

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

Guidelines for Reviewers:

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

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

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

Review of R-PP of UGANDA

Reviewer (fill in): Spain (lead), Guatemala, Denmark

Date of review (fill in): 14-February-2011

Standards to be Met by R-PP Components

General comments:

- The draft R-PP is clearly not yet "completed" and focuses largely on what has been done so far in terms of REDD+ consultations in Uganda, rather than on the plans for the work in the readiness phase from 2012-14; Compared to the amount of information provided in the first sections of the RPP, sections 4, 5 and 6 seem incomplete.
- there appears to be a rather "bureaucratic" approach proposed for the readiness process, which may require further refinement in order to streamline the design and reduce the costs;
- As in other countries, it will be very important to ensure that the readiness process is aligned with government policies and legislation in the forestry sector and with respect to environmental legislation in general;

- Strengthening the rights of forest dwellers and communities must be fully taken into account throughout the readiness process.
- The document makes references to annexes or appendix constantly, most of the times when it refers to relevant information that should be included in the main body of the RPP.
- There is more information to what can be digested in the time provided for the review. We suggest including all the relevant information in the main text, focusing in what is really needed for the RPP to be complete, and avoid references to appendixes.
- The units in budget tables seem to be wrong. Titles should say K\$ and not \$.

Component 1. Organize and Consult

Standard 1a: National Readiness Management Arrangements

The cross-cutting nature of the design and workings of the national readiness management arrangements on REDD, in terms of including relevant stakeholders and key government agencies beyond the forestry department, commitment of other sectors in planning and implementation of REDD readiness;

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

Very useful and through information on what has been done and what is going to be done to arrange national readiness. Information well structured, explaining roles, compositions, and functions of the different bodies involved in REDD+

Comments:

- more details should be provided on the implementing agencies/implementing institutions
- the steering committee is a body with a crucial role in the REDD+ implementation framework, and its details should be better explained in the main text of the RPP
- Information on the political and legal frameworks for RPP implementation for 2012-2014 is important for the RPP understanding, and should be included in the main text, not in an appendix. This happens through the entire document.

Standard partially met

Standard 1b: Stakeholder Consultation and Participation

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

- i. the consultation and participation process for R-PP development thus far³, the extent of ownership within government and REDD coordinating body, as well as in the broader national stakeholder community; and

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

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

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

As in other parts of the document, this section focus on what has been done, and there is not enough information on what Uganda will do in 2012-2014 in SCP. This is the main part of this section, and should be improved to meet the standard.

The active involvement of stakeholders ins mentioned, but little detail is provided on how this will be done.

Standard not met

Component 2. Prepare the REDD Strategy

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

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

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

There is a complete analysis of drivers for DD in Uganda. Also there is an overview of key policies and laws relevant to REDD+.

In the list of underlying causes of deforestation, build up area is not included, and, in %, it seems to be an important cause of deforestation, that should be considered, or at least, the trend could be analyzed.

More details on the legal description of instruments and tools used in the management and land tenure issues should be provided.

It is recommended to analyze the processes for forest dependent peoples, due to the sensitivity of the cultural aspects and the link with REDD+. This is important when Uganda has ratified ILO convention 169, in particular, the issue of free, prior and informed consent.

Budget should be included here.

Standard has been partially met.

Standard 2.b: REDD strategy Options:

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

- i. how the country proposes to address deforestation and degradation drivers in the design of its REDD strategy;
- ii. early estimates of cost and benefits of the emerging REDD strategy, including benefits in terms of rural livelihoods, biodiversity conservation and other developmental benefits;
- iii. socioeconomic, political and institutional feasibility of the emerging REDD strategy;

- iv. major potential synergies or inconsistencies of country sector strategies in the forest, agriculture, transport, or other sectors with the envisioned REDD strategy; and
- v. risk of domestic leakage of greenhouse benefits. The assessments included in the R-PP eventually should result in an elaboration of a fuller, more complete and adequately vetted REDD strategy over time.

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

Complete assessment of strategy options. The presentation in a table provides a friendly way of reading the relevant information, and additional information can be found in the appendix if needed.

Some of the relevant issues listed in the guidance are not included here (risk of leakage, integration with other policies and strategies, cost and benefits,...) and should be considered.

- information on areas of intervention for plight of forest dependent people should be provided in the table.
- All the plans are for 2012-2014, but in this section, the development and assessment of strategy options will be undertaking during 2011-2013, but budget is for 2012-2014. Is this a mistake in dates?
- Some pilot strategies are mentioned, but more information on this strategies should be provided: who is implementing them, how are leakage addressed, how they will undertake the consultation process, how the stakeholders will participate,...
- Policies and strategies in other sectors that could have impact on forests should be included here.

We recommend integrating a component of improving the livelihoods of forest dependent people in order to make REDD strategy and instrument that should lead to development.

It is recommended that section 2.3.3. is considered in "REDD+ framework", because of decentralization in the management of resources. This would strengthen these institutions and the monitoring capacity of central institutions.

