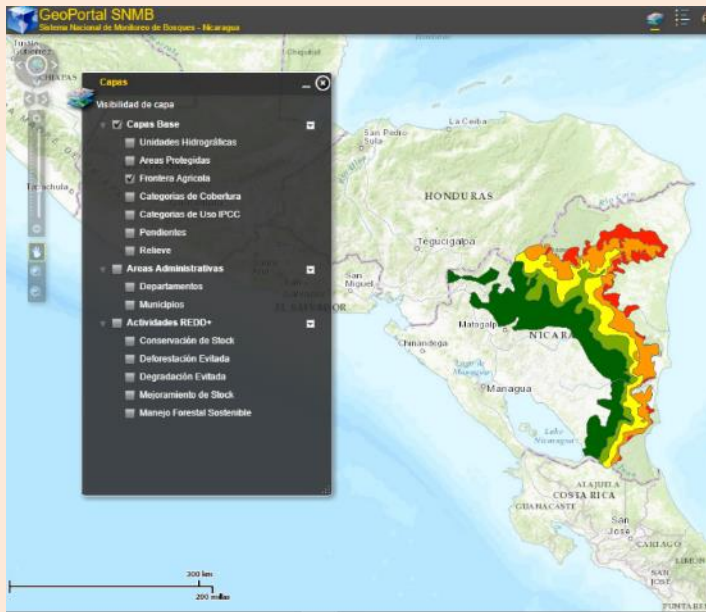
<sup>89</sup> <http://www.sinia.net.ni/index.php/indicadores>

<sup>90</sup> [http://enderedd.sinia.net.ni/Docs/Doc\\_PaqueteR/18.%20Diagnostico\\_de\\_Necesidades\\_de\\_Capacitacion.pdf](http://enderedd.sinia.net.ni/Docs/Doc_PaqueteR/18.%20Diagnostico_de_Necesidades_de_Capacitacion.pdf)



Box 4. GeoPortal was created to visualize spatially explicit national information

GeoPortal will contribute to monitoring of forests, deforestation and forest degradation by facilitating information on areas with high risk of changing soil use. This will make it possible to know the current status of forest areas.



### GEOPORTAL

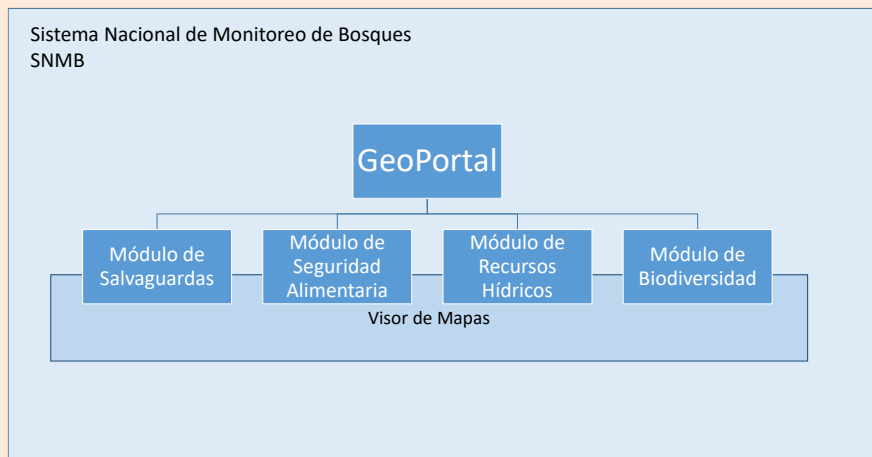
Thematic groups: 4 (four) and 1 (one) subgroup.

- Base layers
  - Administrative Areas
  - Forest dynamics
- Thematic Sub-group: REDD+ Soil activities

Total layers: 22 (twenty-two)

Active layers: 14 (fourteen),

8 layers indicated (in the process of preparation)



The capacity of the system to monitor ENDE-REDD+ priorities is based on the interinstitutional coordination to be established in the SNM-MRV. Certain level of automation of processes between the institutions involved, as well as use of spatially explicit data is expected to improve monitoring in the territories.



The SNM-MRV will have the capacity to show emission changes and displacements in a localised manner, with the magnitude of the effect caused (in tCO<sub>2</sub>e and affected areas). Monitoring will allow to evaluate the landscape matrix and estimate the profits and losses in forest cover and REDD+ activities.

In administrative and functional terms, SINIA is managed and organized by MARENA based on the Law of Environment and Natural Resources (Law 217, Art. 30 and 31). It has entered into cooperation agreements with different entities in order to generate and Exchange environmental information. Thus, inclusion of the SNMB in this platform will take advantage of the technological and administrative framework already established. It is worth to point out that the SINIA platform was technologically updated with funds from the ENDE-REDD+ project on the amount of US\$211,160.00 dollars.

The SNMB is being designed together with the members of the ENDE-REDD+ and Working Group II. It already has a defined and agreed-upon structure. In 2016 the necessary interinstitutional agreements were formalised to finish the SNM-MRV design and plan its implementation for the period 2017-2020 (for instance, agreements between MARENA-INETER, MARENA-INAFOR, MARENA-INIDE. See section 1a, indicator 3).

**Figure 38** MRV Table work session to define and update the roles of key institutions in the implementation of SNM-MRV.



The SNM-MRV is not in operation as yet, but noticeable progress has been made, laying the ground to begin implementation and establish interoperability between institutions at national level. Technical decisions are discussed at the MRV table (Figure 38).



After discussing the advances made in defining the SNM-MRV roles and structure, the needs associated to human resources have been identified and estimated (human, technological and financial). A preliminary budget has been prepared. It reflects the costs associated to monitoring of forests and non-carbon benefits in all the institutions involved in SNM-MRV implementation. This information is detailed in the Monitoring System document: <http://enderedd.sinia.net.ni/Docs/DocENDE/5.%20Doc.%20Dise%c3%b1o%20del%20SNMRV.pdf>

To improve the technical skills of monitoring teams from key entities to implement follow-up systems (i.e. SNMB, SIS, etc.), Nicaragua agreed, through the World Bank, to hire an international consulting firm to support the strengthening of national capacities, particularly in uncertainty analysis, review of data on emission activities and factors; improve the quality and presentation of results, analysis and interpretation of satellite images, and methods to validate changes in use, among other topics.

The hired firm AGRESTA S. A. will focus on estimates required by the ERPD or PRE-CBI. However, it will also provide support to the ENDE-REDD+ technical team as regards completion of the NREF/NRF and SNMRV estimates. Nicaragua expects to present its Reference Level before the CMNUCC in January 2018.

#### **Component 4b. Information system for multiple benefits, other impacts, management and safeguards**

The Information System for Multiple Benefits (SNMBe) and the Safeguard Information System (SIS) are an integral part of the SNMRV. The two are similar in the way they operate; both the SNMBe and SIS will use monitoring indicators.

It is worth pointing out that the Ministry of Environment and Natural Resources – MARENA is currently developing the System of Environmental Management Indicators – SIGA through which the SNMBe and SIS systems will publish the monitoring and follow-up of their indicators. This will make it possible to monitor the impact of ENDE-REDD+ activities on non-carbon benefits and safeguards.

Indicators resulting from non-carbon benefits and safeguards are a priority to Nicaragua. Thus, they are in line with the National Human Development Plan (PNDH). The following is a list of priority topics: Biodiversity and safeguards. Each topic will have a set of variables and indicators that will make it possible to measure the impact on the livelihood of the population.

For the analysis of biodiversity in terms of flora, the information provided by the national forest inventory (INF), which is one of the main instruments for planning, monitoring and evaluating the development of the country's forest sector, will be taken as the baseline. The INF has 371 sampling units distributed nationwide, however, for the monitoring of the REDD



+ project, 10% of these areas, equivalent to 37 sampling units, will be analyzed. The information collected of importance in terms of forest biodiversity could be triangulated with satellite images for the analysis of patterns of degradation of ecosystems and biological corridors that affect the optimum development of biodiversity.

For the analysis of fauna, the Biodiversity Directorate has 28 Bird Monitoring Stations (MOSI) that will provide statistically representative information regarding the abundance and richness of indicator species, migratory species, threatened species identified through the International Union For Conservation of Nature (IUCN) and other species of birds of conservation importance. In addition, it is contemplated within the framework of REDD + planning to carry out bird sampling in areas defined within the forest inventory, which will be selected strategically in relation to their importance in conservation and project implementation areas.

The mechanisms for collecting information on fauna and flora will consist of:

- Method of catching animals
- Line and point transects
- Quads and parcels
- Satellite imagery

At present, three possible indicators for biodiversity monitoring have been preliminarily designed, which were preselected taking into account selection variables such as cost, installed technical capacity for the collection of information and replicability at the national level. The indicators below are listed below:

- Diversity and abundance of avifauna (37 parcels of forest inventory monitoring equivalent to 10% of the plots used in the forest inventory)
- Presence or absence of bird species for intervened and non-intervened forests.
- Index of vegetation with the aid of satellite images.

The information collected during the semiannual, annual and bi-annual monitoring will be published on the SINIA-MARENA National Environmental Information System page. Likewise, it is important to note that the technical team of the ENDE-REDD + project is in the process of evaluating the pre-selected indicators and the analysis of new indicators.

It is worth mentioning that both systems include a record-keeping and monitoring module for non-carbon and safeguard indicators. Thus, faithful compliance is guaranteed in the process of implementation of the MGAS. The Safeguard Information System is (SIS) is a tool intended by the CMNUCC as a means to report how REDD+ safeguards have been addressed and respected.



**Indicator 32: Identification of pertinent aspects not related to carbon and social / environmental issues**

Self-evaluation Workshop Results:

Ethnic Groups			Working Groups				
ME	CR	RA	SERENA	GTI	INAFOR	SINIA/SIMIAR Technicians	MARENA DIPLAN

At the Self-Evaluation Workshop the working group decided by consensus to assign the value “More development needed”. The evaluators are of the opinion that there is evidence of documents on advances but they fail to clearly show the inclusion of non-carbon benefits (biodiversity). More information is needed, as is completion of the technical documents.

Ethnic groups: Mestizo (ME), Creole (CR), Rama (RA)

**Progress on indicator 32**

Selection of non-carbon benefits: Biodiversity, derived from ENDE-REDD+ took place through a process of consultation involving officials from a number of government institutions, such as INAFOR, MAG, MEFCCA, MHCP and INETER, included also in the ER-PIN preparation and consultation. This responded to the model of directed participation implemented by GRUN.

Work tables on social and environmental strategic evaluation have identified social aspects and safeguards which must be complied with in ENDE-REDD+ readiness process.

The information related to non-carbon, social and safeguard benefits will be incorporated to SINIA’s platform information system. This has been motive to carry out strengthening actions with the nodes of the autonomous regions on the Caribbean Coast. However, the accuracy of indicators in in a process of definition and consultation.

Currently Nicaragua has a historical base of environmental, socio-environmental, indigenous, and climate change indicators. These were created based on technical consultations at national level and on community bases. This information was useful to design the safeguard information system (SIS).

MARENA in coordination with the Tercera Comunicación and ENDE-REDD+ projects, decided to establish a cooperation agreement with INETER to develop a web proposal of a monitoring system of indicators of climate change - SICC, which will, in turn, be an integral part of SIGA managed by SINIA /MARENA. The system has initially 22 indicators based on four categories:

Threat, Impact, Mitigation and Adaptation. However, it has the capacity to be modified and adapt to monitoring other types of indicators.

Available data and information were a main factor to take into account when designing SICC, as this will allow indicators in the future to receive feedback and be updated. The information compiled by the system will be generated from national (MARENA, INETER, MHCP, BCN, INAFOR, MEM) and international (NOAA) institutions.

A study was carried out to address the functioning of the SNMRV's integral system at national and regional levels. It put forward proposals to improve SNMRV's operational capacity and sustainability, as well as that of its subsystems (i.e. SNMB, SIMBe, etc.). It also proposed that such analyses should take into account development periods by stages and advances at short, medium and long-term. Document LINK.

Work sessions were held with Level II (MRV and EESA tables) to identify indicators that should be included in the Information system for multiple benefits, other impacts, management and safeguards (SIMBe). These sessions helped assign roles and responsibilities for monitoring SIMBe indicators; defining the proper criteria and procedures to report statistical aspects, and the state and dynamic of indicators (Aide-memoires/minutes link). Planning at this sessions will deal with how to ensure system sustainability at medium and long-term. A review was conducted of the necessary interinstitutional agreements between government and sub-government institutions as well as other entities in the country. Agreements in force were reviewed to adapt then to the SNMBe's needs.

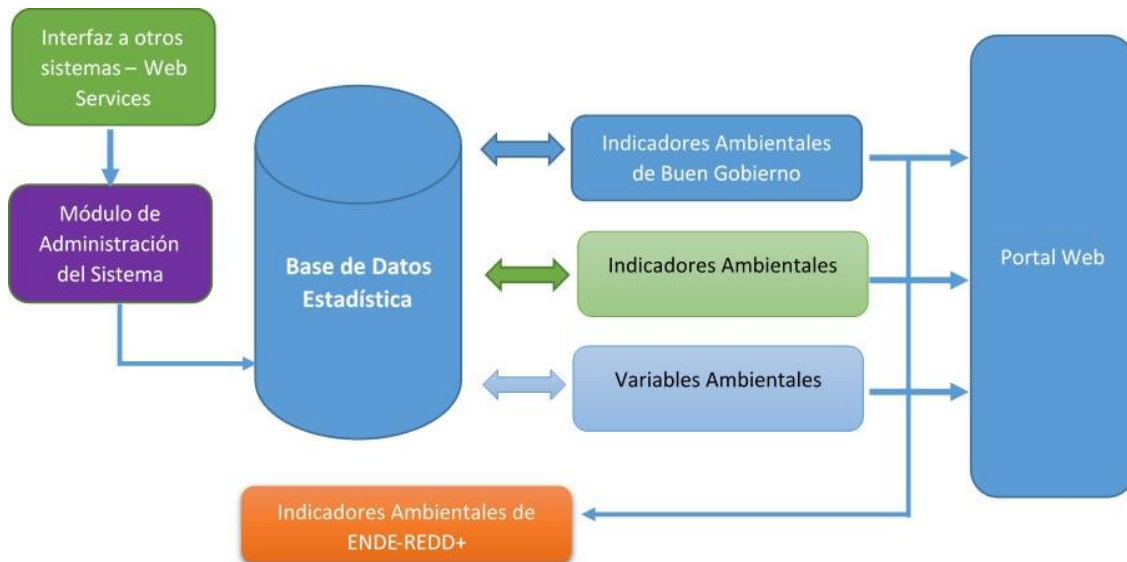
Additionally, MARENA heads the initiative to develop a Statistical Information System of Environmental Management (SIGA) where updated and relevant technical and scientific information on the environment will be found. It will show variables and indicators, as a strategic planning tool for sustainable human development which will, in turn, incorporate indicators regarding the Safeguard Information System (SIS).

The SIGA system will incorporate indicators of Good Governance commitments 2017-2021 and their articulation with Sustainable Development Goals (ODS) for the targets 2015-2030. This will be shown as per the main themes, such as water, soil, forest, biodiversity, protected areas, environmental quality, environmental education, adaptation and mitigation, among others.

There will be access to monthly statistical reports containing tables and graphs linked to geographical information, which will make it possible to compare data and records of specific topics yearly. This system is expected to help keep families and communities informed and encourage them to participate in protection, care, and defence of the natural resources that Mother Earth provides us with.



**Figure 39** Main components of SIGA



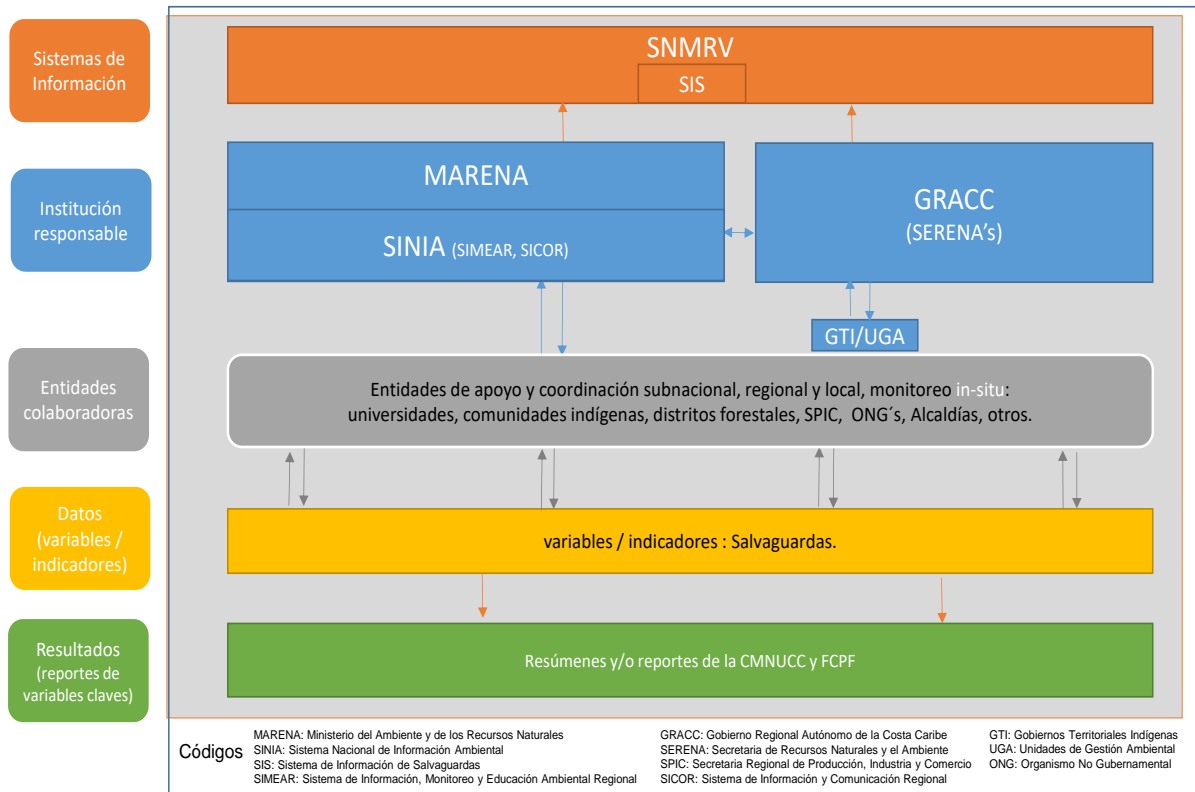
The Safeguard Information System (SIS) is still in a design stage. However, SIS is expected to provide accurate, relevant, reliable and complete information on the various elements and sub elements that can be identified in each one of the guarantees established in section 2, annex I, Decision 1/COP16. SIS platform will collect and manage socio-economic and environmental information at local, regional, and national scale with the design and scope of ENDE-REDD+ activities, to inform on the way safeguards are being addressed and respected in the ENDE-REDD programmes implementation.

