



FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA
MINISTRY OF ENVIRONMENT, FOREST AND CLIMATE CHANGE

NATIONAL REDD+ SECRETARIAT

**R-Package: Readiness Progress and Multi-stakeholder Self-
Assessment Report of Ethiopia**

June 2017, Addis Ababa

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Acronyms

A/R – Afforestation/Reforestation

AD – Activity Data

APR – Annual Performance Review

BioCF _ Bio Carbon Fund

BioCF plus – Bio Carbon Technical Assistance Fund

BSM- Benefit Sharing Mechanism

CBO –Community Based Organization

CRGE – Climate Resilient Green Economy

COP – Conference of Parties

CSOs – Civil Society Organization

C&P – Consultation and Participation

DAs –Development Agents

D/D –Deforestation and forest degradation

DNV- Det Norske Veritas (Pty) Ltd

EF –Emissions Factor

EFRI – Enhanced Forest Resources Inventory

EIA –Environmental Impact Assessment

EPA – Environmental Protection Authority

ER – Emissions Reduction

ERPRA- Emission Reductions Purchase Agreement

ESMF –Environmental Social Management Framework

FAO –Food and Agricultural Organization

FCPF- Forest Carbon Partnerships Fund

FDP- Forest Dependent People

FI – Forest Inventory

FRL –Forest Reference Level

GDP –Gross Domestic Product

GHG - Green House Gas

GIS/ RS – Geographic Information System Remote Sensing

GOE – Government of Ethiopia

GRM- Grievance Redress Mechanism

GTP –Growth and Transformation Plan

INDC – Intended Nationally Determined Contribution

ISNFSDP – Institutional Strengthening for the National Forestry Sector Development Program

IPCC – International Panel for Climate Change

LULC –Land Use Land Cover

M&E – Monitoring and Evaluation

MEFCC –Ministry of Environment, Forest and Climate Change

MoA – Ministry of Agriculture

MoFEC –Ministry of Finance and Economic Cooperation

MoLF –Ministry of Livestock and Fisheries

MRV –Monitoring, Reporting and Verification

MTR –Mid-term Review

NFI – National Forest Inventory

NFMS –National Forest Monitoring System

NFSDP – National Forestry Sector Development Programme

NGOs – Non-Government Organizations

NRS– National REDD+ Secretariat

OFLP – Oromia Forested Landscape Programme

ORCU – Oromia REDD+ Coordination Unit

PAMs – Policies and Measures

PAD – **Project Appraisal Document**

PDS – Programme Delivery Support

PES –Payment for Ecosystem Services

PF – Process Framework

PFM – Participatory Forest Management

PIM – Project Implementation Manual

PM&E – Participatory Monitoring & Evaluation

RBP- Result Based Payment

REDD+ - Reducing Emissions from Deforestation and forest Degradation, Conservation of forests, Sustainable Forest Management, and Enhancement of Forest Carbon Stocks

RETF- Recipient-Executed Trust FUND
RFP – Request for Proposal
RIP- REDD+ Investment Program
RPF –Resettlement Policy Framework
RRCU – Regional REDD+ Coordination Unit
R-PIN – REDD+ Readiness Preparation Idea Note
RPP – Readiness Preparation Plan
RS – Remote Sensing
SC- Steering Committee
SESA –Strategic Environmental and Social Assessment
SFLP – SNNPR Forested Landscape Programme
SFM – Sustainable Forest Management
SIS –Safeguard Information Systems
SMS – Short Message Service
SNNPR –Southern Nations, Nationalities and People's Region
TA – Technical Assistance
TAR- Technical Assessment Report (UNFCCC)
TF- Task Force
TOT- Training of Trainers
TWG- Technical Working Group
tCO2e –tonnes of Carbon Dioxide Equivalent
UNFCCC - United Nations Framework Convention on Climate Change
UNDP – United Nations Development Programme
USD – United States Dollar
WB (WBG) –World Bank Group

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Executive summary

REDD+ Readiness in Ethiopia is at an advanced stage: (i) the national REDD+ strategy has been prepared and will be endorsed by the national planning commission and MEFCC Minister in October 2017, (ii) forest reference level/forest reference emissions level set and verified by UNFCCC technical assessment process, (iii) MRV system is operational at federal level, institutional set-up has been designed, hiring of key positions and capacity building is going on, and (iv) the required safeguards instruments were completed and approved, and several public consultations were held. For reference to readers, key readiness evidences and documents are linked at: <https://ethiopiared.org/redd-readiness/r-package-ethiopia/>. Ethiopia is now in a position to submit the participatory self-assessment of its REDD+ Readiness Package (otherwise known as the R-Package) in fulfillment of one of the key requirements for REDD+ countries engaged in the Forest Carbon Partnership Facility (FCPF) process. This R-package signals Ethiopia's preparedness for undertaking and executing its REDD+ agenda in a manner that meets global expectations and consistent with national development goals.

This report integrates both parts of the Readiness Package i.e. (i) readiness preparation summary by component, and assessment results and (ii) the report of multi-stakeholder self-assessment process.

The assessment was guided by the FCPF Readiness Assessment Framework, which describes a participatory process and set of 34 criteria and 54 structured diagnostic questions adapted from 58 diagnostic questions of the FCPF Readiness Assessment Framework for Ethiopia. A Participatory Self-Assessment workshop was organized from June 9 to 11, 2017 with a cross-section of stakeholders and institutional representatives, all of whom have been directly involved in the readiness process. In total, 83 persons participated from federal government, regional governments, Federal TWG, NGOs/CSOs and National REDD+ Secretariat. Additional information can be found at the REDD+ website: <https://ethiopiared.org/redd-readiness/r-package-ethiopia/>.

The assessment was facilitated by a chair and secretary selected by the stakeholder groups. The role of the facilitators was made clear throughout the self-assessment process – namely to explain readiness outputs, solicit inputs from stakeholders and encourage balanced discussion during assessment.

On day 1 in the morning, two presentations on the Readiness Assessment Framework and the Self-Assessment procedures and Progress on Readiness in sufficient detail have been given for all stakeholders by the National REDD+ Coordinator. The first presentation introduced the readiness assessment framework, its aims, objectives and the process adopted for undertaking the assessment, including the scoring system used. The second presentation focused on describing and presenting 'what is in stock' or what has been achieved so far in terms of readiness. The rules were also spelled out clearly, including stressing the point that this was an honest self-assessment process. The National REDD+ Secretariat also provided context and clarifications as needed, but not views or opinions on progress in order to avoid bias.

All stakeholder groups made serious, independent and honest assessment and gave scores against the 54 diagnostic questions with justification, which were later summarized against the 34 criteria using weighed average scores. There is general consensus across the different

stakeholder groups that there is significant progress in readiness in Ethiopia as demonstrated by the scores they provided. The atmosphere was congenial, open, constructive, but at the same time discussions were very lively and hot for reaching consensus on scores. To entertain individual differences, the questionnaire was given out to each participant and data were collected and documented.

Combined weighted scores from all stakeholders indicate that out of the 34 criteria that were given color ranking, **23** received **Green** and **11** **Yellow** (Annex 2). When the scores were summarized at subcomponents level by weighted average as described in the methods section, the self-assessment yielded eight **Green**, which means that significant progress has been achieved and one **Yellow** for implementation framework. Another interesting result is that there is a clear trend of significant readiness progress as compared to the MTR that was done in November 2015 as shown below. The progress status at R-Package has shown that five subcomponents that scored Yellow at MTR were advanced to Green.