Standard partially met.

Standard 2.c: REDD implementation framework:

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

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

It is recommended to develop incentives for co-benefits as part of the REDD strategy and analyze the adjustments to the existing mechanisms to contribute to the implementation of this strategy.

More information is needed. It is only a list of the steps to establish the framework for REDD+ implementation. At least detailed ToR with a timeframe should be included.

Standard not met.

Standard 2.d: Assessment of social and environmental impacts:

The proposal includes a program of work for due diligence for strategic environmental and social impact

assessment in compliance with the Bank's safeguard policies, including methods to evaluate how to address those impacts via studies, consultations, and specific mitigation measures aimed at preventing or minimizing adverse effects.

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

Following the guidance in the RPP template, the RPP should include a work plan on how to cope with Wb's safeguard policies. SGs policies are listed, but an explanation on how they will be considered is not included.

Basic elements for ToR are listed, but more detail is needed on how the SESA will be developed, including how SESA will be linked to the MRV system.

The R-PP should include the methodology on how the information required for this assessment will be compiled and analyzed. Compiling information relevant to social and environmental impacts can be one difficult aspect of undertaking a Social and Environmental Impact Assessment.

This section does not include specific requirements to mitigate the risks of REDD+.

Standard not met

Component 3. Develop a Reference Scenario

Standard 3 Reference scenario:

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

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

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

For the establishment of the reference level it is important to decide which will be the forest definition used.

Clearer information should be provided on existing data, existing sources of data that could be useful and gaps of information.

The possible influence of the evolution of identified drivers in future emissions and removals should be considered.

Information on how stakeholders are going to be involved in the establishment of the RL should be provided. Specially, the link with private sector should be explained (in annex 4 it is said that 64% of forests are private forests). Analytical and field capacities of private sector and communities is not considered, and can be helpful in different stages of this process. The linkage to the design future MRV system is also missing.

The National Biomass Study is really useful, but, if emissions from deforestation are not estimated from NBS, it would be useful to explain how this is going to be done. What kind of variables are going to be used and who is going to be in charge of these estimations. The process to calculate the deforestation rate should be better explained.

Work with sub-national reference levels scan be more specific, but also requires a lot of researches about the drivers, funds and precision for all the estimations done in different areas.

Try to describe all the processes recognizing Uganda's capacities and gaps. For the gaps, it is important to provide with possible solutions and ask for specific support to cover these needs.

The reference level has to be estimated with a methodology that could be used in the future, it is really important that all data are comparable and consistent, and that more details are provided in component 4.

Standard not met**Component 4. Design a Monitoring System****Standard 4: Design a monitoring system:**

The R-PP provides a proposal for the initial design of an integrated monitoring system of measurement, reporting and verification of changes in deforestation and/or forest degradation. The system design should include early ideas on including capability (either within an integrated system, or in coordinated activities) to monitor other benefits and impacts, for example rural livelihoods, conservation of biodiversity, key governance factors directly pertinent to REDD implementation in the country, and to assess the impacts of the REDD strategy in the forest sector.

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

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

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

The treatment of leakage, especially if Uganda is going to focus MRV in hotspots, needs to be defined.

Some of the information included in appendix 4 should be included in the main body of the RPP.

It needs to be confirmed that the activity data and emission factors are adequate for tier 3 estimations. There is the risk of being too ambitious.

Consistency of national and subnational guidelines needs to be ensured.

MRV requirements for other benefits and impacts need to be detailed. No enough information is provided on this.

Standard 4.a. partially met. Standard 4.b. not met.

Component 5. Schedule and Budget**Standard 5: Completeness of information and resource requirements**

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

Version 5 standard text not included in version 4 standard:

Any gaps in funding, and sources of funding, are clearly noted.

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

This is component 6 in the document.

There is a section on implementation strategy that would fit better in section 2.c., as it is not related to budget or schedule, but specifically on this subsection:

- This implementation strategy does not identify how to articulate local and national levels of governance, and the scattered government forest related institutions. We recommend the reconciliation of work responsibilities between institutions, including monitoring and verification mechanisms at local levels.
- In the recommended cross-cutting issues, policies and activities to alleviate poverty related to forest management should be included.
- The subsection on risks and assumptions includes two activities that, from our point of view, are not beyond the control of implementers, the first one is the implementation of RPP with multiple players, and the second one, is the application of REDD+ procedures and standards, both are decisions to be taken by the governing bodies, and the risks can be minimized or eliminated.

A detailed chronogram for different components independent of the table for budget would be very useful.

Component 6. Design a Program Monitoring and Evaluation Framework

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

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

This is component 5 in the document.

The monitoring of the implementation of the RPP is an important part of the implementation as such.

- Indicators are a crucial instrument for this monitoring, and for the evaluation of how the REDD+ country is acting on REDD+ readiness. Without these indicators, component 6 is not met.