The proposed SIS design is an integral part of the SNMRV, sharing similar characteristics as regards functioning and flexibility, and allowing management of information relevant to safeguards to inform the CMNUCC and FCPF, while making it possible that other national and international actors have access to information on the way safeguards are being addressed and respected. The information collected on safeguards will be used as feedback for the process and as source of recommendations to the ENDE-REDD+ programme through specific actions that will propose measures against non-compliance of activated safeguards.

More information on activated safeguards and SIS can be found in Annex 13: <http://enderedd.sinia.net.ni/Docs/DocENDE/8.%20Sistema%20de%20Informaci%3%b3n%20de%20Salvuardas.pdf>



**Figure 40** Design of the Safeguards Information System (SIS).



**Indicator 33: Follow-up, presentation of reports and exchange of information**

Self-evaluation Workshop Results:

Ethnic Groups			Working Groups				
ME	CR	RA	SERENA	GTI	INAFOR	SINIA/SIMIAR Technicians	MARENA DIPLAN
Yellow	Yellow	Yellow	Orange	Yellow	Yellow	Red	Yellow

At the Self-Evaluation Workshop the working group had differences of opinion in assigning the value. A red colour indicates that not enough progress has been made. However, in the sum of individual opinions we found values in orange and yellow.

Taking into account that there was a document with SNRMV and SIS design, the participants consider that even though these systems are not operating and at the time of the event the design information was incomplete, there is at least an advance of the design, the variables and indicators. These are closely linked to the MGAS and this is why in the end the value assigned was “More development needed.”

Ethnic groups: Mestizo (ME), Creole (CR), Rama (RA)

### Progress on indicator 33

Although the Information system for multiple benefits, (SNMBe) is being designed, it is possible to make the preliminary assertion that the information on variables and indicators will maintain the quality controls suggested by the CMNUCC., and that their dissemination will be a first stage on the END-REDD+ web site as already mentioned in subcomponent 4a.

In addition to the dissemination methods previously indicated, topics related to non-carbon benefits and safeguards will also be disseminated on television, radio, regional fora, and conferences (see Annexes 3 and 9).

Safeguards for ENDE-REDD+ associated to the common approach prioritise protection of individual rights and are, in particular, related to the Cancún Agreements (Appendix I, Decision 1). The latter reflects obligations derived from international instruments, including the rights of indigenous peoples and the local communities.

Thirty-six indicators specifically created for indigenous territories were reviewed. These were generated for the territory of the BOSAWAS Reserve in the MARENA project “Corazón del Corredor Biológico Mesoamericano” (Heart of the Mesoamerican Biological Corridor) from 2008 to 2010. This project together with indigenous peoples built indicators for monitoring and evaluating how effective were indigenous territories being managed.

### Indicator 34 Institutional mechanisms and capacities

Results of the Self-Evaluation Workshop:

Ethnic groups			Members of the working group				
ME	CR	RA	SERENA	GTI	INAFOR	SINIA/SIMIAR technicians	MARENA DIPLAN
Yellow	Yellow	Green	Yellow	Green	Yellow	Yellow	Orange

During the Self-Evaluation Workshop the group reached consensus that on indicator 34 there was “Good progress made, needs more development.” The evaluators were of the opinion that while the documents presented evidence progress, they do not show clearly the budgets which would be necessary in order to implement the monitoring systems at the institutions which are to play an active role. In addition, more information is needed and the technical documents have yet to be finished.

Ethnic groups: Mestizo (ME), Creole (CR), Rama (RA)

## **Progress made on indicator 34**

In the context of the process of national self-evaluation the progress made on this indicator is coloured in yellow, meaning that it has been good but needs to be developed further. The evaluators are of the opinion that these indicators are related to the one immediately above and that the obligations and tasks between the entities that collaborate in the SNMRV and SIS systems are clearly defined. In addition, a needs plan has been updated that includes all aspects of the ENDE-REDD+ programme in a comprehensive manner.

The SNMBe is closely related to the SNMRV (see figure 38) and both are part of the MARENA structure through the National Environmental Information System (SINIA). This arrangement ensures the collaboration agreements with the various entities for the generation of environmental and social information are complied with. As noted in subcomponent 4a, SINIA has a modern platform and sufficient technological resources to advance the SNMRV and satellite subsystems. However, more development is needed so these mechanisms and capacities can take on the SNMBe functions.

## **Next steps – Component 4**

### **Subcomponent 4a**

- Hold work sessions in order to continue the process of updating and validating the forest indicators and variables (for instance, improve processes by which to monitor and keep a record of forest fires).
- Technically and technologically strengthen local, regional and national monitoring. This process will bolster the existing monitoring structures as regards tools, knowledge and technologies, in order to ensure that the early warning systems are effective and the information is gathered with the degree of quality required when preparing SNMRV reports.
- Carry out regional monitoring pilot tests for the purpose of identifying if there has been an increase or decrease in forest cover, as well as to estimate GEI.
- Validate the interoperability of the national systems (spatial monitoring of forest cover, national forest inventories and mapping of indicators).
- Facilitate the technological strengthening of institutions that are part of SMNRV so as to improve capacities as concerns management, processing and validation of the information monitored.
- Support the second phase of the resampling of permanent INF parcels, on this occasion in areas where there is still forest remaining. The information garnered will serve as an input to deepen the forest degradation studies.
- Hold technical training sessions on monitoring system guidelines management (applications using the open data kit (ODK) for community monitoring).
- Begin interoperability tests and assess inter-institutional coordination and interaction for data recording purposes.





- Validate preselected variables and indicators related to non-carbon and socio-environmental aspects.
- Continue to verify the interoperability of the system between MARENA and INETER. These tests consist of exchanging thematic layers generated by INETER using different IT protocols with which MARENA as receiving agency can obtain and use the resources and data generated by INETER.
- Procure equipment and services in order to fine-tune the mechanism or work flow that allows for improving capacity to generate high volumes of data transfer and processes between the entities that make up SMRV.
- Hold work sessions with INAFOR officials for the purpose of coordinating activities that allow for updating the information regarding the National Forest Inventory. This is a necessary input to make calculations and produce up-to-date reports on Inventories of Greenhouse Gas Emissions (INGEI).
- Technical strengthening at regional and local levels to manage the ODK monitoring tool (Android systems).
- Validate the system's institutional roles and indicators.
- Improve the GeoPortal by using the early warning system, which allows for detecting anthropogenic activities that affect the forest in real time.
- Validate preselected variables and indicators related to non-carbon and socio-environmental aspects.

#### **Component 4b**

- Still pending is the finalization of the design and implementation of the SNMRV subsystem or module of the Multiple Benefits Information System (SIMBe), which has for its purpose to record the necessary indicators to monitor the multiple benefits correlated to ENDE-REDD+.
- In the course of 2017-2018 develop the statistical information system, so that in the future MARENA has on hand real time the progress made on each of the environmental indicators. This will contribute to the taking of preventive measures.
- An inter-institutional link will be created that displays the results of each of the environmental indicators being followed up on by each of the institutions. This will make it possible to process these in a single application.
- A comprehensive analysis of the variables and indicators related to non-carbon and socio-environmental aspects. The aim is to be able to define which aspects are to be included in the SNMRV.
- Work sessions will take place with level 2 technicians for broad-based socialization of the indicators included in the Multiple Benefits Information System.
- Produce reports with analyses of preselected indicators, including the statistical methods and data needed to measure and monitor said indicators in a systematic manner.
- The MRV Table will analyse selected indicators and assign responsibilities to ensure that each indicator is up-to-date, thus ensuring sustainability over time.



- Information will be gathered with the goal of facilitating follow-up and improving knowledge among actors / stakeholders as concerns progress made on SNMBe and SIS, and the report on its selected variables will be concluded.
- The documents supporting the presentation of the variables evaluated for the system and the selected indicators will be finished. The information will be presented to actors / stakeholders digitally and in hard copy, and the information will be placed on the website.
- Information will be gathered to facilitate follow-up and improve knowledge among actors / stakeholders regarding progress made on SNMBe and SIS.

#### **V. Participatory self-evaluation of the REDD+ readiness process**

This section describes the self-evaluation of the REDD+ readiness process in Nicaragua. The self-evaluation took into account national circumstances and the map of actors as defined from the outset of this preparatory phase. In addition, the different entities were contacted through the dialogue platforms that deal with subjects related to REDD+. Members of Working Groups II and III were invited to the self-evaluation workshop.

The overall goal was to hold the self-evaluation of the REDD+ readiness process being carried out in Nicaragua in order to evaluate the general progress made and the design of the Strategy to reduce emissions from deforestation and forest degradation (ENDE-REDD+), which is ultimately intended to contribute to the reduction of poverty. This evaluation was carried out by the actors/stakeholders, as well as by members of partners who are ENDE-REDD+ collaborators and implementers. The methods applied in this self-evaluation are based on the FCPF methodological guide.

The specific objectives were as follows:

- Socialise the progress described in the Mid-Term Report, as well as the progress achieved to date in the REDD+ readiness process.
- Receive contributions from actors/stakeholders on their assessment of the outputs, as per the performance indicators.
- Identify strengths, opportunities, constraints, threats, lessons learned and actions still pending in the country's readiness process.

#### **Preparation for the participatory self-evaluation**

Originally the self-evaluation in Nicaragua was expected to take place by holding three events, namely one national and two regional workshops (one each in RACCN and RACCS). However, it was necessary to suspend the regional events due to the intensive consultation processes underway for the purpose of preparing the Regional Emissions Reduction Programme on the Caribbean Coast, the BOSAWAS Biosphere Reserve and the Indio-Maíz Biological Reserve. It was decided that in February and March there was a saturation of events



and workshops taking place in parallel and requiring attendance by actors/stakeholders, GTI leaders, representatives of CRACCN and CRACCS and regional academicians, among others.

The national self-evaluation workshop was attended by the different sectors working on REDD+ readiness, as follows: the public sector (i.e. ministries, secretariats and national / regional institutes, regional governments and municipalities) and the private sector (i.e. civil society organisations, forest- and farming-related companies, indigenous communities and many others).

The following thematic materials were developed in order to carry out the self-evaluation: a conceptual note, a methodological guide, materials adapted to conduct a participatory evaluation of the four components and 34 indicators (based on the FCPF Guide), events communication guide (Annex 7.12). Below is a brief description of the key aspects of the self-evaluation carried out.

The self-evaluation sessions guide is based on the methodological framework for the Forest Carbon Partnership Facility (FCPF), which was followed by the event facilitator team. This guide included indicators to measure progress and a standard assessment (qualitative and quantitative). It enabled each group of actors to gain adequate understanding of the progress made on each indicator (Table 13), and thus their assessment of the reported progress made was obtained

The working groups examined the progress made on each sub-component indicator based on other information materials to conduct the self-evaluation, namely: brief printed presentation of the progress made by ENDE-REDD ENDE+, and access to internet to examine outputs on the web site (Table 14). In addition, each working group had available digital material in a laptop facilitated to examine backup documentation accessible to evaluate the progress made to date. Facilitators made available backup information for each indicator being evaluated.

**Table 13** Assessment implemented to evaluate the progress made on each sub-component indicator developed at ENDE-REDD+.

Qualitative Assessment	No progress shown as yet	More development needed	Good progress, needs to be developed further	Considerable progress made
Quantitative Assessment	< 20%	20 – 50%	50 – 80%	80 – 100%

## Induction to the self-evaluation process

Some weeks before the national workshop, additional information referring to self-evaluation was posted on the ENDE-REDD+ web site. The following information was made available: a conceptual note, a methodology for the national event and a description of the progress indicators to be used during the event. The materials used are listed in Table 14.

Furthermore, this information was sent by mail to implementing partners and a short induction tour was carried out in the territories so as to ensure understanding of the workshop goals. Start-up talks were held in RACCS and RACCN and materials to understand the workshop methodology were presented in the two sessions. Actors made suggestions during both talks. All suggestions were taken into account for the purpose of completing the design of the event and the materials used by the working groups.

**Table 14** Materials to develop the self-evaluation workshop with actors/stakeholders.

Type of Materials	Access Route
Conceptual note	<a href="http://enderedd.sinia.net.ni/Docs/Autoevaluacion/NOTA%20CONCEPTUAL%20DEL%20PROCESO%20DE%20AUTO-EVALUACION.pdf">http://enderedd.sinia.net.ni/Docs/Autoevaluacion/NOTA%20CONCEPTUAL%20DEL%20PROCESO%20DE%20AUTO-EVALUACION.pdf</a>
Workshop's methodological guide	<a href="http://enderedd.sinia.net.ni/index.php/2-uncategorised/41-autoevaluacion">http://enderedd.sinia.net.ni/index.php/2-uncategorised/41-autoevaluacion</a>
Cards for the four components and 34 indicators	<a href="http://enderedd.sinia.net.ni/index.php/2-uncategorised/43-autoevaluacion-en-linea">http://enderedd.sinia.net.ni/index.php/2-uncategorised/43-autoevaluacion-en-linea</a>
Events communication guide	<a href="http://enderedd.sinia.net.ni/index.php/2-uncategorised/41-autoevaluacion">http://enderedd.sinia.net.ni/index.php/2-uncategorised/41-autoevaluacion</a>
Presentation for induction events (prior to the workshop)	<a href="http://enderedd.sinia.net.ni/Docs/Autoevaluacion/Paquete R Autoevaluacion ENDEREDD v.2.pdf">http://enderedd.sinia.net.ni/Docs/Autoevaluacion/Paquete R Autoevaluacion ENDEREDD v.2.pdf</a>
Presentations during the event	<a href="http://enderedd.sinia.net.ni/index.php/2-uncategorised/43-autoevaluacion-en-linea">http://enderedd.sinia.net.ni/index.php/2-uncategorised/43-autoevaluacion-en-linea</a>
ENDE-REDD+ video	<a href="http://enderedd.sinia.net.ni/index.php/2-uncategorised/43-autoevaluacion-en-linea">http://enderedd.sinia.net.ni/index.php/2-uncategorised/43-autoevaluacion-en-linea</a>
Interviews prior to and after the self-evaluation	<a href="http://enderedd.sinia.net.ni/index.php/galeriavideo/categoriy/15">http://enderedd.sinia.net.ni/index.php/galeriavideo/categoriy/15</a>

Subsequent to the self-evaluation event, the following information was sent: an Executive Report, a Graphic Report, interviews conducted during the event, an ENDE-REDD+ video and the results of the self-evaluation.

## Systematisation of results

This section presents a brief description of the national self-evaluation workshop dynamics. The workshop lasted 14 hours (over two days). Below is a summary of the activities carried out by working groups during the self-evaluation.

1. The national event took place in Managua.



2. Prior to the workshop, ENDE-REDD+ process information murals were displayed. These addressed several topics: organizational structure, advance in technical studies, finances (implemented and on-going) and forest cover maps being analysed, among others. These murals were visited by workshop participants who were interested in knowing about each topic.
3. The self-evaluation event was carried out by the ENDE-REDD+ team which had received training on the FCPF methodological guide in order to:
  - a. Contribute to the creation of materials for use at the workshop.
  - b. Prepare presentations on the progress achieved on ENDE-REDD+ topics.
  - c. Facilitate thematic working groups (five working groups with two or three facilitators per groups were organized for the event).
4. The self-evaluation methodology for the country's readiness phase was explained and questions posed by actors were answered.
5. Five working groups were formed based on the list of actors enrolled in the event and self-evaluation materials were handed each participant.
6. An explanation was offered of the content of the self-evaluation file; the subjects to be evaluated by each thematic group; the format of materials and the working group cards. These helped each actor to make a thoughtful evaluation of each item to be assessed by his/her working group.
7. The cards pertaining to the indicators included the progress made or current status of the country's readiness for each indicator. They also showed the results anticipated.
8. After the working groups were formed, the cards for each progress indicator were read in their entirety; the facilitators answered questions and after a brief discussion a value was assigned individually to the pertinent indicator. The information contained in working group materials afforded workshop actors a common basis for their individual analysis and provided a qualitative and quantitative assessment of the progress made by each indicator being evaluated. The assessment or ranking of the indicators is described in 3.1.
9. The actors assigned individual and group values to the progress made on each indicator.
10. Thus, two evaluations per progress indicator were completed by the working groups (individual and group assessments). The group value is presented in Table 14.
11. A poster-size indicator was completed by each working group. The degree of progress made on the indicators analysed was coloured in as per the scheme shown in Table 13, above. Group 1 (1a). Group 2 (1b), Group 3 (2a-2b), Group 4 (2c-2d), and Group 5 (3 and 4).
12. The indicator matrixes created by the various working groups were presented at the workshop plenary. Their individual assessments are detailed at the beginning of section II.
13. Workshop results were presented per region, working group, gender, and individual (the latter anonymously). All results were useful in documenting the ENDE-REDD+ self-evaluation process.
14. The results from the evaluation were as follows:
  - a. Group evaluation – of the plenary and working group consensus.



- b. Individual evaluation – each participant was asked to assign a value, using the aforementioned colour scheme, indicators cards and additional materials provided.
  - c. Each actor received a set of cards with the indicators to be evaluated. Information on age, gender, and working group was registered on each card.
15. During the national self-evaluation workshop the following were created: 1) a Graphic Report describing the event, and 2) short interviews, accounts and messages from some participating actors who talk about a variety of topics related to the country's readiness phase (see details in Self-evaluation Communication Guide in Nicaragua, at: <http://enderedd.sinia.net.ni/index.php/2-uncategorised/41-autoevaluacion> .

### **Online self-evaluation process**

The national self-evaluation workshop was a significant advance for REDD+, as each component in the readiness process was evaluated. Suggestions from actors and co-implementing entities have been taken into account in order to improve national studies and activity planning. However, Nicaragua acknowledges that there was more participation from the Caribbean Coast, whereas workshops were suspended in the PCN region and there was insufficient presence of independent groups.