Table 1 Progress summary at subcomponent level at MTR and R-Package

COMPONENTS	SUB-COMPONENTS	Progress Status at MTR	Progress Status at R-Package
1. Readiness Organization and Consultation			
	1a. National REDD+ Management Arrangements	Green	Green
	1b. Consultation, Participation, and Outreach	Yellow	Green
2. REDD+ Strategy Preparation			
	2a. Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance	Green	Green
	2b. REDD+ Strategy Options	Green	Green
	2c. Implementation Framework	Yellow	Yellow
	2d. Social and Environmental Impacts	Yellow	Green
3. Reference Emissions Level/Reference Levels		Yellow	Green
4. Monitoring Systems for Forests, and Safeguards			
	4a. National Forest Monitoring System	Yellow	Green
	4b. Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards	Yellow	Green

Overall there is agreement among stakeholders that while REDD+ readiness in Ethiopia is showing significant progress, there is a need to put significant efforts into deepening ownership

at policy level beyond the forestry sector, more work is needed to strengthen multi-stakeholder coordination, build on and enhance consultations with local communities, and finalize implementation framework such as Benefit Sharing Mechanism, REDD+ registry and Safeguard Information System. The recently approved Oromia Forested Landscape Program (OFLP) provides a model as it is the implementation platform for REDD+ in Oromia state-wide, including emission reduction payments, upfront project financing, NGO/CSO engagement, and private sector investment coordination.

1. Introduction

1.1 Background

Recognizing the close links between environmental and development concerns, Ethiopia is working to integrate climate considerations into its broader development planning processes. The Ethiopian Climate Resilient Green Economy (CRGE) initiative, which was launched in 2011, laid the foundation for integrated planning for climate-resilient green development. Ethiopia aims to achieve middle-income status by 2025 while developing a green economy. Following the conventional development path would, among other adverse effects, result in a sharp increase in GHG emissions and unsustainable use of natural resources. Climate change offers a lens through which Ethiopia can revisit some of its most intractable problems so that the challenge faced positions Ethiopia at the forefront of the low carbon revolution promised by the climate agenda. Ethiopia has huge low carbon development potential: it is rich in forests and has ample renewable resources of hydro, solar, wind and geothermal energy. To make the most of this potential, the country will need to ensure that its long-term planning is compatible with a low carbon future and make it as attractive as possible to carbon investors.

Forestry is one of the four pillars of the Climate Resilient Green Economy (CRGE) strategy that aims at the main sectors of the economy to develop an environmentally sustainable and climate resilient economy through protecting and re-establishing forests for their economic and ecosystem services, including as carbon stocks, which brings the country at middle income status with net zero emission by 2030. Forestry has a large abatement potential and contributes towards achieving a carbon neutral economy. As part of the Green Growth strategy, the government of Ethiopia has selected four initiatives for fast-track implementation: exploiting the vast hydropower potential; large scale promotion of advanced rural cooking technologies; efficiency improvements to the livestock value chain; and Reducing Emission from Deforestation and Forest Degradation (REDD+). These initiatives have the best chances of promoting growth immediately, capturing large abatement potential, and attracting climate finance for their implementation. Thus, REDD+ is embedded in the green growth strategy as one of the four selected fast-track programs to support ambitions set in the forestry, energy and other land use sectors. Ethiopia considers REDD+ as an opportunity and viable source of sustainable finance for investment in sustainable forest management, forest conservation, and forest restoration to enhance multiple benefits of forests, including but not limited to, biodiversity conservation, watershed management, increased resilience to climate change, improved livelihoods and reduced poverty.

The REDD+ Program, which is now embedded within the national CRGE strategy and the National Forest Sector Development Program (NFSDP) is anticipated to contribute to the achievement of the CRGE targets through improved management of existing natural forests and expansion of forest cover through afforestation/reforestation (A/F). With 17.2 million hectares of forests covering 15.5% of the national territory (following the revised national forest definition, MEFC, 2015), that is under threat with an annual deforestation rate of 0.54% (Ethiopia's FRL-revised submission to UNFCCC, 2016), and a large expanse of deforested lands, degraded forest areas, and degraded lands suitable for forest restoration, Ethiopia has a huge potential for REDD+ implementation.

Through REDD+ Ethiopia is in a position to reduce GHG emissions and expand the forest area that can absorb carbon by implementing policies and measures (PAMs) that target to address not

only forest emission from deforestation and forest degradation, but carbon removals through large scale forest restoration. These actions will help prevent further degradation of its natural capital including the soil, water and biodiversity resources. Against this background, Ethiopia is thus highly committed in the global climate change agenda and in particular in the REDD+ mechanism. The REDD+ process has been active since 2008, and now it is finalizing the REDD+ readiness.

1.2 REDD+ Process in Ethiopia

The Government of Ethiopia submitted its REDD+ Readiness Preparation Idea Note (R-PIN) to the World Bank-FCPF in 2008 which was successively approved in 2009, creating the way for the development of the Readiness Preparation Proposal (R-PP) from 2010 to 2012. The FCPF Participants Committee decided to allocate grant funding of US \$3.4 million in March 2011 through its Resolution PC/8/2011/4, based on Ethiopia's submission of its R-PP (Figure 1). As approved by the FCPF Participants Committee in February 2012 as per the Resolution PC/Electronic/2012/1, this amount has been increased with an additional US \$200,000 to finance the establishment or strengthening of a national REDD+ feedback and grievance redress mechanism. Out of the entire fund of \$14 million finance proposed in the R-PP, the country has obtained US\$ 3.6 million from the FCPF source to implement the R-PP activities but it was necessary to leverage the remaining financial gap from other sources to achieve the readiness. Consequently, the Government of Norway through the World Bank BioCarbon Fund Technical Assistance Fund (BioCF Plus) jointly provided additional finance of US \$10 million, which completed the financial requirements for implementing the Readiness phase. The grant agreement for the FCPF was signed for R-PP implementation in October 2012 and officially the REDD+ Readiness Phase was launched in January 2013. The grant agreement for the additional finance of BioCarbon Fund was signed in July 2014 and will be used until June 2018.

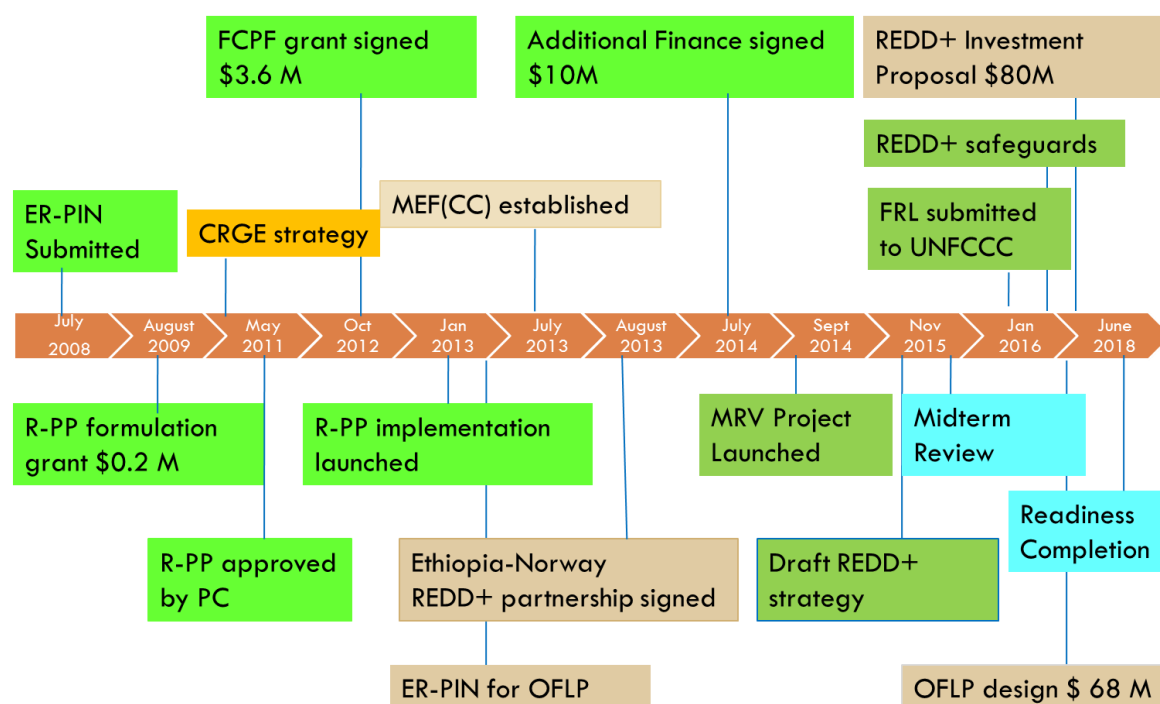


Figure 1: Evolution of REDD+ process in Ethiopia: Key milestones

Ethiopia created the National REDD+ Secretariat (NRS) under the Ministry of Agriculture in 2013, which was then moved to Ministry of Environment, Forest and Climate Change in July 2013. The REDD+ Secretariat is responsible for coordinating all efforts related to REDD+ (forestry and climate change) and to deliver on the green economy vision.

At this moment, REDD+ Readiness in Ethiopia is at an advanced stage: (i) the national REDD+ strategy has been prepared and will be endorsed by the national planning commission and MEFCC Minister in October 2017, (ii) forest reference level/forest reference emissions level set and verified by UNFCCC technical assessment process, (iii) MRV system is being made operational at federal level, institutional set-up has been designed, hiring of key positions and capacity building is going on. , and (iv) the required safeguards instruments were completed and approved, and several public consultations were held. For reference to readers, key readiness evidences and documents are shown in Annex 1 or are linked at: <https://ethiopiared.org/redd-readiness/r-package-ethiopia/>).

Ethiopia is now in a position to submit the participatory self-assessment of its REDD+ Readiness Package (otherwise known as the R-Package) in fulfillment of one of the key requirements for REDD+ countries engaged in the Forest Carbon Partnership Facility (FCPF) process. This R-package, in broad terms, signals Ethiopia's preparedness for undertaking and executing its REDD+ agenda in a manner that meets global expectations and consistent with national development goals. This R-Package is prepared to inform stakeholders (global and national) in a transparent manner on the readiness progress, demonstrate commitment and eventually present the report to the FCPF-PC meeting for endorsement in September 2017 so that Ethiopia makes a

transition towards results-based actions on the ground. The report summarizes the results of the self-assessment process in line with the FCPF Readiness Assessment Framework.

2. Multi-stakeholder self-assessment process

2.1 Objectives of the Self-Assessment

The overall objective of undertaking the participatory self-assessment and preparing this R-Package is to assess REDD+ preparedness of the Government of Ethiopia.

Specific objectives are the following:

- Assess progress made to date and identify gaps and areas requiring further action;
- Consolidate ownership and commitment of stakeholders on REDD+ through a participatory assessment of Ethiopia's readiness status; and
- Inform global and national stakeholders on initiatives related to REDD+ in the country
- Obtain feedback and guidance from the international community concerning Ethiopia's readiness

2.2 Self-Assessment Process, Data Collection and Analysis

2.2.1 The Participatory Self-Assessment Process

Ethiopia's readiness self-assessment has followed the following process.

- Detailed Plan for R-Package preparation was made in collaboration with Technical Working Group members from May 15-17, 2017;
- Effort was made to examine and understand the Readiness Assessment Framework of the FCPF
- Review of R-package documents of different countries (Ghana, Nepal, Costa Rica, and Mexico) was made;
- An exercise to customize readiness the 58 of FCPF diagnostic questions for Ethiopia (54 questions) to reach at readiness evaluation against the 34 criteria;
- Stocktaking on achievements in readiness (documents, systems established, capacity development) was made;
- Identification of stakeholders for the self-assessment (federal government, REDD+ TWG members, regional governments (including regional REDD+ Coordination units, members of regions RTWGs from four regions), NGOs/CSOs, National REDD+ Secretariat) and inviting them to the Self-Assessment Workshop that was held from June 9-11, 2017;
- The workshop was officially opened by HE Dr Gemedo Dalle, Minister Ministry of Environment, Forest and Climate Change (Figure 2).



Figure 2: HE Dr Gemdo Dalle making opening speech at the Self-Assessment Workshop

- Presentation of the Readiness Assessment Framework and progress on readiness with details on achievements against the 34 criteria for readiness assessment to stakeholders at the national workshop for self-assessment;



Figure 3: Partial overview of participants at the Self-Assessment workshop

- Undertake self-assessment in five stakeholder groups (federal government, regional governments, NGOs/CSOs, federal RTWG, and National REDD+ Secretariat) guided by facilitators (a chair and secretary for each group selected by the respective groups) from June 9-14, 2017;



Figure 4: A stakeholder group undertaking the Self-Assessment

From 18 -23 of June 2017- R-Package Compilation Meeting, and did the following:

- Analysis of achievements (what is in stock) in readiness, gaps/weaknesses, and areas for improvements and organizing in a summary matrix (Annex1);
- Converting color ranking of performance against 34 diagnostic criteria and grouped within the nine subcomponents; and
- For R-package participatory compilation, the chair or secretary of each stakeholder group was involved in addition to the REDD+ Secretariat staff.

2.2.2 Methods of data collection and analysis

Data on self-assessment were gathered from five stakeholder groups: federal government, regional governments, NGOs/CSOs, federal RTWG, and National REDD+ Secretariat at a workshop held from June 9-11. Readiness Progress was ranked by the stakeholders using a four color “traffic light” system against 54 questions, which were summarized against the 34 criteria and nine subcomponents. Each color code was given quantitative value: 4 for Green, 3 for Yellow, 3 for Orange, and 1 for Red. Green indicates significant progress achieved, Yellow indicates progress well, but further progress required; Orange indicates further progress required, and Red indicates not yet demonstrating progress. Then the color scores collected from the stakeholder groups were summarized for 34 criteria and 9 subcomponents using the weighted average analysis.

For ease of summarizing the results, stakeholders were notified that the traffic light systems were weighted with numbers with 4 corresponding to **Green**, 3 to **Yellow**, 2 to **Orange**, and 1 to **Red**. In summarizing assessment results for the 34 criteria from the five groups and the nine subcomponents, weighted averages were converted to color coding as follows:

- Values greater than or equal to 3.5 = ‘green’
- Values greater than or equal to 2.5 to less than 3.5 = ‘yellow’
- Values greater than or equal to 1.5 to less than 2.5 = ‘orange’

- Values less than 1.5 = ‘red’

3. REDD+ Readiness Self-Assessment Results

3.1 Component 1: Readiness Organization and Consultation

3.1.1 Progress and Major Achievements on Component Organization and Consultation

Component 1-Readiness organization and consultation consists of 2 sub components; 1a) The National REDD + Management Arrangements and 1b) Consultation, Participation and Outreach, both of which scored Green. Detailed description of progress is presented by the two subcomponents.

3.1.2. Results of Self-assessment for the Component Organization and Consultation

This component scored 6 Green and 4 Yellow. Thus, overall assessment of the entire Component 1 is significant progress has been demonstrated and documented, although some work remains. Detailed scores by five stakeholder groups and overall average score for the two subcomponents under this major component are presented in Table 2. Achievements, gaps and areas for further action are detailed in Annex 2.

Table 2: Color scores by five stakeholder groups and combined scores for the Component Organization and Consultation

Component/Sub Component	Assessment criteria	Stakeholders and combined scores in traffic light					
		NRS	NTWG	Regional government	Federal Government	NGO	Combined
1. Readiness Organization and Consultation							
1a. National REDD+ Management Arrangements	(1) Accountability and transparency						
	(2) Operating mandate and budget						
	(3) Multi-sector coordination mechanisms and cross-sector collaboration						
	(4) Technical supervision capacity						
	(5) Funds management capacity						
	(6) Feedback and grievance redress mechanism						
1b. Consultation, participation, and Outreach	(7) Participation and engagement of key stakeholders						
	(8) Consultation processes						

Component/Sub Component	Assessment criteria	Stakeholders and combined scores in traffic light					
		NRS	NTWG	Regional government	Federal Government	NGO	Combined
	(9) Information sharing and accessibility of information						
	(10) Implementation and public disclosure of consultation outcomes						

Details on achievements, gaps and areas for action are presented in [Annex 2](#).