As a result, plans have been made to open an online self-evaluation space in order to access a greater number of actors and implementing partners. The materials used at the national workshop have been adapted to be digitally evaluated. There currently is an internal space open to the public at large for the evaluation of components, subcomponents and the 34 progress indicators. The national self-evaluation workshop provided feedback from the evaluation cards. All comments will serve to improve the digital cards.

The online self-evaluation is expected to be open for a six-week period. The results will subsequently be systematised. The link is as follows:

<http://enderedd.sinia.net.ni/index.php/2-uncategorised/43-autoevaluacion-en-linea>

### **Overall results of the national self-evaluation workshop**

The workshop took place on the 28<sup>th</sup> of February and the 1<sup>st</sup> of March 2017<sup>91</sup>. Aspects of the country readiness phase and REDD+ readiness process for Nicaragua were presented during the event (Figure 41). Progress reported at the mid-term of the readiness phase was described and the self-evaluation methodology explained. Subsequently, there was an explanation of ENDE-REDD+ progress so far and of the values scale used for the self-evaluation that was produced for the REDD+ readiness process.

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<sup>91</sup> Event held in the Camino Real Hotel in the city of Managua, Nicaragua.



**Figure 41** Plenary held on the opening day of the National Self-Evaluation Workshop



The self-evaluation of the country's readiness process took place in the afternoon. The participants were divided into focus groups based on their characteristics and the entities/institutions they represent. Each subgroup made the self-evaluation in accordance with the ENDE+ criteria guide and the readiness progress document. The working groups were organized as follows:

- |                                |                        |
|--------------------------------|------------------------|
| 1) subcomponent 1a:            | 6 indicators evaluated |
| 2) subcomponent 1b:            | 4 indicators evaluated |
| 3) subcomponents 2a-2b:        | 8 indicators evaluated |
| 4) subcomponents 2c-2d:        | 7 indicators evaluated |
| 5) subcomponents 3, 4a and 4b: | 9 indicators evaluated |

In each group a narrator was chosen. Each group had two local facilitators who helped with methodological clarifications to ensure the groups would channel their contributions to the



assigned topic and the evaluation materials or forms. In order to achieve the expected results, the workshop took place over two days.

**The following is a summary of the event's results:**

- There were 80 participants: 70% were men and 30% women (Figure 42).
- Of the total of participants, 60% were Mestizo, 19% Creolee, 15% Miskitu, 4% Chorotega, 3% Ulwa, and 0.5% Anglo-Saxon; 94% were Nicaraguans and 6% were foreigners from the World Bank (Figure 42).
- There were 7 representatives from the Indigenous Territorial Governments (31% of all the indigenous peoples' representatives in the country).
- The progress, to date, of each component was explained in a plenary session and this facilitated the work of the groups in evaluating the process' progress.
- Five working groups were formed to address each component's issues and to make a participatory evaluation.
- The groups evaluated all the progress indicators in the component they were evaluating (following the FCPF guide). They made individual evaluations and another from the group as a whole.
- The materials were modified to enhance the participants' understanding.
- A SWOT analysis of the readiness process was conducted in the plenary session (see SWOT matrix in Section 3.7).
- The event was considered satisfactory and met the stated goals.
- The participants agreed that:
  - the methods and presentations were appropriate for the topics (95% of all participants),
  - the depth of the subjects was appropriate (90%),
  - the language used was easy to understand (95%),
  - the contents met the workshop's goals (100%),
  - the facilitators made the necessary clarifications (95%) , and
  - they showed knowledge about the topic (95%).
- A summary of the self-evaluation's results is described in Box 10.



Box 10. Main results of the participatory self-evaluation carried out by the actors



Link to self-evaluation process videos:

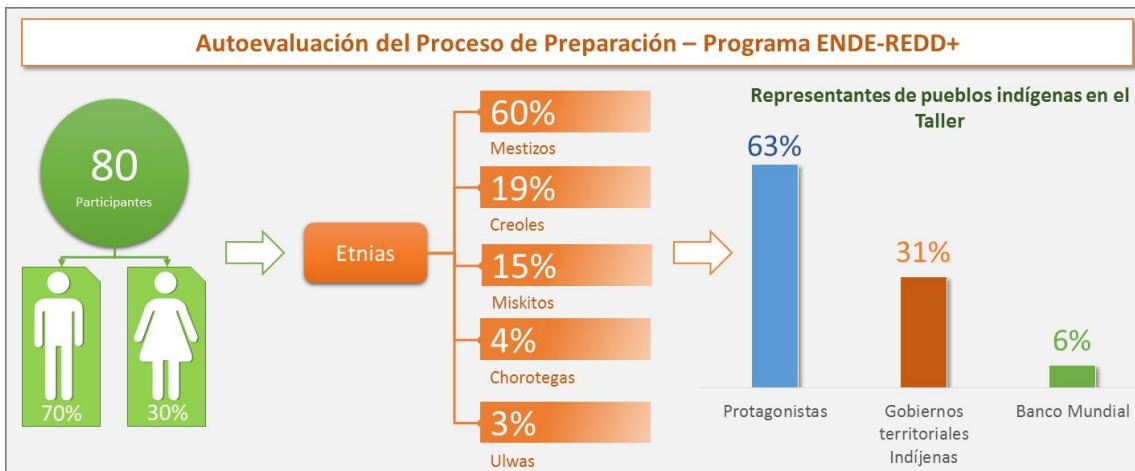
<http://enderedd.sinia.net.ni/index.php/galeriavideo/category/15>

The memorial record can be accessed in Annex 21:

[http://enderedd.sinia.net.ni/Docs/Doc\\_PaqueteR/21.%20Memoria\\_PaqueteR.pdf](http://enderedd.sinia.net.ni/Docs/Doc_PaqueteR/21.%20Memoria_PaqueteR.pdf)

- The 34 progress indicators were evaluated with the help of a booklet modified to everyday language and the ENDE-REDD+ context.
- Five work groups evaluated a set of indicators: 1a, 1b, 2a-2b, 2c-2d, 3 and 4.
- 15 indicators were rated as showing **considerable progress**,
- 23 indicators were rated as **good progress, but needs more development**,
- 5 indicators **needs more development**, and
- 2 indicators were evaluated as **still not showing progress**
- **Table 15 shows the work groups' evaluation of each indicator.**

**Figure 42** Description of participants by gender and ethnic group represented at the national self-evaluation workshop



**Figure 43** Working groups carrying out the self-evaluation of the components assigned to them.



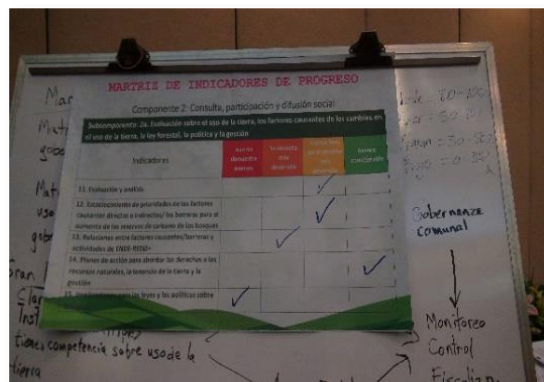
**Figure 44** Group self-evaluation, bulletin boards and form on which the group evaluated the progress indicators



The participants reviewed each indicator, its goal, advances of the process to date, and evidence of progress. Next they marked down their individual ratings and then made a group evaluation. Group making an evaluation of subcomponent 1b.



Bulletin boards about progress in the readiness process.



Matrix of indicators for subcomponent 2A, showing the group evaluation.

Each group's overall evaluation of the 34 indicators was presented in the workshop's plenary session where the participants reviewed the overall evaluation. The values in Table 15 show the work groups' consensus.

It was not possible to present the results of the individual evaluations during the workshop, but it was planned to process them later along with the memorial record of the event.

**Table 15** Degree of progress achieved at R-PP components, subcomponents and progress indicators, according to the national evaluation (March 2017)

R-PP components, subcomponents and progress indicators	Self-evaluation Rating in the Plenary Session (February 2017)
Component 1: Organization and Consultations for Readiness	Green
Subcomponent 1a: National ENDE-REDD+ programme management mechanisms	Green
1. Accountability and transparency	Green
2. Operational mandate and budget	Green
3. Multi-sectorial liaison mechanisms and inter-sectorial collaboration	Yellow
4. Capacity for technical supervision	Yellow
5. Fund management capacity	Yellow
6. Exchange of information mechanism and claims compensation	Orange
Subcomponent 1b: Consultation, participation and social communication	Orange
7. Participation and intervention of the key interested parties	Green
8. Consultation processes	Green
9. Exchange of information and access to information	Yellow
10. Implementation and public dissemination of the consultation results	Green
Component 2: ENDE-REDD+ Programme Readiness	Yellow
Subcomponent 2a: Evaluation of land use, the drivers of changes in land use, the forestry law, policy and management	Yellow
11. Evaluation and analysis	Yellow

R-PP components, subcomponents and progress indicators	Self-evaluation Rating in the Plenary Session (February 2017)
12. Prioritisation of the direct and indirect drivers/barriers to increasing the carbon reserves of the forests	Yellow
13. Relationship between the drivers/barriers and ENDE-REDD+ activities	Orange
14. Action plans to address the rights to natural resources, land tenancy and management	Green
15. Implications for the forestry laws and policies	Red
Subcomponent 2b: ENDE-REDD+ strategy options	Yellow
16. Presentation and prioritisation of the ENDE-REDD+ strategy options	Yellow
17. Evaluation of feasibility	Yellow
18. Implications of the strategy options on existing sectorial policies	Orange
19. Adoption and implementation of legislation/regulations	Yellow
Subcomponent 2c: Implementation framework	Yellow
20. Implementation guidelines	Yellow
21. Mechanism for sharing benefits	Orange
22. REDD+ national registry and activities of the ENDE-REDD+ monitoring system	Green
Subcomponent 2d: Social and environmental impacts	Green
23. Analysis of issues related to social and environmental safeguards	Green
24. ENDE-REDD+ strategy design on impacts	Green
25. Environmental and social management framework	Green
Component 3: Emissions reference level/ Reference levels	Yellow
26. Demonstration of the methodology	Yellow
27. Use of historical data adapted to national circumstances	Green
28. Technical feasibility of the methodological approach, and consistency with the orientation and guidelines of the United Nations Framework Convention on Climate Change/the Intergovernmental Panel on Climate Change	Green
Subcomponent 4a: National Forestry Monitoring System	Yellow
29. Documentation of the monitoring approach	Yellow

R-PP components, subcomponents and progress indicators	Self-evaluation Rating in the Plenary Session (February 2017)
30. Demonstration of the early implementation of the system	Yellow
31. Institutional mechanisms and capacity	Yellow
Subcomponent 4b: Information System for Multiple Benefits, other impacts, management and safeguards	Yellow
32. Identification of pertinent aspects not related to carbon and social and environmental issues	Yellow
33. Monitoring, reporting and information exchange	Red
34. Institutional mechanisms and capacity	Yellow

**Figure 45** Group self-evaluation. Actors took time to read, analyse, ask questions and debate on each of the indicators evaluated



## Results dissemination plan

To disseminate the results of the self-evaluation, a summary of the results is available in documents and tables on the ENDE-REDD+ programme's website: [http://enderedd.sinia.net.ni/Docs/Doc\\_PaqueteR/21.%20Memoria\\_PaqueteR.pdf](http://enderedd.sinia.net.ni/Docs/Doc_PaqueteR/21.%20Memoria_PaqueteR.pdf).

The memorial record of the self-evaluation event was shared with the participants attending the event and the document distributed to MARENA's extensive contact list. Self-evaluation section on the website: <http://enderedd.sinia.net.ni/index.php/2-uncategorised/41-autoevaluacion>.

The results of the REDD+ readiness process in Nicaragua were published on the website and disseminated through contact lists to participants at ENDE-REDD+ events, thereby improving communication about progress and knowledge on the next steps in the process. The results were also distributed via the contact list (the list of participants is presented in Annex 18).

## SWOT analysis results and lessons learned

Strengths	Weaknesses
<ul style="list-style-type: none"> <li>• National vision of forest conservation and protection</li> <li>• ENDE REDD+ is developing based on the National Plan for Human Development (PNDH)</li> <li>• Nicaragua's comprehensive and robust legal, environmental and policy framework for implementing ENDE-REDD+.</li> <li>• Significant legal security over land in indigenous territories, territories titled</li> <li>• Mechanism for dialogue and consensus established with ENDE-REDD+ stakeholders</li> <li>• Working groups 1, 2 and 3 formed and functioning, which strengthen liaison and on-going dialogue.</li> <li>• Organisations of producers positive will to participate in ENDE-REDD+ activities</li> <li>• Active participation of the indigenous territorial governments (GTIs) in the ENDE-REDD+ process</li> <li>• The ENDE-REDD+ readiness process is promoting extensive multi-sectorial and multi-regional participation</li> <li>• Liaison team united and coordinated with the autonomous regions and the PCN</li> </ul>	<ul style="list-style-type: none"> <li>• Weaknesses in the application of the legal framework</li> <li>• Limited national coverage for forest monitoring and control in the territories</li> <li>• GTIs lack equipment</li> <li>• The autonomous regions lack equipment with suitable programmes to access information</li> <li>• Lack of television and radio communication of the programmes' progress</li> <li>• Insufficient budget to extend consultation and participation to community level</li> <li>• Insufficient institutional staff and limited technology</li> <li>• Lack of regulation for accessing the carbon fund</li> <li>• Document in analysis on customs and ways of sharing benefits.</li> <li>• Bureaucratic and antiquated processes for forest action</li> <li>• Processes and actions in the regions that delay results</li> <li>• PI-CPN maps need updating and validating</li> <li>• The communities lack closeness and unity</li> </ul>



Strengths	Weaknesses
<ul style="list-style-type: none"> <li>• The CCF-A regional advisory platform, which advises the RACCN regional government on forests and climate change issues.</li> <li>• Appropriate ancestral techniques for the sustainable use of Mother Earth.</li> <li>• National and regional climate change strategy in the RACCN.</li> <li>• Budget for developing activities in the readiness process</li> <li>• Existence of a study on the causes of deforestation</li> <li>• Existence of maps on wooded areas and forests</li> <li>• Existence of organized structure in the territories</li> <li>• GTIs with ecological statutes and regulations to consolidate the ENDE – REDD+ process</li> <li>• Existence of bodies of water, rivers, lakes</li> <li>• Existence of residual forests in the country</li> </ul>	<ul style="list-style-type: none"> <li>• Lack of publicity for the programme in the autonomous regions and the PCN</li> <li>• The custom of “slash and burn” for preparing land for planting</li> <li>• Forest care values need strengthening in the general population.</li> <li>• Awareness of the population</li> <li>• Difficulties in getting information to the communities</li> <li>• No communication in inaccessible communities (communication strategy)</li> <li>• The GTI’s technical teams are not very involved in forest monitoring</li> <li>• Indigenous territories need increased awareness</li> <li>• The communication strategy concentrates on TV and radio, ignoring the other media</li> <li>• The private sector needs to be more involved in the ENDE-REDD+ process</li> <li>• The GTIs have not passed on ENDE-REDD+ information in their communities due to economic limitations.</li> <li>• Communication costs with indigenous communities are very high.</li> <li>• The null value of standing forest causes illegal land leasing and sales.</li> </ul>

Opportunities	Threats
<ul style="list-style-type: none"> <li>• The political will of the GRUN.</li> <li>• Local initiatives that strengthen ENDE-REDD+ in the Caribbean Coast regions.</li> <li>• ENDE-REDD+ is an opportunity to recover forests, raising public awareness about the importance of conserving forests, providing an incentive that benefits forest owners and protects our Mother Earth and the ecosystems, improving the inhabitants’ lives, obtaining foreign currency for caring for the forest and living in harmony with the environment.</li> </ul>	<ul style="list-style-type: none"> <li>• Extreme events such as fires, droughts and hurricanes.</li> <li>• Delays with World Bank funds.</li> <li>• Cooperative coordination with different sectors of the political and private spheres has not been achieved.</li> <li>• Conflicts between the settlers and land owners.</li> <li>• Change of national, regional and GTI authorities, not committed to the forests.</li> <li>• Lack of resources to implement their own land clearances and territorial ordering in the indigenous territories.</li> </ul>

Opportunities	Threats
<ul style="list-style-type: none"> <li>• The ENDE-REDD strategy is an opportunity to manage resources in other ways and not just from one source</li> <li>• The involvement of livestock farmers to develop silvopastoral systems and natural regeneration of the forests.</li> <li>• The will and interest of communities and GTIs to be stakeholders in the ENDE-REDD+ programme.</li> <li>• Obtain World Bank funding to develop the climate change strategy.</li> <li>• All sectors of the country are willing to work together in coordination.</li> <li>• Empowerment of the different stakeholders.</li> <li>• There are public/private partnerships for ENDE-REDD+.</li> <li>• ENDE-REDD+ is an opportunity to change inappropriate practices, to value and highlight the contribution of indigenous peoples.</li> <li>• Existence of local efforts within ENDE-REDD+.</li> <li>• There is experience in the country of climate-smart agriculture that can help ENDE-REDD+ efforts.</li> <li>• Existence of modern media and social networks.</li> </ul>	

### Lessons learned

Issues	Lessons learned
ENDE-REDD+ management mechanisms	<p>The incorporation of GTIs and indigenous communities into the three working groups has empowered them in the ENDE-REDD+ process.</p> <p>The rapprochement of central level agencies (technical) with the GTIs and the recognition of local ability strengthens the technical teams and gives them institutional support.</p>
Consultation, participation and social communication	<p>The work of sensitising the population is an arduous task that has to be on-going.</p> <p>The extended participation took more time and resources, but ensures the acceptance and interest of the general public.</p> <p>Reinforcing the region's efforts with information that has been created (Climate Change Strategy, Forestry Development Strategy (EDFOR),</p>



	Restoration and local projects) helped to enrich ER-PIN and ERPD.
Land uses, D&D drivers, laws and policies that affect USCUS	ENDE-REDD+ enables the revitalisation of our forests, reduce the impacts of climate change and improve the living conditions of indigenous peoples.
Reference scenarios	Capacity building in the autonomous regions about RLFE was key to progress. RLFE must be fully understood by all the key stakeholders in order to facilitate the discussion, review and construction of RLRE.
Forest Monitoring System and co-benefits	The space for discussion and analysis generated in the MRV office, through its inter-institutional nature, has been useful for agreement on the definition of technical aspects, which has allowed for progress in technical decision-making.