3.1.2.1 Progress and Major Achievements on Management Arrangements

Operationalized REDD+ management arrangements: The national and subnational management mechanisms have been established (Figure 5), and are operating in a transparent, open and accountable manner. The Ministry of Environment, Forest and Climate Change (MEFCC) takes the high level leadership roles, and hosts the National REDD+ Secretariat, which is the prime unit for coordination of REDD+ readiness and implementation. The National REDD+ Steering Committee (SC) which comprises relevant and key ministries and institutions (Ministry of Environment, Forest and Climate Change, Ministry of Agriculture and Natural Resources; Ministry of Water, Irrigation and Electricity; Ministry of Children, Youth and Women's; Wildlife Conservation Authority, Regional Agriculture Bureaus from 7 Forested and High Forest Potential Regions, Ethiopian Broadcasting Corporation, Wondo Genet College of Forestry and Natural Resources, Ethiopian Environment and Forest research Institute). Federal REDD+ Technical Working Group, REDD+ Strategy Task Force, Safeguards Taskforce, and MRV Taskforce have been created and provided technical guidance during the readiness. In all pilot regional states, Oromia, Amhara, Tigray and SNNP, Regional Coordination Units, Regional Steering Committees (RSCs) and regional TWGs have also been established and made operational.

TWGs and TFs provide technical support with the involvement of technical experts from relevant ministries, institutions, academia, NGOs and community based organizations such as CIFOR, GGGI, Farm Africa, CCF, ECFF, ILCA, EWNRA, HoAREC&N, Bale/ Chilimo Forest users union representatives). Task force members are subsets of the National TWG, each member assigned to each task force taking into consideration his/her professional background and potential technical contribution to each task force. Particularly, the task forces have been extremely involved in the evaluation of inception reports and validation of all technical studies and ensuring quality of the reports. The management arrangements (SC, RTWGs and TFs) have undertaken timely meetings. REDD+ Learning Network to inform and work together on REDD+ process with non-government actors. The budget and logistical support both for federal and regional SCs and TWGs meetings are provided by the REDD+ Secretariat after approval by the

REDD+ Steering Committee. The committees have their own terms of references including mode of operations agreed on their first meetings to help them operate effectively.

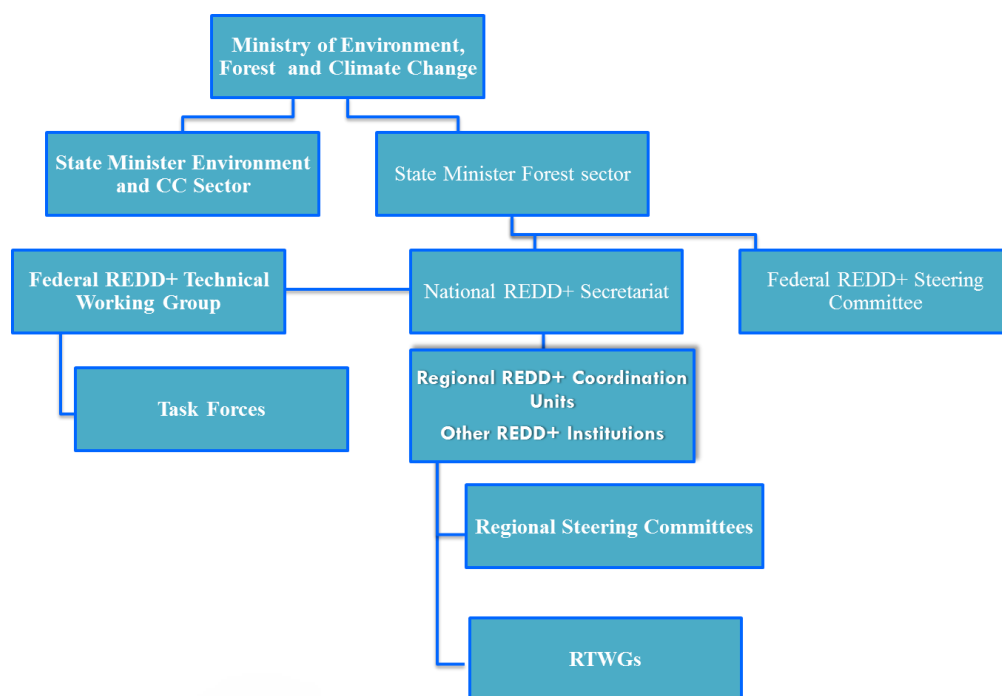


Figure 5 REDD+ management arrangements during readiness

Federal SC and TWG held at least one regular meeting per year over the last four years. Similarly, the 3 TFs had each at least three regular meetings per year. Regional RSCs and TWGs had also at least 2 meetings per year since their establishment.

Technical Supervision and Fund Management: The National REDD+ Secretariat (NRS), dedicated to coordination and implementation of readiness activities (and now in implementation phase), has been fully staffed (14 staff) with well qualified professionals that can deliver the required results (Table 3). The Regional REDD+ Coordination Units (RCUs) are also staffed and are operating. The National REDD+ Secretariat has been administering FCPF’s US\$3.6 million and BioCarbon Fund’s US\$ 10 million additional grants. The Secretariat applies the World Bank’s financial and procurement guidelines for managing the financial and procurement activities to guarantee financial management and transparency. The funds and procurement management capacity of the fiduciary staff has been well demonstrated through 4 clean audit reports issued from 2013-2016.

Table 3: REDD+ staff at federal and regional levels

	Position/Grade	Number of staff
1	National REDD+ Coordinator	1
2	National REDD+ Pilots Coordinator	1
3	Regional REDD+ Coordinators	4
4	Technical Experts: 7 Foresters at regional level, regional, 2 Environment Safeguards Specialists – federal and ORCU, 2 Social development Specialists – federal and ORCU	11
5	Fiduciary Experts 2 M&E Specialists-national and ORCU, 6 Financial Management Specialists- 2 at federal and 4 at regional level, 2 Procurement Specialists- 1 federal and 1 ORCU, 2 Communications Specialist- 1 federal and 1 ORCU, 1 Administration Officer-federal	13
6	Secretary-Cashiers	5
7	Drivers	10
8	Office Messengers	2
Total		47

The disbursement rate for the FCPF grant is 100%; and for the Additional grant, it is 74% (grant period extended until June 30, 2018).

Ethiopia has also been working hard to mobilize resources for REDD+ implementation. World Bank has granted the Oromia Forested Landscape Program (OFLP) US\$ 18 million, and additional up to US\$ 50 million for results based payment against verified emission reduction. Under the framework of the bilateral REDD+ Partnership Agreement, the Royal Norwegian government is also funding a REDD+ Investment Program worth US\$100 million, out of which, US\$80 million is allocated for MEFCC for the implementation of the REDD+ Investment Project (RIP) to be carried across 5 regional states.

The Ethiopia government has established a CRGE facility to pool funding from various sources (including donors) to support the implementation of the CRGE strategy, within which REDD+ program is embedded.

Grievance Redress Mechanism (GRM): Ethiopia has prepared the Grievance Redress Mechanism (GRM) with clear roles and responsibilities of relevant institutions. The country's GRM system involves Ethiopia Institute of Ombudsman and all relevant traditional and formal institutions at various levels. In connection with the REDD+ activities, the safeguard instruments have also integrated the grievance redress mechanism in each document.

Some of the gaps in this sub-component are:

- Low representation of women and private sector in different REDD+ management arrangements
- Lack of predictable and sustainable finance for REDD+ strategy implementation
- Inadequate commitment of key line ministries at federal level affecting multi-sector coordination

3.1.2.2 Results of Self-assessment for the Sub-component Management Arrangements

Stakeholders' rating and overall rating for this subcomponent is **Green**. Thus, overall assessment of the subcomponent 1 is that significant progress has been demonstrated, although some work remains such as strengthening multi-stakeholder coordination and involving more women and private sector in management arrangements.

Detailed scores by five stakeholder groups and overall average score for the two subcomponents under this major component are presented in Table 4. Achievements, gaps and areas for further action are detailed in Annex 2.