### Comparison of progress indicators for the two evaluations of the country's readiness process

Subcomponent 1a: The ENDE-REDD+ programme's national management mechanisms improved its rating: of the six indicators, 3 were rated as making *considerable progress*, 2 as making *good progress but needs more development* and one as *needs more development*. The latter refers to the exchange of information and claims compensation mechanism (Table 16).

Subcomponent 1b: Consultation, participation and social communication shows a notable improvement compared to the last evaluation, as in this one three of the four indicators were considered to be making *considerable progress* (Table 16).

Subcomponent 2a: Evaluation on land use, the drivers for land use change, forestry law, policy and management shows notable progress with one indicator rated with *considerable progress*, two indicators yellow, one orange and one red. Aspects to improve were Implications for the forestry laws and policies; and the Relationship between drivers/barriers and ENDE-REDD+ activities (Table 16).

Subcomponent 2b: ENDE-REDD+ strategy options. The rating in this subcomponent remained much the same as in the MTR section. Two indicators were considered to have made *good progress but need more development* and one *needs more development*. And focus on improving Implications of the strategy options for existing sectorial policies is suggested (Table 16).

Subcomponent 2c: The implementation framework obtained a positive rating and two indicators advanced from *needs more development*, one indicator to *good progress but needs more development* and one to *considerable progress*. The area of work in need of more details to improve is the Benefit sharing mechanism (Table 16).

Subcomponent 2d: Social and environmental impacts. The participants perceived that all the indicators in this subcomponent made notable progress, with three indicators being rated as having made *considerable progress*. However, the ENDE-REDD+ team recognises that it must improve even further in the ENDE-REDD+ strategy's design regarding impacts (Table 16).

Component 3: Emission reference levels/Reference levels improved markedly compared to the earlier evaluation, 3 indicators were rated with *considerable progress* and one with *good progress*, but Demonstration of the methodology *needs more development* (Table 16).

Component 4: National monitoring systems and information on safeguards, of the six progress indicators, five were rated as having *considerable progress* and one as *still not showing progress*, which is the one on Monitoring, reporting and information exchange (Table 16).

**Table 16** Comparison of progress indicators at programme mid-term (August 2016) and the participatory self-evaluation (July 2017)

R-PPe components, sub-components and progress indicators	MTR (August 2016)	Self-evaluation (February 2017)
Component 1: Organisation and Consultations for Readiness		
Subcomponent 1a: National ENDE-REDD+ programme management mechanisms		
1. Accountability and transparency	Green	Green
2. Operational mandate and budget	Green	Green
3. Multi-sectorial liaison mechanisms and inter-sectorial collaboration	Yellow	Green
4. Technical capacity for supervision	Yellow	Yellow
5. Fund management capacity	Yellow	Yellow
6. Exchange of information mechanism and claims compensation	Yellow	Orange
Subcomponent 1b: Consultations, participation and social communication		
7. Participation and intervention by the key interested parties	Yellow	Green
8. Consultation processes	Yellow	Green
9. Information exchange and access to information	Yellow	Yellow
10. Implementation and public communication of the consultation results	Orange	Green
Component 2: ENDE-REDD+ Programme Readiness		
Subcomponent 2a: Evaluation of land use, the drivers of changes in land use, the forestry law, policy and management		
11. Evaluation and analysis	Yellow	Yellow

<b>R-PPe components, sub-components and progress indicators</b>	<b>MTR (August 2016)</b>	<b>Self-evaluation (February 2017)</b>
12. Prioritisation of the direct and indirect drivers/ barriers to increasing the carbon reserves of the forests	Yellow	Yellow
13. Relationship between drivers/barriers and ENDE-REDD+ activities	Yellow	Orange
14. Action plans to address the rights to natural resources, land tenancy and management	Yellow	Green
15. Implications for the forestry laws and policies	Yellow	Red
<b>Subcomponent 2b: ENDE-REDD+ strategy options</b>		
16. Presentation and prioritisation of the ENDE-REDD+ strategy options	Yellow	Yellow
17. Evaluation of feasibility	Yellow	Yellow
18. Implications of the strategic options on existing sectorial policies	Yellow	Orange
<b>Subcomponent 2c: Implementation framework</b>		
19. Adoption and implementation of legislation/ regulations	Orange	Yellow
20. Implementation guidelines	Purple	Yellow
21. Mechanism for sharing benefits	Purple	Orange
22. REDD+ national registry and activities of the ENDE-REDD+ monitoring system	Purple	Green
<b>Subcomponent 2d: Social and environmental impacts</b>		
23. Analysis of issues related to social and environmental safeguards	Purple	Green
24. ENDE-REDD+ strategy design on impacts	Orange	Green
25. Environmental and social management framework	Orange	Green
<b>Component 3: Emissions Reference Levels/Reference Levels</b>		
26. Demonstration of the methodology	Yellow	Yellow
27. Use of historical data adapted to national circumstances	Yellow	Green
28. Technical feasibility of the methodological approach, and consistency with the orientation and guidelines of the United Nations Framework Convention on Climate Change/the Intergovernmental Panel on Climate Change	Yellow	Green
<b>Component 4: National Monitoring and Information Systems on Safeguards</b>		
<b>Subcomponent 4a: National forestry monitoring system</b>		
29. Documentation of the monitoring approach	Orange	Yellow

R-PPe components, sub-components and progress indicators	MTR (August 2016)	Self-evaluation (February 2017)
30. Demonstration of early implementation of the system		
31. Institutional mechanisms and capacities		
Subcomponent 4b: Information system on multiple benefits, other impacts, management and safeguards		
32. Identification of pertinent aspects not related to carbon and social and environmental issues		
33. Monitoring, reporting and information exchange		
34. Institutional mechanisms and capacities		

## VI. Progress path of the readiness process

With the 34 evaluated progress indicators, and the priorities and demands of the involved institutions (INETER, INAFOR, MAG and MHCP), it was possible to identify the need to elaborate on and complement developed actions, along the following lines:

1. Strengthen the governance, organisation and consultation of the Strategy in order to obtain version 1 and an improved environmental and social management framework (MGAS), and adapt the organised structure to enable the implementation of the National Forestry Plan.
2. Strengthen the technical and technological capacity of governmental institutions in order to analyse forest dynamics and implement the programme using advanced technology.
3. Consolidate the national monitoring, reporting and verification system (SNMRV), as well as the national information system for forests and safeguards (SIS).

These work guidelines are aimed at: i) advancing and enhancing the ENDE-REDD+ systems, ii) producing a new national version of ENDE-REDD+, iii) removing institutional, legal and economic barriers to facilitating the implementation of the National Forestry Plan's potential and, particularly, private investment in activities contribute to reducing gas emissions in the land use sector. Tables 11 and 12 show the milestones that are expected to be achieved in the periods 2017-2018 and 2018 to 2023.

Main milestones proposed in each component and subcomponent of the project. Other aspects are mentioned in Table 17. Table 18 mentions the timetable of the roadmap to advance the REDD+ readiness process in Nicaragua.

**Table 17** *Main milestones proposed for each component and subcomponent of project TF 099264*

Subcomponent	Milestones expected to be achieved 2017-2018
1a	Ensure the efficient management of resources in the readiness of the ENDE REDD+ Programme. Arrange funding to finance activities to reduce the country's gas emissions.
1b	<p>Establish a comprehensive and inclusive feedback mechanism for the ENDE-REDD+ Programme, operating at national level and starting in the first half of 2017.</p> <p>ENDE REDD+ Programme validated and consulted in 2017, and substantial progress in the country readiness process.</p> <p>Strengthen the participation, communication, decision-making process and the feedback mechanism in the ENDE-REDD+ Programme.</p>
2a	<p>Evaluation of the causes of deforestation and forest degradation (multi-factors, spatial and links with legal framework and public policies).</p> <p>Mapping intervention areas for the Regional Emissions Reduction Programme (PRECABOIM).</p>
2b	ENDE-REDD+ action plan, revised and consulted, based on the guidelines' prioritisation based on barriers, environmental and social risks.
2c	Environmental and Social Management Framework (MGAS) agreed and validated, and ready to support the implementation of ENDE-REDD+ initiatives at national level.
2d	ENDE-REDD+ Programme with a comprehensive and robust action plan to reduce and minimise social and environmental impacts.
3	Agree on and validate Forest Reference Emission Levels in the MRV tables.
4a	Validate and implement the prototype of the National Forest Monitoring System (SNMB).
4b	Most SNMRV modules being implemented, i.e. SIS



**Table 18** *Timetable of roadmap for the way forward in the REDD+ readiness process in Nicaragua*

Sub-component	Process Activities or Milestones	Readiness Funds <sup>92</sup>		Additional funds <sup>93</sup>				Other funds			
		2017		2018		2019		2020	2021	2022	2023
		I S	II S	I S	II S	I S	II S				
1a	Inter-sectorial liaison strengthened for the implementation of ENDE-REDD+										
	Strengthened partnerships with municipalities, associations, unions and universities for ENDE/REDD in PCN										
	Communication strengthening mechanism being implemented										
1b	Consultation of the ENDE-REDD+ Strategy (community level)										
	Consultation of the ENDE-REDD+ Strategy in PCN.										
	Develop ER-PIN for PCN										
	Strengthen gender approach in the ENDE-REDD+ design										
2a	Finalise the Forest Governance Study, which will help evaluate the status of regional and municipal governance so as to pinpoint the strengths and weaknesses of different levels of government in terms of ENDE-REDD+.										
2b	Comprehensive analysis of social and environmental viability + costs and benefits of the activities that the										

<sup>92</sup> FCPF donation funds terminating in December 2017

<sup>93</sup> Additional funds expected to begin implementation in 2018 and be in force for 24 months.

	strategic guidelines will implement at national level.										
	Analysis of opportunity costs of avoided deforestation and the economic valuation of the tangible and intangible forest assets located in the prioritised areas										
	Feasible proposals for the reduction of emissions in the PCN, developed by sector – social, environmental, and costs										
2c	Regulation on carbon rights developed										
	Benefits sharing mechanism defined										
	Finalise the study on the distribution of ERDP benefits and/or REDD+ activities implemented nationally and regionally.										
	Technical framework for ENDE-REDD+ projects registry										
2d	Regulations for Involuntary Resettlement procedures formulated										
	MGAS for the PRR-CBI developed										
	Develop MGAS for ERPD in PCN										
	Reports on the implementation of MGAS										
3	Review of RLFE scenarios										
	Definition of RLFE scenarios for PCN										
	Final validation of RLFE										
	Completion of INGEI USCUS										

4a	Early SNMB tests and the system's inter-operability										
	SNMB established in PCN										
	SNMB underway										
4b	Multiple Benefits Monitoring System										
	Completion of sub-system modules, issue indicator forms										
	SIS, SNMB, others, underway										



## VII. Conclusions

The Readiness Process has enabled the achievement of a series of milestones, consistent with the UNCFCC mandate in terms of organisation, thematic studies and critical analysis, vision and future plans. For example, the ENDE-REDD+ Programme is included in national policies on forests and climate change, and furthermore contributes to the Bonn Challenge 20X20 initiative.

The REDD+ readiness process is the result of a participatory process that has included stakeholders from the Caribbean Coast regions, PCN and central level, which is why this document shows REDD+ readiness progress at national level.

Four important milestones of the readiness process achieved to date should be noted: the ER-PIN was endorsed in 2015; the “*Letter of Intent for the Readiness of a Programme focused on the Reduction of Emissions by Deforestation and Environmental Degradation*” was signed in January 2016; the Mid-Term Report (MTR) was presented in August 2016; and PC approval was obtained for the request for additional funds to complete the readiness process.

Currently the first version of the national strategy for the reduction of emissions, called “Strategy to reduce emissions from deforestation and forest degradation (ENDE-REDD+)” has been consulted. This strategy has six guidelines and 38 strategic actions for a plan defined up to 2040. This document was presented in a national workshop and its construction and consultation, through public debate in the territories, is expected to continue during the period 2017-2018.

It has a webpage and a Geoportal that have enabled interested persons (the general public) to obtain up-to-date information on ENDE-REDD+ progress. The information has reached those interested via reports, pamphlets, popular booklets, as well as through direct access to information by means of emails and the webpage.

Self-evaluation of the readiness process was carried out in a participatory manner, and this has enabled a review of the process’ information flow, bottle necks and strengths at national level. According to the individual results from the participants in the five working groups: of the 34 progress indicators, 10 were rated as showing *considerable progress*, 18 were *well advanced but need more development*, 6 *need more development*, and 1 was rated as *still not showing progress*.

These results show that Nicaragua has made progress since its previous Mid-Term evaluation in August 2016. Furthermore, these results reaffirm the commitment of GRUN and other co-executing and collaborating bodies to decisively improve the country’s conditions for the future implementation of payment-by-results and the ENDE-REDD+ Programme (2018-2040).



The recommendations from PA9/PC22 members were addressed in a timely fashion and this document shows how all the recommendations were addressed, which is extensively discussed in Section II and summarised in Annex 1.

The process's progress has focused on holding an on-going sectorial dialogue on the subject of REDD+ through inter-institutional technical workshops, which have been created since 2015 and consolidated since mid-2016. These workshops are comprised of members from diverse agencies who are actively involved in debating ideas, approaches and decision-making.

It can be affirmed that there is a clear understanding of the scope and challenges of REDD+ in the indigenous territories, and among the authorities of the GTIs and the autonomous regions. During the REDD+ readiness process organisational and institutional structures have strengthened, both on the Caribbean Coast (i.e. GRACCN, GRACCS, GTIs, municipal governments) and in the Pacific Central and Northern Region (Indigenous Peoples, municipal governments), in order to address forest and climate change issues.

In conclusion, it is notable that ENDE-REDD+ presents a country vision up to 2040, and draws a roadmap for the implementation of effective actions throughout national territory to reach the defined goals and reduce the rate of deforestation by at least 50%. The proposal for strategic actions will be duly reviewed and consulted during 2017-2018 and the established decision-making platform will define measures which have social, environmental and economic feasibility, and those which seem to have the greatest positive impacts locally, regionally and nationally.

### ***Recommendations***

- Move forward with the inclusion of a gender approach in the ENDE-REDD+ strategy's design.
- Obtain greater participation, cohesion and effectiveness in communication and liaison between public and private agencies interested in supporting the design and implementation of ENDE-REDD+ in the territories.
- Keep ENDE-REDD+ social communication active both nationally and regionally.
- Strengthen inter-sectorial liaison with the ministries of agriculture, environment and energy; inter-sectorial liaison to holistically address the issue of deforestation and forest degradation; and multi-sectorial liaison, which, in spite of having political will approval at the highest level in the country, has represented more time for the communication processes and is acknowledged to be a complex structure for the REDD+ readiness process, which is why it is essential to fine-tune liaison for effective implementation.



## VIII. Annexes

### Annex 1. Mid-Term Recommendations in PC2294

PC22 Recommendations	How the comments dealt with key elements
Continue promoting and strengthening the current approach for the participation and commitment of stakeholders in the design of the REDD+ National Strategy (ENDE-REDD+), including the production and distribution of relevant communication material	Participation of IP leaders was ensured in all consultation and decision-making events, for example, the MGAS consultation and self-evaluation. Diverse informative materials were produced in native languages. See section 1b. There is a description in Annex 2 of the production of material for communicating key issues for ENDE-REDD+.
Continue supporting the full and effective participation of indigenous peoples and local communities in the design of ENDE-REDD+, taking into account the pertinent aspects of the current legal framework as respects REDD+.	Analysis of the legal and land tenure framework was completed and information increased on how the IP in Nicaragua have a legal framework that supports them.  The participation of IP in ENDE-REDD+ events was promoted (Annex 21), and it was possible to have contact and dialogue with the 22 IPs existing in the country. See Section 1b, Annexes 9 and 10.
Recognize Nicaragua's efforts to demarcate and adjudicate land titles on indigenous lands, continue the initiatives aimed at evaluating the agricultural frontier's advance onto indigenous lands and manage the risks associated with land tenure, as necessary.	Information was enlarged upon about how IP in Nicaragua have a legal framework that supports them, and the situation of natural resources use in indigenous communities and the dynamic of the agricultural frontier's advance was analysed. Two national studies were completed addressing these issues: Legal Framework and Tenure Study See Section 2a, indicator 15.
Accelerate efforts to define and then address forest degradation.	The preliminary RLFE includes a degradation estimate and shows how this activity does not represent more than 10% of total emissions. Furthermore, progress is being proposed on how to improve degradation studies in 2017-2018.

<sup>94</sup> Nicaragua's Mid-Term Report on its progress in REDD+ readiness was presented during the Participants Assembly (PA9) and the Participants Committee (PC22) in Accra, Ghana.