Table 4 Color scores for Subcomponent Management Arrangements

Component/Sub Component	Assessment criteria	Scores given by stakeholders					
		NRS	NTWG	Regional government	Federal Government	NGO	Combined
2. Readiness Organization and Consultation							
1a. National REDD+ Management Arrangements	(1) Accountability and transparency						
	(2) Operating mandate and budget						
	(3) Multi-sector coordination mechanisms and cross-sector collaboration						
	(4) Technical supervision capacity						
	(5) Funds management capacity						
	(6) Feedback and grievance redress mechanism						

Areas requiring action are:

- Predictable, sustainable and adequate finance: Ethiopia is striving to mobilize resources from multilateral and bilateral cooperation and through its domestic climate finance facility otherwise known as the CRGE facility. However, to ensure sustainable and adequate finance for the implementation of REDD+ strategy, more effort should be made to on one hand, mainstream the strategy to regular government programs and plans with adequate budget, while on the other, mobilizing resources from more development partners by creating government-donor platform through regular meetings and interactions;
- Strengthening multi-stakeholder coordination: The coordination institutional mechanisms have been created and effort has been exerted to engage stakeholders from various key ministries, and regional states during readiness. But level of engagement and commitment has not been adequate. Multi-stakeholder coordination becomes more important during the implementation of REDD+ as this demands joint planning, implementation and monitoring;
- GRM: Demonstration of the GRM should be given priority in early moving REDD+ program such as OFLP and RIP, and make refinements as required.
- More engagement of local communities: A lot of effort has been made to engage local communities in REDD+ discourse, particularly in the Oromia region, but more efforts should be exerted to engage local communities using various formats and channels of communication such as community radios;
- Harmonizing inconsistencies and gaps in policies in agriculture and forest sector: Conflict between forest protection and agriculture investment identified during the readiness. More effort should be made to integrate REDD+ strategy options on relevant development sectoral policies (such as forest protection and agricultural investment) by mainstreaming it in sectoral plans through the National Planning Commission after endorsement by MEFCC and the Commission. Action required in this area is that there should be an agreed time line to discuss and reach consensus with relevant stakeholders (e.g., Horticulture and Agricultural Investment Authority) on policy/legal inconsistencies;
- Gaps on land use, tenure, PFM and carbon benefits have also been identified. Some measures being made to reform legal framework for forestry development. The revised forest proclamation addressed issues such as PFM implementation- community forest ownership, and inadequate benefits from PFM participation, carbon rights, etc. A new initiation at prime minister's office is also dealing with land use plan and policy on land use, forest tenure, and carbon rights. Action required is speeding up the process of ratification of the forest proclamation by the parliament;
- Environmental Impact Assessment (EIA) implementation gaps: Conflict of interest exists in the current institutional arrangement and mandates for EIA implementation. Discussion is going on for rectifying the issue of revoking EIA mandates from development ministries back to the regulatory institution (MEFCC); and
- Gaps at technical level: The development of web portal, REDD+ registry for information exchange, Benefit Sharing Mechanism (BSM), and National Guideline for REDD+ Implementation, demonstration of the MRV systems on pilot scale, developing and institutionalization SIS are gaps that must be addressed during the readiness period- until June 2018.

3.1.2 Subcomponent: 1b. Consultation, Participation, and Outreach

3.1.2.1 Progress and Major Achievements on Consultation, Participation and Outreach

Stakeholder engagement: The REDD+ readiness has been built upon the rationale of participation as a core cross-cutting issue, specifically for ensuring that the perspectives and concerns of relevant stakeholders (e.g. forest dependent people-FDP) and other key stakeholders. These stakeholders should be given particular consideration in the decision-making process. The full, effective and on-going participation of key stakeholders has been ensured through a complete stakeholders mapping during the R-PP process and later revised and expanded at the beginning of the R-PP implementation. The stakeholders are fully engaged in the different REDD+ institutional mechanisms including, but not limited to, steering committee, task forces, and technical working groups at federal, regional levels and REDD+ learning network. Management arrangements are gender –sensitive as much as possible. The Ministry of Youth, Children and Women are represented in the national REDD+ Steering Committee and Oromia REDD+ Steering Committee. With regard to involving local communities, the Oromia Forested landscape Program has members representing the forest dependent community in the technical working group.

Consultation and Participation Plan (C&P Plan): Ethiopia’s R-PP emphasized the need for effective consultation of stakeholders and the C&P plan provides the advantage of incorporating the voices and views of the often voiceless and underserved communities into the design of strategic options for addressing drivers of deforestation and forest degradation; thereby avoiding REDD+ implementation based solely on the assumptions of professionals. The guiding principle behind the C&P plan is to put in practice the free, prior informed consultation of stakeholders that could be affected by any decision making related to REDD+ design and implementation. Consultations are guided by the C&P plans prepared for the national REDD+ readiness process and for OFLP.

Major consultations and awareness raising events: Several awareness raising and consultations were held during readiness through planned workshops, as part of implementation of the technical studies (fieldwork, validation workshops, etc), on platforms created by MEFCC, during the OFLP design process, during four regional REDD+ conferences in collaboration with NGOs, and REDD+ strategy consultations. REDD+ awareness raising programs were held in across all of the nine regional states, and two city administrations for 350 participants. Woreda level consultations were made with 200 experts in 8 Woredas. REDD+ Secretariat used the platforms created by MEFCC (e.g., quarter meetings with regions, programs with parliamentarians) as an opportunity to raise awareness on REDD+ for parliamentarians and federal and regional official and experts. Joint workshops were organized with CSOs such as Ethiopian Forestry Society and Biological Society of Ethiopia, and used the event to raise awareness on REDD+.

Consultations were held in 26 Woredas and 52 Kebeles/communities during the preparation of the safeguards instruments, reaching 936 people (see annex in SESA document). Further, during the implementation of the drivers study, experts and community members in 13 Woredas were consulted. National stakeholders were consulted on validation workshops organized for safeguards and drivers studies to provide feedback and technical guidance during the inceptions, midterm and final reports.

Extensive consultations were held particularly during the design of OFLP reaching 343, 000 people (officials, experts, community members, etc) (see summary of consultation report from ORCU on REDD+ website). One federal level (Bahir Dar) and four regional REDD+ Conferences were planned in 2015/16 FY and implemented in Amhara (Dessie) Tigray (Mekelle), Oromia (Adama) and SNNP (Hawassa) regional states reaching 300 people. These conferences were organized in collaboration with Farm Africa-SOS Sahel, Ethio-wetlands and World Vision-Ethiopia to capture early lessons from REDD+, PFM, CDM ongoing initiatives.

Further, two federal level consultation workshops on REDD+ strategy (one for government actors, and one for non-government actors) were held in May 2017. Similar consultations on REDD+ strategy were held in four regional states: Amhara (Bahir Dar), Tigray (Wukro), Oromia (Adama) and SNNP (Hawassa).

During readiness, four major international exposure visits (Indonesia (11), Brazil (2), Mexico (22), South Korea/China (13), and also international meetings were supported in Oslo (7), Italy (3). Sixty participants including regional presidents, ministers, higher officials and senior experts were supported with the aim of gathering international experience, particularly in countries that are advanced in forestry development or REDD+ design and implementation. Besides, readiness grant has also been used to support 25 stakeholders to participate in intentional climate conferences (COPs 20, 21, 22).



Figure 6 High level delegation in South Korea and China (March 2016)

Communications and Outreach: Electronic and print media were widely used for awareness raising on REDD+. A series of TV and radio programs have been broadcast to reach out to millions of Ethiopia on REDD+ issues, particularly informing the population on drivers of deforestation and strategies to address these drivers. Six radio stage talk shows (transmitted in seven local language that were broadcast in Amharic, Oromifa, Tigrigna, Afarigna and Somaligna, Sidamagna, and Wolaita); two live talk shows, short radio spots transmitted at peak time in Amharic for over seven months (five spots per week) and also in Oromifa; TV Question

& Answer program on REDD+ and related issues and several interviews to radio and TV about climate change, REDD+ and Forest have been utilized to reach millions of people. SMS text message was transmitted to about 12 million mobile phone clients in the country in 2015 during tree planting season.

Print media in various languages have also been used to inform the local communities and the general stakeholder (brochures, flyers, roll-ups, calendars, T-shirts/caps, key holders, pens, post cards, note books). 7,000 copies of brochures in Amharic, Afan Oromo and English, 1,000 booklets, 2,500 notebooks, 1,000 pens, 100 REDD+ logo stickers, 2,500 new year postcards, 2,500 wall calendars, 9,782 T-shirts, 9,550 caps and 230 key holders all with REDD+ logo and message have been prepared and distributed in various REDD+ events from national to local level awareness creation events and other incidences. Again now in 2017, we produced 5750 posters- in Amharic 3500, Oromifa 1500, Tigrigna 500 5750. We also produced and distributed 2750 brochures-ures 2000 in Amharic, 500 in Oromifa, 250 in Tigrigna as well as 28 roll-up. Website (www.ethiopiared.org) and blog (reddplusethiopis.wordpress.com) are also designed to inform the literate including the global community on REDD+ issues and Ethiopia's readiness. To encourage sustained discourse on REDD+ short term ToTs for over 250 experts and integration of REDD+ course in the curricula of three universities has been accomplished. For further consultations, awareness and outreach, particularly targeting local communities, a Communications strategy has been finalized recently.

3.1.2.2 Results of Self-assessment for the Sub-component Consultation participation and Outreach

Stakeholders' rating and overall rating for this subcomponent is **Green** as shown in Table 5 below, Details on achievements, gaps and areas for further action are shown in Annex 2.

Table 5: Color scores given by five stakeholder groups and combined for subcomponent Consultation Participation and Outreach

Component/Sub Component	Assessment criteria	Scores given by traffic light					
		NRS	NTWG	Regional government	Federal Government	NGO	Combined
1. Readiness Organization and Consultation							
1b. Consultation, participation, and	(7) <i>Participation and engagement of key stakeholders</i>						
	(8) <i>Consultation processes</i>						

Component/Sub Component	Assessment criteria	Scores given by traffic light					
		NRS	NTWG	Regional government	Federal Government	NGO	Combined
Outreach	(9) Information sharing and accessibility of information						
	(10) Implementation and public disclosure of consultation outcomes						

Gaps identified and areas requiring further action include the following:

- Limitation in dissemination of information to grassroots and the wider community in mass; and
- More engagement of local communities: A lot of effort has been made to engage local communities in REDD+ discourse, particularly in the Oromia region, but more efforts should be exerted to engage local communities using various formats and channels of communication such as community radios.

3.2 Component 2: REDD+ Strategy Preparation

3.2.1 Progress and Major Achievements on Preparation of REDD+ Strategy

Component 2- REDD+ strategy preparation consists of 4 sub components; 2a) Assessment of land use, land use change drivers, forest law, policy and governance; (2b) REDD+ strategy options; (2c) implementation framework, and (2d) Social and environmental impacts.

At this stage, Ethiopia has prepared the final draft REDD+ strategy, and received rich feedback from 6 national and subnational consultations held from May-June 2017. The strategy was mainly built up on five analytical studies undertaken and further spatial analysis made in the national MRV project. Major analysis and assessments made include (see documents at <https://ethiopiared.org/redd-readiness/r-package-ethiopia/>).

1. Study on in-depth analysis of drivers of deforestation and degradation, barriers for afforestation and reforestation and strategy options for addressing those (studies conducted at national level and in Oromia regional state-early moving REDD+ piloting region);
2. Analyses of legal and institutional frameworks for REDD+ implementation conducted at national and regional (Oromia) levels;
3. Assessment on land use land cover in 2013 and mapping forest-non-forest areas in the country
4. Analysis of land use change (deforestation and afforestation) from 2000 to 2013.

The REDD+ also benefited from discussions and assessments made during the R-PP and CRGE strategy preparation processes.6. BSM analysis is being made for the OFLP At policy level, REDD+ strategy is embedded in the CRGE strategy (see Box 1 on strategic features of the

national REDD+ strategy). Prioritization of direct and indirect drivers was done based on relevance to national plans, and carbon, livelihoods, biodiversity and watershed impacts. There is a clear and logical link between drivers and REDD+ strategic options. Consultations on REDD+ strategy resulted in more refined prioritization of drivers and strategy options.

The national REDD+ strategy has been prepared in a participatory manner. Selection and prioritization of strategic options was guided initially by strategic levers indicated in the CRGE strategy (relevance to national plan). Further, selection and prioritization of REDD+ strategy options were discussed and refined in the design of the early REDD+ programs such as Oromia Forested Landscape Program (OFLP) and the REDD+ Investment Program (RIP). Required safeguards instruments (SESA, ESMF, RPF, and PF) have been completed and integrated in the REDD+ strategy. Six national and regional level consultations were held to refine prioritization of the drivers and strategic options, after the analytical studies at national and Oromia region levels provided proposals on these themes. Further, inputs from the REDD+ Strategy TF and international stakeholders at COPs 20 and 21 were incorporated in the early versions of the strategy.

In this subcomponent, activities related to implementation framework such as BSM, REDD+ Implementation Guideline (OFLP PIM exists), carbon registry for registration of carbon projects and carbon credits have yet to be completed during the rest of the readiness period- until June 2018.

3.2.2 Results of Self-assessment for the Component 2 – Preparation of REDD+ Strategy

The three subcomponents have been rated **Green**, except the implementation framework which scored **Yellow**. Among 15 criteria under this Component, stakeholders rated 10 of them **Green** and 5 of them **Yellow**. In general, Ethiopia achieved significant progress in this component, but more work is needed on implementation framework. Detailed scores by five stakeholder groups and overall average score for the four subcomponents under this major component are presented below (Table 6).

Achievements, gaps and areas for further action related to preparation of the REDD+ strategy are detailed in Annex 2.

Table 6: Color scores by stakeholder groups and combined national for the Component-Preparation of REDD+ strategy

Component/Sub Component	Assessment criteria	Scores given by traffic light					
		NRS	NTWG	Regional government	Federal Government	NGO	Combined
2. REDD+ Strategy Preparation							
2a. Assessment of Land use, Land use Change Drivers, Forest Law,	(11) Assessment and analysis of land use trends						
	(12) Prioritization of direct and						

Component/Sub Component	Assessment criteria	Scores given by traffic light					
		NRS	NTWG	Regional government	Federal Government	NGO	Combined
Policy and Governance	<i>indirect drivers/ barriers to forest carbon stock enhancement</i>						
	<i>(13) Links between drivers/barriers and REDD+ activities</i>						
	<i>(14) Action plans to address natural resource rights, land tenure, governance</i>						
	<i>(15) Implications for forest law and policy</i>						
2b. REDD+ Strategy Options	<i>(16) Selection and prioritization of REDD+ strategy options</i>						
	<i>(17) Feasibility assessment</i>						
	<i>(18) Implications of strategy options on existing sectoral policies</i>						
2c. Implementation Framework	<i>(19) Adoption and implementation of legislation/regulations</i>						
	<i>(20) Guidelines for implementation</i>						
	<i>(21) Benefit sharing mechanism</i>						
	<i>(22) National REDD+ registry and system monitoring REDD+ activities</i>						
2d. Social and Environmental Impacts	<i>(23) Analysis of social and environmental safeguard issues</i>						
	<i>(24) REDD+ strategy design with respect to impacts</i>						
	<i>(25) Environmental and Social</i>						

Component/Sub Component	Assessment criteria	Scores given by traffic light					
		NRS	NTWG	Regional government	Federal Government	NGO	Combined
	<i>Management Framework</i>						

Critical gaps in this component and actions required:

- Harmonizing inconsistencies and gaps in policies in agriculture and forest sector: Conflict between forest protection and agriculture investment identified during the readiness. More effort should be made to integrate REDD+ strategy options on relevant development sectoral policies (such as forest protection and agricultural investment) by mainstreaming it in sectoral plans using the National Planning Commission. Action required in this area is that there should be an agreed time line to discuss and reach consensus with relevant stakeholders (e.g., Horticulture and Agricultural Investment Authority) on policy/legal inconsistencies;
- Gaps on land use, tenure, PFM and carbon benefits have also been identified. Some measures being made to reform legal framework for forestry development. The revised forest proclamation addressed issues such as PFM implementation- community forest ownership, and inadequate benefits from PFM participation, carbon rights, etc. A new initiation at prime minister's office is also dealing with land use plan and policy on land use, forest tenure, and carbon rights. Action required is speeding up the process of ratification of the forest proclamation by the parliament; and
- EIA implementation gaps: Conflict of interest exists in the current institutional arrangement and mandates for EIA implementation. Discussion is going on for rectifying the issue of revoking EIA mandates from development ministries back to the regulatory institution (MEFCC).
- Gaps at technical level: The development of web portal, REDD+ registry for information exchange, BSM, and National Guideline for REDD+ Implementation that must be addressed during the readiness period- until June 2018.