## Annex 2. Main studies and outputs developed during the country readiness process

Type of Product	Name	Current status
	Update on Nicaragua's emission factors	Advanced
	Study of the causes of deforestation and forest degradation	<a href="http://enderedd.sinia.net.ni/Docs/DocENDE/2.%20Estudio%20Causas%20Desforestacion%20y%20Degradacion%20Forestal%20(English).pdf">http://enderedd.sinia.net.ni/Docs/DocENDE/2.%20Estudio%20Causas%20Desforestacion%20y%20Degradacion%20Forestal%20(English).pdf</a>
Information material (printed)	Pamphlet ENDE-REDD+	Completed in its first version. Working on another edition
	Brochure on the ENDE-REDD+ programme	Completed in its first edition. Working on another edition.
	ENDE-REDD+ booklet, in a popular version	Consultation and validation process in the territories for later reproduction and translation.
	Flyer on the Strategy to reduce emissions from deforestation and forest degradation in Nicaragua (ENDE-REDD+)	Completed
	RLFE pamphlet	Completed
	SNMRV pamphlet	Completed
	Self-Evaluation Forms (34 indicators)	Completed
	ESSE Computer Graphics	Underway
	ENDE-REDD+ Strategic Programme 2018-2047 Computer Graphics	Underway
	RLFE for ENDE-REDD+ Computer Graphics	Underway
	MRV for ENDE-REDD+ Computer Graphics	Underway
	PRECABOIM (ERPD) Computer Graphics	Underway
MGAS for ENDE-REDD+ Computer Graphics	Underway	
Press releases published (print and digital media)	Press Release No.1. Working for our Mother Earth	<a href="http://enderedd.sinia.net.ni/index.php/15-noticias/3-trabajando-por-nuestra-madre-tierra">http://enderedd.sinia.net.ni/index.php/15-noticias/3-trabajando-por-nuestra-madre-tierra</a>
	Press release No.2. Working for our forests	<a href="http://enderedd.sinia.net.ni/index.php/15-noticias/45-trabajando-nuestros-bosques">http://enderedd.sinia.net.ni/index.php/15-noticias/45-trabajando-nuestros-bosques</a>
	Press release No.3. working to reduce forest deforestation	<a href="http://enderedd.sinia.net.ni/index.php/15-noticias/18-seguimos-trabajando">http://enderedd.sinia.net.ni/index.php/15-noticias/18-seguimos-trabajando</a>
	Press release No.4. For love of Nicaragua we work on a programme to reduce greenhouse gas emissions	<a href="http://enderedd.sinia.net.ni/index.php/15-noticias/17-en-amor-a-nicaragua">http://enderedd.sinia.net.ni/index.php/15-noticias/17-en-amor-a-nicaragua</a>



	Press release No.5. In Alliance for prosperity we work to conserve our forests	<a href="http://enderedd.sinia.net.ni/index.php/15-noticias/15-alianzas-conservar-nuestros-bosques">http://enderedd.sinia.net.ni/index.php/15-noticias/15-alianzas-conservar-nuestros-bosques</a>
Package R components	ESSE report	Improved version <a href="http://enderedd.sinia.net.ni/Docs/DocENDE/14.%20Reporte%20%20EESA.pdf">http://enderedd.sinia.net.ni/Docs/DocENDE/14.%20Reporte%20%20EESA.pdf</a>
	MGAS report	Improved and consulted version (27.02.2017) <a href="http://enderedd.sinia.net.ni/Docs/DocENDE/7.%20Marco%20de%20Gesti%c3%b3n%20Ambiental%20y%20Social%20(English).pdf">http://enderedd.sinia.net.ni/Docs/DocENDE/7.%20Marco%20de%20Gesti%c3%b3n%20Ambiental%20y%20Social%20(English).pdf</a>
	ENDE-REDD+ strategy	Initial version consulted (02.05.17) and improved 14 <sup>th</sup> July 2017 <a href="http://enderedd.sinia.net.ni/Docs/DocENDE/13.%20Estrategia%20Nacional%20ENDE%20(English).pdf">http://enderedd.sinia.net.ni/Docs/DocENDE/13.%20Estrategia%20Nacional%20ENDE%20(English).pdf</a>
	Reference scenario	Improved version 14 <sup>th</sup> July 2017 <a href="http://enderedd.sinia.net.ni/Docs/DocENDE/6.%20Doc.%20Niveles%20de%20Referencia.pdf">http://enderedd.sinia.net.ni/Docs/DocENDE/6.%20Doc.%20Niveles%20de%20Referencia.pdf</a>
	National Monitoring Reporting and Verification System	Improved version 14 <sup>th</sup> July 2017
Outreach material produced (digital)	Video No.1: Chinandega promotes good environmental practices	MARENA Nicaragua: Published 14 <sup>th</sup> June 2017 <a href="https://www.youtube.com/watch?v=bxBU29EmRAY">https://www.youtube.com/watch?v=bxBU29EmRAY</a>
	Video No.2: Musawas Communities in formation of values workshops	MARENA Nicaragua: Published 1 <sup>st</sup> March 2017 <a href="https://www.youtube.com/watch?v=Fo1wC6JpRY">https://www.youtube.com/watch?v=Fo1wC6JpRY</a>
	Video No.3: They continue working for a programme to reduce greenhouse gas emissions	MARENA Nicaragua: Published 6 <sup>th</sup> February 2017 <a href="https://www.youtube.com/watch?v=b85mo5sO0os">https://www.youtube.com/watch?v=b85mo5sO0os</a>
	Video No. 4: Nicaragua ENDE REDD+	MARENA Nicaragua: Published 26 <sup>th</sup> September 2016 <a href="https://www.youtube.com/watch?v=oCa87JyxCf4&amp;index=10&amp;list=PLBUdNVLiLczlQOhXO8HnqhOOZD2ZakG6d">https://www.youtube.com/watch?v=oCa87JyxCf4&amp;index=10&amp;list=PLBUdNVLiLczlQOhXO8HnqhOOZD2ZakG6d</a>



	<p>Video No.5: Public servants exchange experiences about caring for our forests</p>	<p>MARENA Nicaragua: Published 9<sup>th</sup> September 2016 <a href="https://www.youtube.com/watch?v=q6HMCT0FPTg&amp;index=21&amp;list=PLBUdNVLiLczIQOhXO8HnqhOOZD2ZaKG6d">https://www.youtube.com/watch?v=q6HMCT0FPTg&amp;index=21&amp;list=PLBUdNVLiLczIQOhXO8HnqhOOZD2ZaKG6d</a></p>
	<p>Video No. 6: Women leaders from the Pacific and Caribbean exchange experiences in the care of Mother Earth.</p>	<p>MARENA Nicaragua: Published 27<sup>th</sup> June 2016 <a href="https://www.youtube.com/watch?v=m56hrHIO_mM">https://www.youtube.com/watch?v=m56hrHIO_mM</a></p>
	<p>Video No. 7: Public servants are trained in Geographic Information Systems</p>	<p>MARENA Nicaragua: Published 27<sup>th</sup> June 2016 <a href="https://www.youtube.com/watch?v=f_dLQ5ysfPc&amp;index=97&amp;list=PLBUdNVLiLczIQOhXO8HnqhOOZD2ZaKG6d">https://www.youtube.com/watch?v=f_dLQ5ysfPc&amp;index=97&amp;list=PLBUdNVLiLczIQOhXO8HnqhOOZD2ZaKG6d</a></p>

**Annex 3. Status of progress indicators established at the outset of the country readiness process**

Indicator	Expected Results	Baseline (2013)	Measurement Dates	Status in July 2017 (where to find evidence of current progress)
<b>The organisational and consultation frameworks for the national governance process established.</b>	i) Production of a handbook documenting the operations and functioning of ENDE-REDD+ three levels of dialogue and consultation	There is no handbook of the operations and functioning of the ENDE levels.	R-PP: June 2012 MDD: April 2013. REDD+ readiness process: 2017	There are operational guidelines for the three working groups. MTR: August 2016 <a href="http://enderedd.sinia.net.ni/Docs/DocENDE/17.%20Manual%20de%20Funcionamiento%20de%20los%20Grupos%20de%20Trabajo.pdf">http://enderedd.sinia.net.ni/Docs/DocENDE/17.%20Manual%20de%20Funcionamiento%20de%20los%20Grupos%20de%20Trabajo.pdf</a>
	ii) A liaison unit for the ENDE-REDD+ project established and functioning.	There is no ENDE liaison unit.	R-PP: June 2012 MDD: April 2013 REDD+ readiness process: 2017	There is an ENDE liaison office with 23 specialists. ER-PIN: 2015 MTR: August 2016
	iv) A defined and functioning mechanism for the exchange of information and initial dialogue with key groups of those actively involved in ENDE-REDD+.	Mechanisms for information exchange not defined.	R-PP: June 2012 MDD: April 2013 REDD+ readiness process: 2017	There is an information exchange mechanism with the actively involved stakeholders. MTR: August 2016 <a href="http://enderedd.sinia.net.ni/Docs/DocENDE/9.%20Mecanismo%20Fortalecimiento%20de%20la%20Comunicacion%20de%20la%20Comunicacion.pdf">http://enderedd.sinia.net.ni/Docs/DocENDE/9.%20Mecanismo%20Fortalecimiento%20de%20la%20Comunicacion%20de%20la%20Comunicacion.pdf</a>
	v) Conditions created for the ENDE-REDD+ strategy consultation and participation process with indigenous	There is no consultation with Caribbean Coast indigenous communities	R-PP: June 2012 MDD: April 2013 REDD+ readiness process: 2017	There are conditions to foster appropriate participation of the indigenous communities (each GTI has a representative who participates in ENDE-REDD+ events). RPIN: 2015 MTR: August 2016 Report of events LINK



	peoples of the Caribbean Coast			<a href="http://enderedd.sinia.net.ni/Docs/D ocENDE/16.%20Estrategia%20de%20 la%20Comunicaci%c3%b3n.pdf">http://enderedd.sinia.net.ni/Docs/D ocENDE/16.%20Estrategia%20de%20 la%20Comunicaci%c3%b3n.pdf</a>
	vi) A mechanism designed for complaints and conflict resolution and ENDE-REDD+ communication strategy.	No mechanism for complaints and conflict resolution.	R-PP: June 2012 MDD: April 2013 REDD+ readiness process: 2017	Mechanism has been designed and consulted. <a href="http://enderedd.sinia.net.ni/Docs/D ocENDE/9.%20Mecanismo%20Fortal ecimiento%20de%20la%20Comunica ci%c3%b3n.pdf">http://enderedd.sinia.net.ni/Docs/D ocENDE/9.%20Mecanismo%20Fortal ecimiento%20de%20la%20Comunica ci%c3%b3n.pdf</a>  MTR: August 2016
The ENDE-REDD+ national strategy developed.	i) An advanced draft document developed on the ENDE-REDD+ strategy based on consultations carried out.	There is no draft document on the ENDE strategy	R-PP: June 2012 MDD: April 2013 REDD+ readiness process: 2017	ENDE-REDD+ document and initial version was consulted at a national workshop in May 2017 <a href="http://enderedd.sinia.net.ni/Docs/D ocENDE/13.%20Estrategia%20Nacio nal%20ENDE%20(English).pdf">http://enderedd.sinia.net.ni/Docs/D ocENDE/13.%20Estrategia%20Nacio nal%20ENDE%20(English).pdf</a>
	ii) A document developed for the analysis of the direct and indirect causes of deforestation and forest degradation and identifying current land use, forestry laws, policies and governance	There is a preliminary analysis of the direct and indirect causes of deforestation	R-PP: June 2012 MDD: April 2013 REDD+ readiness process: 2017	The Causes of D&D document completed. There is a detailed analysis of the causes according to: region and ecological zone. The causes have been spatialised nationally and regionally. Laws that affect changes in land use have been documented. <a href="http://enderedd.sinia.net.ni/Docs/D ocENDE/2.%20Estudio%20Causas%20Desforestaci%c3%b3n%20y%20Deg radaci%c3%b3n%20Forestal%20(Engl ish).pdf">http://enderedd.sinia.net.ni/Docs/D ocENDE/2.%20Estudio%20Causas%20 Desforestaci%c3%b3n%20y%20Deg radaci%c3%b3n%20Forestal%20(Engl ish).pdf</a>
	iii) Definition of ENDE-REDD+ strategic guidelines and implementation framework to	There are preliminary strategic guidelines.	MTR: August 2016 REDD+ readiness	Relationship of the links between the causes of D&D and the strategic guidelines were defined in both the document on causes and the initial version of the strategy.





	address the causes of deforestation and forest degradation	There is no implementation framework.	process 2017	<a href="http://enderedd.sinia.net.ni/Docs/DocENDE/13.%20Estrategia%20Nacional%20ENDE%20(English).pdf">http://enderedd.sinia.net.ni/Docs/DocENDE/13.%20Estrategia%20Nacional%20ENDE%20(English).pdf</a>
	iv) Initiation of the Environmental and Social Strategy Evaluation process (ESSE) and the development of a draft Environmental and Social Management Framework (MGAS).	There is a draft of the ESSE work plan.	R-PP: June 2012 MDD: April 2013 REDD+ readiness process: 2017	There are advanced ESSE and MGAS documents. MGAS was consulted 27.02.2017  MTR: August 2016 <a href="http://enderedd.sinia.net.ni/Docs/DocENDE/7.%20Marco%20de%20Gesti%3%b3n%20Ambiental%20y%20Social%20(English).pdf">http://enderedd.sinia.net.ni/Docs/DocENDE/7.%20Marco%20de%20Gesti%3%b3n%20Ambiental%20y%20Social%20(English).pdf</a>
The process of developing reference scenarios implemented.	i) A document developed for the evaluation of information and current institutional capacity for estimating deforestation and carbon emissions rates, among other co-benefits.	There is no capacity evaluation document for estimating deforestation rates.	R-PP: June 2012 MDD: April 2013 REDD+ readiness process: 2017	There is a document for evaluating capacities and for institutional technological strengthening. MTR: August 2016  <a href="http://enderedd.sinia.net.ni/Docs/Doc PaqueteR/18.%20Diagnostico de Necesidades de Capacitacion.pdf">http://enderedd.sinia.net.ni/Docs/Doc PaqueteR/18.%20Diagnostico de Necesidades de Capacitacion.pdf</a>
	ii) A document developed for institutional capacity building so as to develop deforestation and carbon emission	There is no document for capacity building in reference scenarios.	R-PP: June 2012 MDD: April 2013 REDD+ readiness process: 2017	There is a document for assessing capacities and for institutional technological strengthening. MTR: August 2016 <a href="http://enderedd.sinia.net.ni/Docs/DocENDE/6.%20Doc.%20Niveles%20de%20Referencia.pdf">http://enderedd.sinia.net.ni/Docs/DocENDE/6.%20Doc.%20Niveles%20de%20Referencia.pdf</a>



	reference scenarios.			
	iii) A methodology and protocol developed for reference scenarios and a baseline of deforestation and carbon emissions.	There is no methodology for calculating reference scenarios (RLFE)	R-PP: June 2012 MDD: April 2013 REDD+ readiness process 2017	There is a methodology for calculating reference scenarios. MTR: August 2016 Document RLFE: <a href="http://enderedd.sinia.net.ni/Docs/DocENDE/6.%20Doc.%20Niveles%20de%20Referencia.pdf">http://enderedd.sinia.net.ni/Docs/DocENDE/6.%20Doc.%20Niveles%20de%20Referencia.pdf</a>
The design of the national forest monitoring system developed.	i) A multi-purpose national forest monitoring system designed.	There is a partial system for monitoring forests.	R-PP: June 2012 MDD: April 2013 REDD+ readiness process 2017	There is an advanced forest monitoring system. <a href="http://enderedd.sinia.net.ni/Docs/DocENDE/5.%20Doc.%20Dise%c3%b1o%20del%20SNMRV.pdf">http://enderedd.sinia.net.ni/Docs/DocENDE/5.%20Doc.%20Dise%c3%b1o%20del%20SNMRV.pdf</a>
	ii) Strengthened capacity for monitoring in the institutions linked to ENDE-REDD+	Weak institutional capacity for monitoring.	REDD+ readiness process: 2017	Training needs were identified and capacity building events held in monitoring. A diploma course and specific training for the implementing agencies are expected to take place.
A monitoring framework designed for the evaluating the project.	i) Implementation of a supervision and control framework for the Nicaragua R-PP work programme (plan M+E).	There is no supervision and control framework for the R-PP work programme.	R-PP: June 2012 MDD: April 2013  REDD+ readiness process: 2017	There is a plan to monitor activities.  MTR: August 2016

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## Annex 5. Initiatives financed with other development partners

### Liaison with activities funded by other partners for development

- Nicaragua promotes the Christian, socialist and solidary model that prioritises joint actions and partnerships between ministries, institutions, private initiatives, unions and associations, and consequently has a system for coordinated work between the forestry sector, the agricultural sector and the fight against climate and environment change.
- In this context, within the ENDE-REDD+ readiness phase, the programme has coordinated actions and strengthened the design of various initiatives implemented by public and private entities at national level. The following matrix shows the initiatives promoted in the agricultural frontier area.
- Furthermore, other institutions also have strategies or action plans aimed at helping achieve PNDH's guideline 12. For example, the National Reforestation Crusade, promoted by INAFOR, has recovered 1,236,878.24 hectares of forests from 2007 to 2015; 87,722,654 diverse forest species of flora have been planted in an area of 161,177.95 hectares, which is 40% of the plantations carried out by private companies and small producers.<sup>95</sup>
- The National Livestock Commission (CONAGAN) is promoting the Programme of Competitive Reconversion of Cattle Breeding (PRCGB) which promotes the sustainable management of agricultural and livestock farms through conserving at least 20% of the forests on the farms, adopting improved soil management practices. ENDE-REDD+ also strengthens Law 765 for the promotion of agro-ecological and organic production. This law promotes the implementation of policies and projects fostering agro-ecological and organic production, which ensures the restoration of forests, soil regeneration, water reservoirs and the conservation of biodiversity.
- In the Caribbean Coast region, where the advance of the agricultural frontier is taking place, MEFCCA has been promoting programmes since 2016 that potentially help the ENDE-REDD+ design, including:
- The Programme in Support of Adaptation to Climate Change in Coffee and Cocoa Production by Small Farmers Suitable Agro-Climates (NICADAPTA) which is aimed at sustainably improving the living conditions of rural families that produce coffee and

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<sup>95</sup> INAFOR, Plan for the National Reforestation Crusade 2016, "For Love of Nicaragua, Love of Mother Earth, Let's Go Forward, Planting Trees for Life"



cocoa in four geographic zones, incorporating them into markets and reducing their vulnerability to Climate Change<sup>96</sup>.