3.2.1 Subcomponent 2a: Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance

3.2.1.1 Progress and Major Achievements on Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance

A number of analytic studies and spatial analyses have been undertaken during readiness.

- Study on in-depth analysis of drivers of deforestation and degradation , barriers for afforestation and reforestation and strategy options for addressing those (studies conducted at national level and in Oromia regional state-early moving REDD+ piloting region)
- Analyses of legal and institutional frameworks for REDD+ implementation conducted at national and regional (Oromia) levels

- Assessment on land use land cover in 2013 and mapping forest-non-forest areas in the country
- Analysis of land use change (deforestation and afforestation) from 2000 to 2013.

Study on in-depth analysis of drivers of deforestation and degradation and strategy options for addressing those: This study is major milestone of the REDD+ strategy and future REDD+ actions rely on the strategy options recommended from the study. An international firm in consortium with local firms took the technical assessment at the national level and while another assessment was also made in Oromia regional state with similar arrangement. The outcome of these studies on the direct and indirect causes of deforestation and forest degradation were discussed and validated with the involvement of wider stakeholders particularly REDD+ strategy task force and RTWG. The national-wide study reports identified the direct causes of drivers of deforestation and forest degradation as well as barriers for A/R, and identified strategy options for addressing both underlying and direct causes. The studies also quantitatively analyzed the carbon impact of drivers under the business- as-usual scenario. The systematic link of the drivers for deforestation and forest degradation with the scope of REDD+ activities are thoroughly analyzed in this study. The findings of the study were key inputs for the preparation of the national REDD+ strategy (please refer the national study report at: <https://ethiopiared.org/wp-content/uploads/2017/06/National-study-on-drivers-of-deforestation-and-forest-degradation-ethiopia-final.pdf> against criteria 11.

Analysis of legal and institutional framework for REDD+ implementation: The two analyses made by an international firm in consortium with local firms has assessed the existing legal and institutional framework, identified gaps and recommends actions to address the gaps.

Key findings include:

Critical legal and institutional gaps for REDD+ implementation identified such as:

- Conflict between forest protection and agriculture investment
- EIA implementation gaps identified
- PFM implementation gaps such as lack of community forest ownership in the existing forest proclamation, and inadequate benefits to PFM participant community and poor and legally unsupported BSM
- Gaps on land use, forest tenure, and carbon rights.
- Conflict of interest exists in the current institutional arrangement and mandates for EIA implementation (see the report at: <https://ethiopiared.org/wp-content/uploads/2017/06/20150511-Legal-and-institutional-alalysis-Final-Report-NATIONAL-Clean.pdf>).

3.1.2.2 Results of Self-assessment for the Subcomponent Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance

Out of five criteria for this subcomponent 4 have been rated **Green** and one **Yellow**.

Ethiopia achieved significant progress in this subcomponent. Detailed scores by five stakeholder groups and overall average score for this subcomponent is presented below (Table 7).

Achievements, gaps and areas for further action related to preparation of the REDD+ strategy are detailed in Annex 2

Table 7: Color scores by stakeholder groups and combined national for the Subcomponent Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance

Component/Sub Component	Assessment criteria	Scores given by traffic light					
		NRS	NTWG	Regional government	Federal Government	NGO	Combined
2. REDD+ Strategy Preparation							
2a. Assessment of Land use, Land use Change Drivers, Forest Law, Policy and Governance	(11) Assessment and analysis						
	(12) Prioritization of direct and indirect drivers/ barriers to forest carbon stock enhancement						
	(13) Links between drivers/barriers and REDD+ activities						
	(14) Action plans to address natural resource rights, land tenure, governance						
	(15) Implications for forest law and policy						

3.2.2 Sub-Component 2b: REDD+ Strategy Options

3.2.2.1 Progress and Major Achievements on Strategic Options

The findings/results of four technical studies are key inputs for identification and prioritization of the strategy options. Relevance for national development, poverty alleviation, carbon impact and biodiversity and livelihoods impact were considered as criteria for prioritization and selection of strategy options. Refinements on linking drivers with strategic options were made during six REDD+ strategy consultation workshops held at national and regional levels. Selection and prioritization of strategy options has also been demonstrated in the design of the early REDD+ programs- OFLP and RIP.

Feasibility assessment on strategic options have been undertaken in the technical studies and the focus has been on proven models such PFM, afforestation/reforestation, improved cook stoves, commercial and small holder forestry, climate smart crop production and climate smart livestock husbandry.

Strategic options for addressing underlying drivers has also been identified that include work on land use policy and plan, addressing policy disharmony between forest protection and agriculture investment as well mandate problem on EIA implementation. Legal issues are also being considered in the revised forest proclamation.

3.2.2.2 Results of Self-assessment for the Subcomponent Strategic Options

Out of three criteria for this subcomponent two have been rated **Green** and one **Yellow**. Generally, significant progress has been achieved in this subcomponent receiving **Green** score.

Detailed scores by five stakeholder groups and overall average score for this subcomponent is presented below (Table 8).

Achievements, gaps and areas for further action related to preparation of the REDD+ strategy are detailed in Annex 2.

Table 8: Color scores by stakeholder groups and combined national for the Subcomponent: Strategic Options

2. REDD+ Strategy Preparation							
2b. REDD+ Strategy Options	(16) Selection and prioritization of REDD+ strategy options						
	(17) Feasibility assessment						
	(18) Implications of strategy options on existing sectoral policies						

Box 2 A Phased Approach to REDD+ Strategy Implementation

With a timeframe of 15 years, the NRS implemented in phases, is designed to realizing objectives of the forestry sector's potential contribution to climate change mitigation (50% of the total national emissions reduction in 2030) in a realistic planning and implementing of REDD+ PAMs. Thus, although the NRS eventually is implemented at national scale, Ethiopia will initially prioritize REDD+ PAMs for addressing deforestation in hotspot areas and restoration along natural forest areas. Accordingly, the strategic period for implementation of the planned activities is divided into short-term, medium-term and long-term phases.

1. Phase I: Short-term implementation goals (2016-2020):

In the short term (Phase I) , the NRS focuses on preparing the national REDD+ action plan, improving enabling conditions (forest legislation, land allocation, MRV, financing, forest extension, inter-sectoral coordination and institutional capacity) for REDD+ implementation, operationalizing the national forest monitoring system, mobilizing non-results based (upfront) investments, and designing and implementing prioritized REDD+ policies, actions and measures in order to achieve a 25% reduction in national deforestation rate, while consolidating experiences for forest restoration.

2. Phase II: Medium-term implementation goals (2021-2025):

In the medium term, NRS will focus on increased investments and scaling up REDD+ PAMs at national scale and starts operationalizing results based payment (RBP) at sub-national levels. The main target in this period is to bring net deforestation to zero (i.e., rates of deforestation and afforestation will be equal).

3. Phase III: Long-term implementation goals (2026-2030):

This phase rolls out REDD+ PAMs at full national scale and operationalizes national RBPs. In this period, Ethiopia's forests and land areas will become a net carbon sink and address 50% of national emission reduction target in the CRGE strategy by 2030.