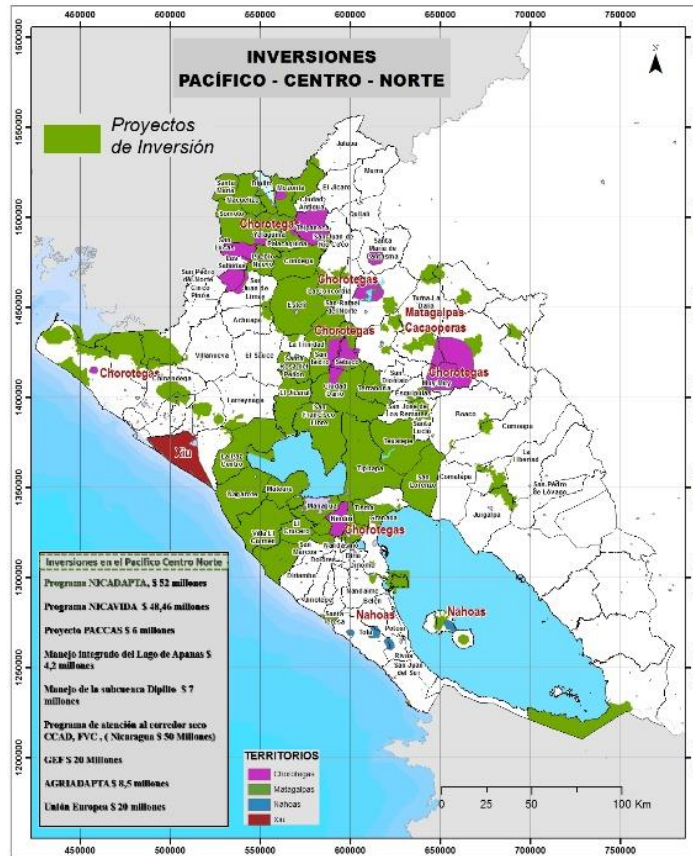
- The Programme to Develop Productive, Agricultural, Fishery and Forestry Systems in the Indigenous Territories in the RACCN and RACCS (NICARIBE) aims to improve the income levels of about 10,000 Indigenous and Afro-descendent families through increasing production and the sustainable management and use of natural resources and by strengthening their organisations.
- The Programme to Improve Organisational and Productive Capacity among Cocoa Producers in the Mining Triangle (PROCACAO) is focused on improving the families' income and job creation through the production of cocoa, the creation of conditions to facilitate the adoption of sustainable agro-forestry systems and the promotion of gender equity.
- Additionally, the SPPN has undertaken the task of promoting the search for national and international financial resources, within the framework of the 20x20 initiative, to finance the restoration and reforestation of 2.8M ha, as well as improving productivity in degraded agricultural lands. As a result, there are two government agencies addressing the issue of promoting investments: PRONICARAGUA and PRONICARIBE.
- In 2016, during a meeting of governments, investors and the Investment Bank in Costa Rica, Nicaragua presented reforestation projects to international forestry investors within the framework of the 20x20 initiative and several companies expressed an interest in investing in Nicaragua.
- In 2017, Nicaragua also participated in the annual meeting of the 20x20 initiative partners, where it presented its strategy for Management of Natural Forests and Restoration of Degraded Lands. In that meeting, Nicaragua showed that it has exceptional conditions for forestry production (agreements, availability of lands outside the reserves, labour and low costs, forestry incentives, an alliance between the unions and government, delimitation and land titling allowing for long-term lease agreements). It also stated its immediate intention to continue looking for more investment opportunities that are well suited to the idea of restoration.
- Investments in the PCN Region

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<sup>96</sup> MARENA 2016 Social and environmental analysis of the BOSAWAS biosphere reserve for the implementation of small food security and sovereignty initiatives Version is being revised.



Investment areas identified in the PCN Region.



List of Investment Initiatives that contribute to ENDE-REDD+ objectives

Initiative	Source of funding	Amount \$	Institutions involved
<b>Project for promoting improved efficiency in producing bamboo handicrafts in Nicaragua (BAMBU)</b>	China, TAIWAN	2,517,354.30	MEFCCA and INTA
Project strengthening women artisans from Tuno, in the Sakalwas communities, Sauni As Mayangna territory, North Caribbean Coast of Nicaragua (TUNO)	Spanish Cooperation Agency (AECID)	64,937.25	MEFCCA, INATEC, Ministry for Caribbean Coast Development
Programme in Support of Adaption to Climate Change in Coffee and Cocoa Production by Small Farmers in Suitable Agro-climates (NICADAPTA)	BCIE, FIDA (Loan and Donation)	37,051,532.00	MEFCCA, INTA, IPSA, MAG, MIFIC, INETER and Ministry for the Caribbean Coast.



Programme to Develop Productive, Agricultural, Fishery and Forestry Systems in the Indigenous Territories of the RACCN and RACCS (NICARIBE)	FIDA ends in September 2016 and BCIE in March 2018	12 million	MEFCCA, MAG, INTA, INAFOR, MARENA, INPESCA, Ministry for the Caribbean Coast, Regional Governments, CONADETI.
Programme to Improve Organisational and Productive Capacity among Cocoa Producers in the Mining Triangle (PROCACAO)	COSUDE	4.2 million	MEFCCA, INTA, MAG and SDCC.
Protection Project for the Mesoamerican Bio-Corridor, Conservation of Biodiversity and Local Development in the core area of the Bosawas Biosphere Reserve	GIZ-Germany	1 million Euros	MARENA
<b>Study on the business climate for forestry sector investments in Nicaragua</b>	IADB		

In the Pacific Central and Northern Region MARENA has been strengthening the ENDE-REDD+ readiness phase through the implementation of the following projects:

Initiative	Source of funding	Amount \$	Institutions involved
Environmental Management Programme for Disasters and Climate Change in the Lake Apanás and Río Viejo Basin	IADB-NDF-COSUDE	16 million	MARENA
Adaptation to Climate Change Project in the drinking water and sanitation sector	WB - Special Climate Change Fund	6 million	MARENA-ENACAL
Comprehensive Management Project for the Lake Apanás Basin	GEF-IADB	4.04 million	MARENA
Community Management Programme in the Río Dipilto Basin	COSUDE	6.7 million	MARENA
Windbreak Curtains Programme	GRUN		MARENA- INAFOR and local governments
<b>Sustainable Development Project for rural families in Nicaragua's dry corridor (NICAVIDA)</b>	FIDA, BCIE, GRUN, Stakeholders	42,978,000	MEFCCA, INETER, INTA, MAG and MINSA



## **Annex 6. Outline of the foundations on which the ENDE-REDD+ rests, the holistic approach to dealing with the causes of D&D and expected achievements**

The awareness, communication and information pillar—Strategic Guideline 1 (LE 1)—is cross-cutting and directed at enhancing public environmental education, the availability of natural resources information to the general public and all areas of government, and improving institutional communication capability.

The institutional pillar—Strategic Guideline 2 (LE 2)—is cross-cutting to the other three pillars and directed at incorporating sustainability criteria and integrating policies, programmes and projects; increasing institutional capacity in order to increase monitoring and control of land use, based on land-use vigilance systems enabling real-time monitoring and the development and implementation of response mechanisms; improving the application of land and natural resource management laws and instruments; and increasing indigenous institutionality in relation to the use of land and resources.

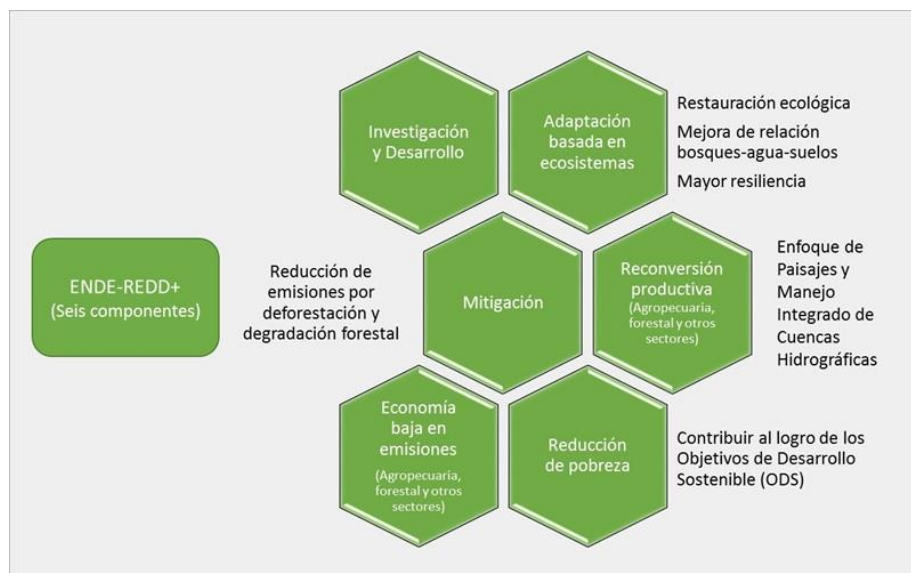
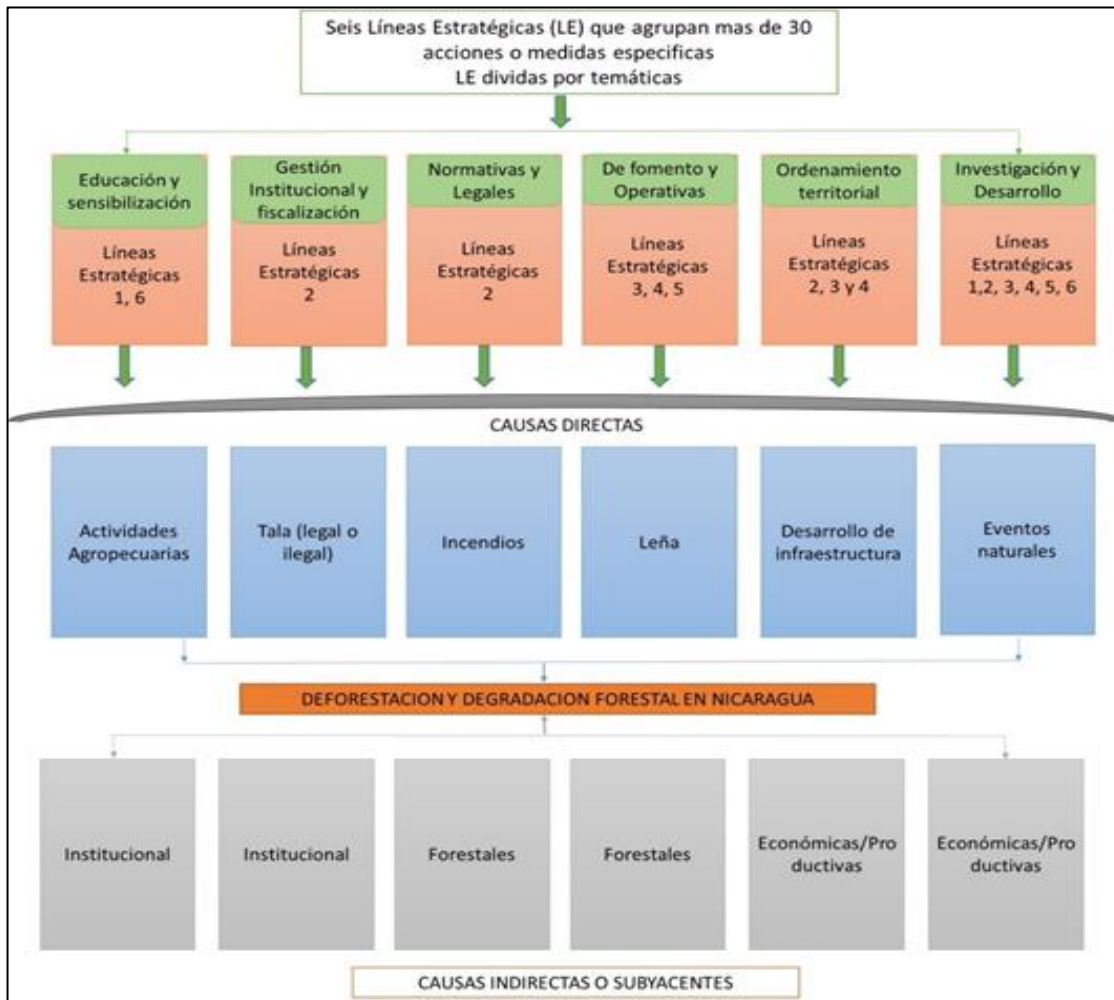
The conservation approach—Strategic Guideline 3 (LE 3)—will stimulate increased forest value by motivating activities based on sustainable forest use (e.g.: SFM, CFM, managing non-timber forest products), providing incentives for forestry conservation or recovery (e.g. natural regeneration), and the consolidation of PAs. The intensification of productive land use, resulting from the pillar on sustainable productive systems, will indirectly reduce pressure on the forests.

The pillar of low-emission sustainable production—Strategic Guideline 4 (LE 4)—and the strengthening of investments and value chains with a sustainable markets approach—Strategic Guideline 5 (LE 5)—are complementary. They are based on a) reducing differential costs between using natural capital (the forests) versus financial capital (credit and inputs) to discourage extensive use of forested lands, b) promoting investments in sustainable productive systems from the private sector or in partnership with the State and forest owners to foster productivity, employment and forest conservation through productive activities such as intensive livestock farming, silvopastoral agroforestry systems and forestry plantations, c) increasing product quality and access to differentiated markets based on quality, and d) promoting private sector participation in the regions by enhancing both political and socio-economic enabling conditions and improving productivity and competitiveness.

Finally, the pillar on climate change adaptation initiatives in the Indigenous and Afro-descendent peoples' territories—Strategic Guideline 6 (LE 6)—reflects the importance of forest dwellers for forest conservation and their vulnerability to climate change.



The pillars and components or areas of work of the ENDE-REDD+ strategy are shown diagrammatically in the following figures:



**Annex 7. Statistics on participants at ENDE-REDD+ events, by entity and origin**

Distribution in % of the ethnic groups participating in ENDE-REDD+ readiness						
<i>Mestizo</i>	<i>Miskitu</i>	<i>Mayangna</i>	<i>Afro-</i> <i>descendant</i>	<i>PI-PCN</i>	<i>Rama</i>	<i>Ulwa</i>
35	32	15.5	12	4	1	.5
Distribution in % of the origins of participants						
<i>Central</i> <i>Government</i>	<i>Regional</i> <i>Government</i>	<i>Indigenous</i> <i>Territorial</i> <i>Government</i>	<i>Municipal</i> <i>Government</i>	<i>Academia</i>	<i>Social</i> <i>Organisations</i>	
16	6	47	5	3	23	



**Annex 8. Main events held in the PCN, RACCN and RACCS regions that have contributed to the REDD+ readiness process**



Community meeting to strengthen dialogue and consensus about good practices for the ENDE-REDD+ management of forest resources programme with municipal governments and private companies from the departments of León and Chinandega in the Pacific Central and Northern Region of Nicaragua. June 2017.



Presentation of the ENDE-REDD+ Programme at the III Regional Livestock Farmers Congress held in Siuna, RACCN in 2016.



Annual Operational Plan 2015 consultation event with IP-PCN

## **Annex 9. Most important advances regarding social communication in the country readiness process**

The ENDE-REDD+ programme's ECS has proposed two objectives:

- 1) To communicate environmental messages about actions promoted by GRUN, about caring for and restoring Mother Earth, so that our people are informed and apply good environmental practices, particularly avoiding deforestation and forest degradation.
- 2) To strengthen and communicate values of love and care for Mother Earth, which will promote action to face environmental and climate change problems and the causes of deforestation and forest degradation.

### **Activities undertaken**

The ENDE REDD+ ECS has supported awareness and sensitization actions such as exchanges with journalists, forums, festivals, congresses, environmental meetings, ecological walks and environmental festivals using the partnerships and shared responsibilities model for the formation of values of love, care and protection for our natural resources. In Annex 10 details are given about the main advances in social communication in the REDD+ readiness process.

### **Development of 2 radio campaigns:**

- **National Level:** The programme '*People in Ambience*' was produced to form values by addressing different environmental issues such as caring for our forests, the National Reforestation Crusade and love for our natural riches so as to avoid deforestation and forest degradation.

#### **The media broadcasting the radio programme:**

- Radio La Primerísima (91.7 FM): Scheduled on Tuesdays from 8:00 to 8:30am.
- Radio La Corporación (97.1 FM and 540 AM): Scheduled on Wednesdays from 11:00 to 11:30 am.

- **Regional Level:**

**South Caribbean Coast Autonomous Region (RACCS):** Radio programmes were developed and produced in Spanish, Creolee and Miskitu, which are scheduled on 3 regional radio stations. Similarly, these radio spots publicized activities and actions carried out as part of the ENDE-REDD+ framework. The media broadcasting them:

- Radio Única (105.5 FM): Monday to Sunday scheduled from 6:00 am to 6:00 pm



- Radio Bluefields Stereo (96.5 FM). Monday to Sunday scheduled from 4:00 am to 8:00 pm
- Radio Kurinwas. Monday to Sunday scheduled from 4:00 am to 9:00 pm

**North Caribbean Coast Autonomous Region (RACCN):** Scripts for radio programmes were developed with RACCN communicators. These have now been approved and are being recorded. Scheduling began in June 2017 on 4 radio stations:

- Radio Bilwi stereo: 102. 1 FM (municipality of Puerto Cabezas).
- Radio Saslaya: 98.5 FM (municipality of Siuna).
- Radio Wanki stereo: 98.5 FM (municipality of Waspam, Rio Coco).
- Radio Rosita: 94.5 FM (municipality of Rosita).

**12 information videos have been developed on the following topics:**

1. Good environmental practices of caring for and protecting the forests in indigenous territories, interviews with community members from the Mayangna indigenous territories, coordinators of Indigenous Territorial Groups, as well as authorities from the municipal governments and universities (ER-PIN process).
2. Mid-term evaluation on ENDE REDD+ progress with interviews with the main stakeholders in Waspam and Bluefields.
3. Exchange of experiences on good environmental practices and forest resources with Caribbean Coast women stakeholders in the community of Bartola, Río San Juan.
4. Exchange of experiences on good environmental practices and forest resources with Caribbean Coast women stakeholders in the Chacocente Wildlife Refuge.
5. Presentation of the ENDE-REDD+ Programme to the MARENA delegates.
6. Visit from the World Bank mission as part of Emissions Reduction Programme.
7. Strengthening of the partnership, dialogue and consensus model with the livestock productive sector and good governance through the ENDE-REDD+ Programme.
8. Progress on different components of the ENDE- REDD+ Programme.
9. Presentation of the ENDE-REDD+ Programme at country level.  
<https://www.youtube.com/watch?v=oCa87JyxCf4&index=10&list=PLBUdNVLiLczlQOhXO8HnqhOOZD2ZaKG6d>
10. Public servants exchange experiences on care of our forests



<https://www.youtube.com/watch?v=q6HMCT0FPTg&index=21&list=PLBUdNVLiLczIQOhXO8HnqhOOZD2ZaKG6d>

11. Women leaders from the Pacific and the Caribbean exchange experiences on care of Mother Earth

[https://www.youtube.com/watch?v=m56hrHIO\\_mM&list=PLBUdNVLiLczIQOhXO8HnqhOOZD2ZaKG6d&index=59](https://www.youtube.com/watch?v=m56hrHIO_mM&list=PLBUdNVLiLczIQOhXO8HnqhOOZD2ZaKG6d&index=59)

12. Public servants train in Geographic Information Systems

[https://www.youtube.com/watch?v=f\\_dLQ5ysfPc&index=97&list=PLBUdNVLiLczIQOhXO8HnqhOOZD2ZaKG6d](https://www.youtube.com/watch?v=f_dLQ5ysfPc&index=97&list=PLBUdNVLiLczIQOhXO8HnqhOOZD2ZaKG6d)

### Regional Television Campaign

- **South Caribbean Coast Autonomous Region:** Two television programmes on good environmental practices have been contracted which are being made as TV spots.
  - Creolee News Programme; local Channel 5
  - El Meridiano Programme; local Channel 5

It should be noted that there were difficulties in producing the videos, which is why the Communication Office is providing support and improving the production and edition of the television spots, which are scheduled for May.

- **North Caribbean Coast Autonomous Region:** Scripts were developed for television spots with RACCN communicators and scheduling is expected on Channel 25 - Siuna Visión.

The ENDE Communication Strategy has used different materials to communicate environmental messages, strengthening the Caribbean Coast Autonomous Regions' communication by distributing materials such as: diaries, leaflets, transfer stickers, T shirts, pencils, etc.

Work included:

- Supporting an ESSE work session in the South Caribbean Coast Autonomous Region by taking photographs and directing the agenda.
- Liaising with RACCS and RACCN communicators and the ENDE-REDD+ technical team to work on a proposed popular version of a booklet on ENDE-REDD+. This material was used for the regional consultation on ENDE-REDD+ in Wawashang.
- Journalistic coverage as part of the World Bank's technical mission in consultations on the Environmental and Social Management Framework, the ESSE Report and the National Self-Evaluation Workshop. Information notes were produced and there was an image gallery.



- Ensuring the design and reproduction of communication materials for consultation workshops, such as 1,000 notebooks, 500 pencils, 1,000 folders and 2 banners.
- Ensuring the national Self-Evaluation Workshop had a graphic memorial record, with an information note:  
<http://enderedd.sinia.net.ni/index.php/15-noticias/15-alianzas-conservar-nuestros-bosques>
- Developed and reproduced 500 pamphlets on the components of the ENDE-REDD+ Programme, which was translated into Miskitu and Mayangna and given to the National Evaluation Workshop participants.
- Field trips have been undertaken to video ENDE-REDD+ progress and to make television spots on the formation of values of love and care for our Mother Earth.
- Information notes have been developed, and constantly updated, for the link on MARENA's webpage: [www.enderedd.sinia.net.ni](http://www.enderedd.sinia.net.ni)
  - <http://enderedd.sinia.net.ni/index.php/15-noticias/15-alianzas-conservar-nuestros-bosques>
  - <http://enderedd.sinia.net.ni/index.php/15-noticias/17-en-amor-a-nicaragua>
  - <http://enderedd.sinia.net.ni/index.php/15-noticias/14-en-rutas-de-prosperidad>
  - <http://enderedd.sinia.net.ni/index.php/15-noticias/18-seguimos-trabajando>
- Promoting values, such as caring for Mother Earth, through media coverage of activities, which have been published on MARENA and YouTube webpages.





## Annex 10. Barriers identified regarding implementation of ENDE-REDD+

Basic causes	Direct causes	Indirect causes	Guidelines	Barriers
<ul style="list-style-type: none"> <li>Poverty</li> <li>Construction of infrastructure</li> <li>Favourable conditions of markets for agricultural products</li> <li>Demographic expansion</li> <li>Migration</li> </ul>	Extensive livestock farming	<ul style="list-style-type: none"> <li>Limited institutional environmental vision.</li> <li>Environment is not considered a priority in the national budget.</li> <li>Deficiency in the implementation of policies and laws that effectively regulate and order this activity.</li> <li>Limited institutional budget to meet the basic needs of local offices.</li> <li>Limited institutional capacity to control the informal market nationally.</li> </ul>	L1 L2	<ul style="list-style-type: none"> <li>Limited resources for developing educational campaigns and to increase institutional presence</li> </ul>
	Agriculture: subsistence agriculture as an historical and less current cause, and extensive commercial agriculture as a more current cause  Environmental emergencies: pests and diseases, and hurricanes *Illegal logging *Unsustainable legal logging  *Consumption of firewood and charcoal (commercial and subsistence)  *Forest fires  *Pests and diseases  * Hurricanes	<ul style="list-style-type: none"> <li>Defective procedures with many gaps inducing personal interpretations.</li> <li>Local inability to respond to the problem.</li> <li>Little institutional presence in remote rural areas.</li> <li>Limited communication of laws, regulations, and legal procedures in communities away from urban centres.</li> </ul>	L1 L2 L6	<ul style="list-style-type: none"> <li>Absence of social audit mechanisms</li> <li>Little respect for regulations and laws</li> <li>Lack of knowledge about the regulations</li> </ul>
	Extensive livestock farming  Agriculture: subsistence agriculture as an	Limited access to credit <ul style="list-style-type: none"> <li>Promotion policies for agricultural activities are not linked to environmental protection</li> <li>No available economic resources earmarked for services from the ecosystems.</li> <li>Financial institutions more interested in their operations' profitability than socioeconomic development.</li> <li>Financing for agricultural and livestock activities increasing forest degradation without environmental protection.</li> </ul>	L1 L3 L4 L5 L6	<ul style="list-style-type: none"> <li>Limited vision on forest value. When productive projects are designed, forest projects are not developed</li> <li>State programmes that finance agricultural expansion</li> <li>Farmers substitute forests for inputs due to a lack of capital, knowledge, and the low value of forests.</li> </ul>
<ul style="list-style-type: none"> <li>Poverty</li> <li>Construction of infrastructure</li> </ul>	Extensive livestock farming  Agriculture: subsistence agriculture as an	Limited access to credit <ul style="list-style-type: none"> <li>Promotion policies for agricultural activities are not linked to environmental protection</li> <li>No available economic resources earmarked for services from the ecosystems.</li> <li>Financial institutions more interested in their operations' profitability than socioeconomic development.</li> <li>Financing for agricultural and livestock activities increasing forest degradation without environmental protection.</li> </ul>	L1 L3 L4 L5 L6	<ul style="list-style-type: none"> <li>Limited vision on forest value. When productive projects are designed, forest projects are not developed</li> <li>State programmes that finance agricultural expansion</li> <li>Farmers substitute forests for inputs due to a lack of capital, knowledge, and the low value of forests.</li> </ul>



<ul style="list-style-type: none"> <li>• Favourable conditions of markets for agricultural products</li> <li>• Demographic expansion</li> <li>• Migration.</li> </ul>	<p>historical and less current cause, and extensive commercial agriculture as a more current cause</p> <p>Environmental emergencies: pests and diseases, and hurricanes</p> <p>*Illegal logging</p> <p>*Unsustainable legal logging</p> <p>*Consumption of firewood and charcoal (commercial and subsistence)</p> <p>*Forest fires</p> <p>*Pests and diseases</p> <p>* Hurricanes</p>	<ul style="list-style-type: none"> <li>• Marketing of products in the hands of large landowners.</li> </ul>		
		<p>Limited knowledge and technological ability. Local and international markets undemanding in terms of quality and production methods</p> <ul style="list-style-type: none"> <li>• Underdeveloped, unprofitable and anti-environmental technological handling of production.</li> <li>• Commercial framework monopolized, focused on commercializing roundwood or only to a first level of processing.</li> <li>• Economic interest in hardwood trees.</li> <li>• Lack of capacity for creating new business alternatives.</li> <li>• Weak local capacity to develop diverse, viable, economic alternatives with forest products.</li> <li>• Difficulty in accessing markets for agricultural products.</li> <li>• Inadequate access roads.</li> </ul>	L1 L3 L4 L5 L6	<ul style="list-style-type: none"> <li>• Undemanding women's organisations that fail to include their needs and rights in the designs of programmes</li> <li>• Limited internet access and poor technical skills.</li> <li>• Little knowledge about livestock management.</li> <li>• Ancestral practice of burning to prepare the soil</li> </ul>
		<p>Weak indigenous institutional structure.</p> <ul style="list-style-type: none"> <li>• Low level of schooling in the communities. Poor dissemination in indigenous languages</li> <li>• Little bargaining power of the titular tree owners.</li> <li>• Little support from the institutions authorized to protect indigenous territories.</li> <li>• Weak forest governance</li> <li>• Illegal traffic in communal lands</li> </ul>	L1 L2 L6	<ul style="list-style-type: none"> <li>• Lack of support from central authorities.</li> <li>• Outdated environmental regulations and territorial management plans</li> <li>• Need for territorial regulation</li> <li>• Advance of settlers</li> <li>• Link with the Regional Strategy for Landscape Restoration.</li> <li>• Leaders do not pass on knowledge</li> <li>• Weak monitoring of territory's land use</li> <li>• Weak social control over land management</li> </ul>



## Annex 11.1. Agenda of the self-evaluation workshop

### Agenda Day 1: 28<sup>th</sup> February, 2017

Timetable	Activity
8.30 – 9.00 am	Registration of participants
9.00 – 9.30 am	<ul style="list-style-type: none"> <li>• Prayer to the Almighty</li> <li>• National anthem</li> <li>• Welcoming remarks               <ul style="list-style-type: none"> <li>✓ MARENA</li> <li>✓ Regional Authorities</li> </ul> </li> <li>• Presentation of the day's agenda</li> </ul>
9.40 – 10.20 am	Presentation <ul style="list-style-type: none"> <li>• Historical and current status of the forests in Nicaragua</li> </ul>
10.20 – 10.40 am	Refreshment
10.40 – 10.50 am	Video <ul style="list-style-type: none"> <li>• ENDE-REDD+ Programme</li> </ul>
10.50 – 12.00 am	Presentation <ul style="list-style-type: none"> <li>• Phases of the country's readiness and the REDD+ readiness process in Nicaragua</li> <li>• Progress of the ENDE-REDD+ Programme</li> <li>• Questions and answers</li> </ul>
12.00 – 1.00 pm	Lunch
1.00 – 1.30 pm	Cultural presentation
1.30 – 2.00 pm	Presentation <ul style="list-style-type: none"> <li>• Self-evaluation methodology of the country's readiness process</li> </ul>
2.00 – 3.30 pm	<ul style="list-style-type: none"> <li>• Working in groups to develop self-evaluation of current ENDE-REDD+ progress (Progress indicators)</li> </ul>
3.30 – 4.20 pm	<ul style="list-style-type: none"> <li>• Plenary</li> </ul>
4.30 – 4.45 pm	Orientations for the second day's activities

### Agenda Day 2: 1<sup>st</sup> March, 2017

Timetable	Activity
8.30 – 9.00 am	Registration of participants
9.00 – 9.40 am	<ul style="list-style-type: none"> <li>• Prayer to the Almighty</li> <li>• Welcoming remarks               <ul style="list-style-type: none"> <li>• The day's agenda</li> <li>• Summary of previous day's activities</li> </ul> </li> </ul>
9.40 – 10.00 am	Presentation <ul style="list-style-type: none"> <li>• On-line or virtual self-evaluation (on-line access, methods and topics)</li> </ul>
10.00 – 10.30 am	Presentation <ul style="list-style-type: none"> <li>• The Pacific Central and Northern Region in the ENDE-REDD+ Programme</li> </ul>
10.30 – 10.40 am	Refreshment



Timetable	Activity
10.40 – 11.10 am	<ul style="list-style-type: none"> <li>Work guidelines for filling in SWOT matrixes, lessons learned and gaps in the ENDE-REDD+ Programme</li> </ul>
1.30 – 2.30 pm	Group work in five groups: <ol style="list-style-type: none"> <li>1) Unresolved and needed actions, lessons learned</li> <li>2) Strengths and weaknesses</li> <li>3) Opportunities and threats, lessons learned</li> </ol>
2.00 – 3.00 pm	Continuation of group work
3.00 – 4.00 pm	Plenary of work groups

## Annex 11.2. Agenda of the MGAS/ESSE consultation workshop

AGENDA National MGAS Workshop	
8:00-9:00	Registration of participants
8:30-9:30	Spiritual ceremony
	Welcome – presentations of participants
9:30 - 9:45	<i>Presentation of the day's programme and explanation of the methodology</i>
9:45 – 10:05	<i>Definition, ESSE Process, its dynamic and relationship with MGAS</i>
10:05 – 10:10	Organisation into working groups (1)
10:10–10:20	Simultaneous group sessions by subject: <ul style="list-style-type: none"> <li>- Information and dialogue with stakeholders</li> <li>- Analysis of safeguards and feedback mechanism</li> <li>- Analysis of legal framework for implementation</li> <li>- Reference levels and SNMB</li> </ul>
10:20 - 10:40	Groups change to the next subject
10:40 – 11:00	Groups change to the next subject
11:00 -- 11:20	Groups change to the next subject
11:20 – 11:40	Presentations by the group secretaries and interchange with participants
11:40 – 12:00	Facilitator closes with conclusions and agreements.
12:00 – 1:00	<b>Lunch</b>
2:00 - 2:30	<i>Presentation- Introduction to MGAS</i> <i>Exposition: Link between strategic guidelines and the causes of forest D&amp;D</i>
2:30 – 2:45	Simultaneous groups sessions by subject: <ul style="list-style-type: none"> <li>- Social and environmental risks. Guidelines 1,2,3</li> <li>- Social and environmental risks. Guidelines 4,5,6</li> <li>- Indigenous peoples and Afro-descendants framework</li> <li>- Safeguards Information System</li> </ul>
2:45 – 3:00	Groups change to the next subject table
3:00 – 3:15	Groups change to the next subject table
3:15 – 4:00	Groups change to the next subject table
4:00 – 4:15	The group secretaries' presentations and interchange with participants
4:15 – 4:30	Facilitator closes with conclusions and agreements Signing the consultation results
4:30 – 4:50	Evaluation of the workshop

## Annex 11.3. Agenda of the National Consultation on the ENDE-REDD+ strategy

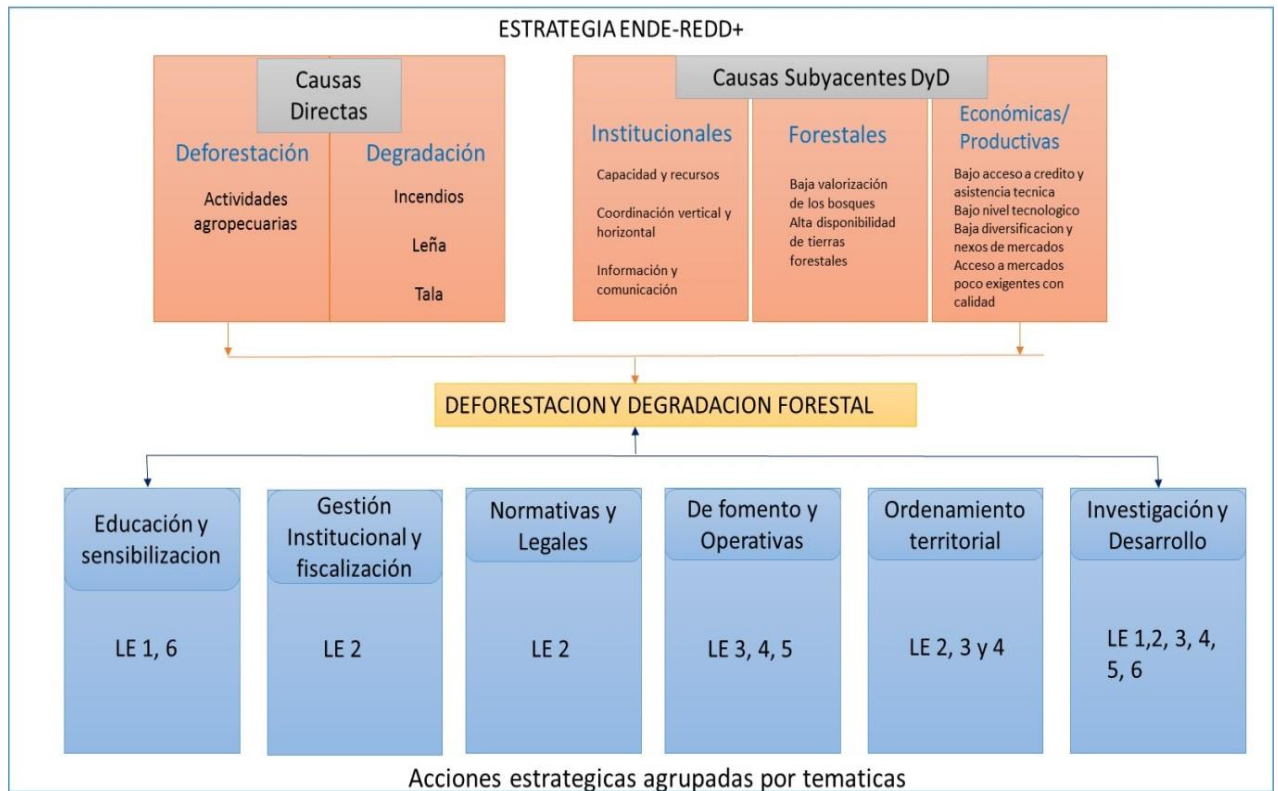
Timetable	Activity
08:00-08:30am	Registration of participants
08:30-08:40am	Spiritual prayer
08:40-08:45	National anthem
08:45-09:00am	Welcoming remarks



09:00-09:30am	Presentation of the participants There will be group presentations from the RACCN, RACCS, PI-PCN, Alto Wangki, and Central level.
9:30-9:45am	Cultural activity
9:45:00-10:30	<b>Presentation:</b> Causes of deforestation
10:30-11:15	<b>Presentation:</b> Guidelines of the “Strategy to reduce emissions from deforestation and forest degradation in Nicaragua”
11:15-12:00	<b>Presentation:</b> Reference levels and the ENDE-REDD+ programme’s monitoring, reporting and verification system
12:00-12:30	<b>Presentation:</b> Safeguards
12:15-01:00	Lunch
01:00-01:30	Cultural activity
01:30-1:45	Explanation of group work
02:00-03:30	Group work (5 groups with facilitators)
3:30-4:00	Plenary The work groups present their analysis and recommendations, which may be augmented with inputs from the plenary. Each group should present the analysis of environmental and social risks, barriers to implementation and the causes which each guideline addresses, so as to be able to agree on regional and national priorities.
4:00-4:30	Evaluation, conclusions and recommendations: The workshop will be evaluated using a guide filled in by each participant.  The workshop’s organisers will make a general assessment and, describing the event’s main results, close the workshop.



## Annex 12. Relation between causes of D&D and the strategic lines and actions needed to mitigate them



### Keys to the Figure

Strategic Guideline 1	LE1	LE1: Strengthen awareness, education, communication, and promotion of values and information related to the protection of Mother Earth that take into account the original peoples and Afro-descendants' territorial identity and worldview.
Strategic Guideline 2	LE2	LE2: Strengthen national-regional and local liaison and the capacity of the governments concerning the use of land and natural resources, considering forestry, environmental, agricultural and energy laws and policies.
Strategic Guideline 3	LE3	LE3: Encourage the protection, conservation and restoration of the landscape and biological corridors through afforestation, reforestation and natural regeneration on the Caribbean Coast and in the Pacific Central and Northern Region.
Strategic Guideline 4	LE4	LE4: Increase sustainable and low-emission agricultural-forestry production, and also the income of producers and employment.
Strategic Guideline 5	LE5	LE5: Promote investments and the strengthening of forestry and agricultural value chains using a sustainable markets and low emissions approach, which values sustainability and reduced deforestation.
Strategic Guideline 6	LE6	LE6: Strengthen adaptation to climate change initiatives in the territories of original peoples and Afro-descendants on the Caribbean Coast and in the Pacific Central Northern Region.



### Annex 13. Summary of the analysis of safeguards selected for ENDE-REDD+.

Connections between the Cancun and the World Bank safeguards applicable to the ENDE-REDD+ design

CANCUN safeguards	World Bank safeguards policies that have been activated for the project. ENDE-REDD+		Some links with internationally recognized Nicaraguan legal and political instruments
Codes	Safeguards	Status	Description
a, f, g	(OP/BP 4.01) Environmental evaluation	Active	Law 217 on the Environment, Decree 76-2006, Rio+20 Principles, Sustainable Development Goals (SDG), Montreal Protocol.
b, d, g	(OP/BP 4.04) Natural habitats	Active	CITES, RAMSAR, Decree for Habitat Creation. Sustainable Development Goals (SDG).
a, b, c, e, f	(OP/BP 4.36) Forests	Active	Law 462, Law 217, UNFCCC, UN Forum on Forests, Sustainable Development Goals (SDG)
c, d	(OP/BP 4.10) Indigenous Peoples	Active	Law 445, Law 28.
	(OP 4.09) Pest control	Active	Law 765, NTOM 11037-12
c, d	(OP/BP 4.11) Physical cultural resources	Active	Law 445, Law 28, Decree 1142 of Law on the cultural heritage of the nation.
C	(OP/BP 4.12) Involuntary resettlement	In analysis	Law 445, Law 28.
	(OP/BP 4.37) Dam safety	Not active	Not applicable
	(OP/BP 7.50) Projects in international waterways	Not active	Not applicable
	(OP/BP 7.60) Projects in conflict zones	Not activa	Not applicable

In Nicaragua, these safeguards are linked to the restitution of rights, written into the Constitution and the body of laws on the rights of indigenous peoples<sup>97</sup>. These laws prioritise the protection of individual rights and, particularly, are related to the country's obligations taken from international instruments.

<sup>97</sup> Law 28 Autonomy Statute of the Atlantic Coast Regions of Nicaragua and Law 445, Law of Communal Property Regime of the Indigenous Peoples and Ethnic Communities of the Autonomous Regions of the Atlantic Coast of Nicaragua and of the Rivers Bocay, Coco, Indio and Maíz are, likewise, taken from ILO Convention 169.



*Table 1 Relationship between the ENDE-REDD+ strategic guidelines and safeguards to consider during implementation*

No	Strategic guidelines	Safeguards
1	Strengthen the promotion of values of caring and love for our Mother Earth, which take into account indigenous peoples and Afro-descendants' territorial identity and worldview.	Environmental evaluation OP 4.01 Indigenous Peoples OP 4.10
2	Strengthen the institutional capacity and structure of land use governance, taking into account the application and awareness of forestry, environmental, agricultural and energy laws and policies.	Environmental evaluation OP 4.01 Indigenous Peoples OP 4.10 Involuntary resettlement
3	Promote the protection, conservation and restoration of the landscape and biological corridors through afforestation, reforestation and natural regeneration on the Caribbean Coast and in the Pacific Central and Northern Region.	Environmental evaluation OP 4.01 Indigenous Peoples OP 4.10 Natural habitats OP 4.04 Involuntary resettlement OP 4.12 Physical cultural resources OP 4.11 Forests OP 4.36 Pest control OP 4.09
4	Encourage the conversion from traditional productive systems to agro-ecological productive systems through positive incentives for adaptation to climate change.	Environmental evaluation 4.01 Indigenous Peoples OP 4.10 Natural habitats OP 4.04 Involuntary resettlement OP 4.12 Forests OP 4.36 Pest control OP 4.09
5	Promote the strengthening of forestry and agricultural value chains with a green markets approach.	Environmental evaluation 4.01 Indigenous Peoples OP 4.10 Forests OP 4.36
6	Strengthen adaptation to climate change initiatives in indigenous peoples and Afro-descendants' territories on the Caribbean Coast and in the Pacific Central and Northern Region.	Environmental evaluation 4.01 Indigenous Peoples OP 4.10





## Annex 14. List of outputs and studies developed and underway as part of the REDD+ readiness process

During 2017, the ENDE-REDD+ programme collaborated in the construction of technical studies based on the IPCC and Carbon Fund's methodological guidelines. These studies were useful for the analysis of the causes of deforestation, estimates of carbon reservoirs in the natural reserves on Nicaragua's Pacific, spatial analysis of the changes in soil use at national level, among others. Likewise, studies have been planned that will help identify the country's status regarding risks, mitigation and adaptation; and will be used as inputs for the preparation of the third national report on climate change.

### Studies and products created as part of the ENDE-REDD+ programme

#### Products

- Estimate of deforestation rates in 5 protected areas (Dipilto, Kilambe, Peñas Blancas, Datanlí and Yalí).
- Proposal developed for the PINO biological corridor and preliminary estimate made of emissions and removals.
- Production of municipal maps for the identification of natural regeneration areas.
- BOSAWAS deforestation rate
- Estimate of stored carbon in the proposed area for the ERPD in the RACCN.

#### Studies

##### Underway

- Analysis completed of current and future risk from climate change, adaptation measures and technological needs, consolidated into all the adaptation strategies for the prioritised sectors.
- Climate change mitigation scenarios.
- Mitigation policy proposals based on the results of the scenarios.
- Compilation of research work on climate change.



## **Annex 15. Summary of studies underway in the process of Nicaragua's Third National Report, financed with REDD+ readiness funds**

Within the framework of the implementation of the Third National Report on Climate Change (TCNCC), as part of the results of the "Support Project for Readiness of the Strategy for the Reduction of Emissions through Deforestation and Forest Degradation (ENDE-REDD)," a series of consultancies and/or products are being developed in order to obtain the scientific technical inputs needed to implement TCNCC. The main binding results are:

The goal resulting from the National Inventory of Greenhouse Gas Emissions sector on the use and change of land and agriculture is to calculate emissions and/or removals of greenhouse gases for the period between 2000 to 2005 up to 2010, which will serve as the basis and validation for reference scenarios and some ENDE-REDD+ strategies.

The goal resulting from the Evaluation of Technology and Technological Needs for Adaptation to Climate Change in Prioritised Sectors consultancy is to "carry out an evaluation of the adaptation measures to climate change that are being implemented in the country, through a process of identification, description and general profiling, as well as identifying, for a timeframe of 5 and 10 years, the main technological transference needs for adaptation to climate change in the sectors Water Resources, Biodiversity, Forests and Agriculture, based on the compilation of nationally available information and consultations with experts on different issues."

As a result of evaluating the identified technologies, the TCNCC and ENDE-REDD+ have a total of 14 adaptation technologies within the package of 197 national technologies (first phase of the consultancy), with a similar number in the technologies by determined interest sector, in addition to a proposed 10 new adaptation technologies aimed at increasing the resilience of country's prioritised sectors to future climatic events. The information this consultancy provides serves as input for the selection of suitable national intervention proposals, helping to reduce the vulnerability of the country's socio-economically important sectors and improving interventions. The status of the consultancy is completed.

The goal resulting from the Compilation and Edition of National Research into Climate Change consultancy is to "make a compilation of research carried out in National Universities Council (CNU) member universities and other universities on issues related to mitigation and adaptation to climate change in Nicaragua within the 2000 to 2015 timeframe; the result will be presented in the form of a book and organised into the following sectors: water resources, use and change of use of land and agriculture; human settlements; energy; transport; and industries and waste, which will be edited as a reference source for the country."

As a result of this consultancy, 148 investigations by national universities were identified as part of the evaluation, of which 55 were selected to be published. This outcome enables us to have scientific information to validate, corroborate and/or augment proposals implemented within the TCNCC framework, and is also an input of national



importance as it will facilitate access to information and expand on published issues, so improving the country's scientific knowledge. The status of this consultancy is completed.

The goal of consultancy on the proposed National Policy for Mitigation and Adaptation to Climate Change is to “make a national policy proposal on mitigation and adaptation to climate change based on the National Human Development Plan and in line with other policies promoted by the Government of National Unity and Reconciliation.” This policy will be the frame of reference for proposals and actions derived from the 7 established strategic guidelines. The status of the consultancy is completed; the policy is being consulted before proceeding to approval.

One of the products developed within the framework of TCNCC activities is the publication of a book that will help CNU education on disaster and environmental risks, as an essential part of TCNCC contributions to the national educational process. The status of this product is completed and the book is in the final stages of publication.

The goal of the consultancy on the Development of Scenarios for the Mitigation of Climate Change in Nicaragua and Emission Recommendations is to “determine possible scenarios for mitigation of climate change in Nicaragua, based on emissions trend analysis and its relationship with economic and social factors, which will enable the determination of the main drivers directly affecting emissions and the latter will then be compared with economic trends so as to determine different emission scenarios and recommendations for achieving low carbon emission economic growth. Through its link with ENDE-REDD+, emphasis will be placed on the use/change of use of land and agriculture.” As part of the results, the socio-economic factors that determine CO<sub>2</sub>e and their trends in Nicaragua will be established, determining the main options for low carbon emission economic growth, as well as possible scenarios and possible sources for national contributions for the mitigation of climate change. This consultancy is in the process of being contracted.



## Annex 16. List of Participants, ENDE-REDD+ work tables

### *National Measurement, Reporting and Verification Tables*

<b>INETER</b> José Antonio Milán Vladimir Prado Luis Valerio Juan Carlos Morales	<b>SERENA – RACCN</b> Hansel Zúniga Osorno Yovanelah Henríquez
<b>INAFOR</b> Mario García Claudio González Yamileth Peralta	<b>SERENA – RACCS</b> Dinnis Morales Allan Ingram Anthony Rojas Haniel Arce Henry Rodríguez
<b>SINIA-NODOS-MARENA</b> Martha Sánchez Bismarck Valdez Honey Lazo	<b>SINIA-NODOS-Costa Caribe Norte</b> Haniel Arce Jalima McDonalds José Luis Centeno
<b>INTA</b> Ana Carolina Siles	<b>MARENA – RACCN y RACCS</b> Hebe Machado

### *EESA regional tables (regional technical teams)*

Members of EESA-RACCN Table	Members of EESA-RACCS Table
<ol style="list-style-type: none"> <li>1. Nytzae Dixon</li> <li>2. Lenin Green</li> <li>3. German López</li> <li>4. Ralph Muller</li> <li>5. Valentín Flores Joyas</li> <li>6. Eduardo Pérez Soto</li> <li>7. Roger Rocha</li> <li>8. Itza Centeno</li> <li>9. Earsly Patterson</li> <li>10. Ceferino Wilson</li> <li>11. Melvin Miranda</li> <li>12. Rosalía Gutiérrez</li> </ol>	<ol style="list-style-type: none"> <li>1. Karl Tinkam</li> <li>2. Kirkman Roe</li> <li>3. Luis Gaitan</li> <li>4. Dumar Quiroz</li> <li>5. Alvaro Saavedra</li> <li>6. Edmar Hodgson</li> <li>7. Saul Reyes</li> <li>8. Tania Ruiz</li> <li>9. Danilo Chang</li> <li>10. Luis Arlis Calderón</li> </ol>



## Annex 17. List of Participants in the National Self-Evaluation Workshop

28 February 2017					
Nr.	Name and Surname	Ethnic group	Sex	Focus Group	Institution
1	Luis A. Valerio	mestizo	M	Public entity	INETER
2	Miguel Blanco C.	mestizo	M	Public entity	MARENA
3	Eduardo Pérez	mestizo	M	Public entity	INAFOR
4	Luis A. Gaitan	creolee	M	Serena	CRACCS
5	Martha Arguello	mestizo	F	Public entity	SDCC
6	Martha Zeledón	mestizo	F	World Bank	World Bank
7	Henry Alberto Galán	chorotega	M	PCN	PIPCN National Council
8	Jamar Morales Sambola	creolee	M	Serena	CRACCS
9	Miguel Angel Gomez	chorotega	M	PCN	PCN
10	Suyen Pérez	mestizo	F	Public entity	MARENA
11	Claudio González	mestizo	M	Public entity	INAFOR
12	Margueleth Cassanova	creole	F	GTI	GTI
13	Maria José Canales Pereira	mestizo	F	Public entity	Exportadora Atlantic
14	Francisco Jirón	ulwa	M	GTI	GTI/Karawuala
15	Haniel Arce	mestizo	M	Serena	SERENA/GRACCS
16	Judy Delay Abraham	ulwa	F	SERENA	RACCS
17	Edilberto Duarte	mestizo	M	Public entity	MARENA
18	Orlando Arancibia Rosales	mestizo	M	Public entity	INAFOR
19	Amilcar Padilla M.	miskito	M	Serena	MARENA/ENDE
20	Hebé Machado	mestizo	F	Serena	MARENA/GRACCS
21	Vladimir Prado B.	mestizo	M	Public entity	INETER
22	Devoney Mc. Davis	miskito	F	CRACCN	CRACCN
23	Luis Calderón	mestizo	M	Public entity	GRACCS
24	Carlos Mercado	mestizo	M	Public entity	CONAGAN
25	Luis H. Picado	mestizo	M	Public entity	MARENA
26	Hugo Rodolfo Moreno	mestizo	M	Public entity	MARENA
27	Silvia Membreño	mestizo	F	Public entity	MARENA/ENDE-REDD+
28	Sheila Zamora López	mestizo	F	Public entity	MARENA
29	Anthony Rojas Jull	creole	M	SERENA	SERENA/GRACCS
30	Lenin Green Rivera	miskito	M	Association	URACCAN
31	Darwin Chavarrilla W.	miskito	M	Public entity	MARENA/ENDE-REDD+
32	Lenny Simon Watson	ulwa	M	GTI	GTI/Awaltara
33	Ceferino Wilson White	creole	M	GRACCN	GRACCN
34	Patricia Martínez Mairena	mestizo	F	Public entity	MEFCCA
35	Carlos Gutierrez Pineer	creole	M	GTI	GTI/Tasbapauni
36	Agusto Flores	mestizo	M	Public entity	MARENA



37	Dennis Mairena	mestizo	M	Public entity	MARENA/ENDE-REDD+
38	Reyna Alfaro Cárdenas	chorotega	M	PCN	PIPCN
39	Rickey Monroe	creole	M	Public entity	MARENA/ENDE-REDD+
40	Tyrone Steeven López	mestizo	M	Public entity	MARENA/ENDE-REDD+
41	Oswaldo Yalí Santana	mestizo	M	Public entity	MARENA/ENDE-REDD+
42	Bismarck Morales Arróliga	mestizo	M	Public entity	MARENA
43	Kirkman Roe M.	creole	M	Public entity	GRACCS
44	Hanzel Zuniga O.	mestizo	M	SERENA	SERENA/GRACCS
45	Mariela Valeria	mestizo	F	World Bank	World Bank
46	Ronald Wittinghan Dennis	miskito	M	GTI	GTI-Karata
47	Veronica Gutiérrez	mestizo	F	Public entity	MARENA/ENDE-REDD+
48	Francisco Fuentes R.	mestizo	M	CRACCS	CRACCS
49	Narciso Arteta Gorth	creole	M	CRACCS	CRACCS
50	Ralph Mullins S.	creole	M	GTI	GComunal Creole-Bluefields
51	Nitzae Dixon	miskito	F	GRACCN	GRACCN
52	Donald Ingrand	miskito	M	Public entity	MARENA
53	Jorge Cisneros	mestizo	M	Public entity	MARENA/ENDE-REDD+
54	Indiana Fuentes	mestizo	F	Public entity	MARENA/ENDE-REDD+
55	Santos Manzanares	miskito	M	GTI	GTI- LLTK
56	Dinis Morales	mestizo	M	SERENA	SERENA
57	Shaira Downs Morgan	creole	F	GRACCS	GRACCS
58	Melvin Miranda	miskito	M	SERENA	CCF-A
59	Gunars Platais	miskito	M	World Bank	World Bank
60	Bertha Mercado Lazo	mestizo	F	GRACCN	GRACCN
61	Carlos Alemán	miskito	M	GRACCN	GRACCN
62	Rosa Amanda Solórzano	mestizo	F	Public entity	MARENA
63	Julio Miranda	mestizo	M	Public entity	MARENA/UAL
64	Alvaro Pérez Solórzano	mestizo	M	Public entity	MARENA/UCA
65	Francisco H. Soza	mestizo	M	Public entity	MARENA
66	Liliana Campos Díaz	mestizo	F	Public entity	MARENA/ENDE-REDD+
67	Ivan Alvares	miskito	M	GRACCN	GRACCN
68	Rene Castellón	mestizo	M	Public entity	MARENA
69	Martha Díaz Sanchez	mestizo	F	Public entity	SINIA
70	Lawrence Scott	anglosajon	M	World Bank	World Bank
71	Fernanda Rodríguez	mestizo	F	Public entity	MARENA
72	Jadder Mendoza	miskito	M	Public entity	MARENA/ENDE-REDD+
73	Roberto Herrera	mestizo	M	Managua	MARENA
74	Maria Fernanda Soza	mestizo	F	Managua	Grupo de Baile (Dance Group)
75	Cristopher Antonio Dominguez	mestizo	M	Managua	Grupo de Baile (Dance Group)
76	Xiomara Cajina	mestizo	F	Public entity	MARENA
77	Gustavo Solano	mestizo	M	World Bank	World Bank



78	Roberto Araquistain	mestizo	M	Public entity	MARENA
79	Cristofer Antoni Fuentes	mestizo	M	Public entity	MARENA
80	Zenia Salinas	mestizo	F	World Bank	World Bank