3.2.3 Sub-Component 2c: Implementation Framework

3.2.3.1 Progress and Major Achievements on Implementation Framework

Adoption of Legislation and Regulation: Ethiopia is taking measures to address some of the legal and institutional gaps for REDD+ implementation, particularly on addressing the underlying causes. The new forest proclamation and follow up regulation prepared addresses issues such as carbon trading, carbon rights, PFM, community ownership, benefit sharing. The main institutional measure the government has taken is the establishment of the Ministry of Environment, Forest and Climate Change in July 2013 empowering the forest sector's mandate and responsibilities. Forest proclamation is revised addressing issues such as carbon trading, carbon rights, PFM, community ownership, benefit sharing. Discussion on the problem of institutional arrangement and mandates for EIA implementation is going on at MEFC. Further, to address the long standing and critical issues related to land use policy and plan in the country, there is a land use plan and policy initiative at the prime minister's office level that is anticipated to result in producing master land use plan at the country level in about 2 years.

Implementation Framework: although some progress is made, with regard to Implementation Framework (Implementation Guideline, BSM, REDD+ registry), Ethiopia needs to do more. We have now a PIM at subnational level developed for implementation of OFLP. Institutional architecture for implementation and procedures for fiduciary management has also been defined for the implementation of the REDD+ Investment Program supported by Norway. Similarly, a BSM has been drafted for OFLP, but the national BSM is yet to be developed in 2017/18 FY. One interesting development is that Bale REDD+ project intends to test a BSM of its own during the 2017-2019, and lessons could be taken from this initiative. Developing procedures for approval of projects, programs and REDD+ financing modalities have yet to be developed. REDD+ registry that provides information to the public on national geo-referenced REDD+ information (e.g., information on the location, ownership, carbon accounting and financial flows for sub-national and national REDD+ programs and projects) is also not developed.

3.2.3.2 Results of Self-assessment for the Subcomponent Implementation Framework

This sub-component scored **Yellow**, meaning that progress is made but requires more work to ensure readiness.

Table 9: Color scores provided by stakeholder groups and combined nation for Subcomponent Implementation Framework

Component/Sub Component	Assessment criteria	Scores given by traffic light					
		NRS	NTWG	Regional government	Federal Government	NGO	Combined
2. REDD+ Strategy Preparation							

Component/Sub Component	Assessment criteria	Scores given by traffic light					
		NRS	NTWG	Regional government	Federal Government	NGO	Combined
2c. Implementation Framework	<i>(19) Adoption and implementation of legislation/regulations</i>						
	<i>(20) Guidelines for implementation</i>						
	<i>(21) Benefit sharing mechanism</i>						
	<i>(22) National REDD+ registry and system monitoring REDD+ activities</i>						

There are still gaps that must be addressed during readiness period (to June 2018) such as BSM at national level, REDD+ registry and addressing legal and institutional implementation barriers, and thus the following require further action:

- There should be an agreed time line to discuss and reach consensus with relevant stakeholders (e.g., Horticulture and Agricultural Investment Authority) on policy/legal inconsistencies and institutional issues (e.g., ensuring MEFCC structures at lower levels)
- More effort should have made to integrate REDD+ strategy options on relevant development sectoral policies (such as forest protection and agricultural investment) by mainstreaming it in sectoral plans using the National Planning Commission
- Speeding up the process of ratification of the forest proclamation by the parliament and
- The development of web portal, REDD+ registry for information exchange, **SBM**, and National Guideline for REDD+ Implementation should be given priority.

3.2.4 Subcomponent 2d. Social and environmental impacts

3.2.4.1 Progress and Major Achievements on Social and Environmental Impacts

This subcomponent has registered significant progress. Required REDD+ safeguard instruments have been prepared with intensive consultations with key stakeholders and local communities. During the formulation of the safeguard instruments, consultations were made in 26 Woreda and 52 Kebeles to 936 members of the community and government staff, and NGOs (see annex in the SESA document linked in the FCPF website). The consultations with community members were made separately to the youth group, women and men. The SESA and ESMF were validated by national Safeguards TF, and cleared by the World Bank. RPF and PF have also been prepared and cleared (see REDD+ Website on R-Package). All of these instruments are publicly disclosed. Similar instruments were prepared and cleared for the OFLP (<https://reddplusethiopia.wordpress.com/oromia-safeguard-instruments/>).

No major gaps have been identified in this component, except for more promotion of these instruments to the stakeholders’.

3.2.4.2 Results of Self-assessment for the Subcomponent Social and Environmental Impacts

Out of four criteria for this subcomponent all have been rated **Green**. Generally, excellent progress has been achieved in this subcomponent receiving overall **Green** score.

Detailed scores by five stakeholder groups and overall average score for this subcomponent is presented below (Table 10).

Achievements, gaps and areas for further action related to preparation of the REDD+ strategy are detailed in Annex 2.

Table 10 Color scores provided by stakeholder groups and combined nation for Subcomponent Social and Environmental Impacts

Component/Sub Component	Assessment criteria	Scores given by traffic light					
		NRS	NTWG	Regional government	Federal Government	NGO	Combined
2. REDD+ strategy preparation							
2d. Social and Environmental Impacts	(23) Analysis of social and environmental safeguard issues						
	(24) REDD+ strategy design with respect to impacts						
	(25) Environmental and Social Management Framework						

3.3 Component 3: Forest Reference Emissions Level/Reference Levels

3.3.1 Progress and Major Achievements on Forest Reference Emissions Level/Reference Levels

Because of the need to bridge up the capacity limitation of undertaking the MRV design and setting reference scenario development, the government decided to involve external institutions to assist in undertaking the activities with active involvement of the country's professionals to enhance capacity internally. The Food and Agriculture Organization (FAO) has taken the assignment to provide technical assistance with the finance from the World Bank BioCarbon Fund Technical Assistance Fund (BioCF Plus). The project agreement in technical assistance was signed in August 2014: "Implementation of a National Forest Monitoring and MRV System for REDD+ Readiness in Ethiopia".

The project consists of three major components and five outputs:

- A satellite land monitoring system to spatially track forest and land cover/land use change;
- A National Forest Inventory (NFI) that is compliant with IPCC requirements for REDD+;
- A greenhouse gas inventory for the forestry sector.

The National MRV project has since September 2014 generated data required for the construction of Ethiopia's FREL/FRL.

Forest Reference Emissions Level/Reference Levels: Ethiopia has set the forest reference emissions level/forest reference level (FREL/FRL) submitted the first version in January 2016 for UNFCCC technical assessment. The FREL/FRL was revised in August 2016 and March 2017.

Ethiopia's FRL is in the context of receiving results based payments for REDD+ implementation. The FRL includes deforestation and afforestation, AGB, BGB, deadwood and CO₂ emissions; it is national and based on a historical average of missions and removals between 2000 and 2013. The Forest Reference Emission Level for deforestation is: 17.978.735 tCO₂ /year; the Forest Reference Level for afforestation is: 4.789.935 tCO₂ /year. Activity data (AD) for deforestation and afforestation were assessed as average annual forest loss and average forest gain in hectares during this period. The process assessed two mosaics for the years 2000 and 2013 in order to observe the change that occurred in this time interval. According to the techniques and the technology currently and freely available, the AD can be updated at national scale every two years. Emission factors calculated from the NFI data have been included in Ethiopia's FREL/FRL, and it will be updated every five years when NFI will be carried out. Ethiopia adopted the following definition of forest (endorsed by the Minister) for REDD+ MRV and communicated it to the UNFCCC. *'Land spanning more than 0.5 ha covered by trees (including bamboo) attaining a height of more than 2m and a canopy cover of more than 20% or trees with the potential to reach these thresholds in situ in due course'*.

Ethiopia has followed the guidance provided by the UNFCCC through the decisions taken at the Conference of the Parties (CP), notably the modalities for forest reference emission levels and forest reference level in Decision 12/CP.17 and the guidelines for submissions of information on reference levels in the Annex of Decision 12/CP.17 and latest IPCC Guidance. This has been verified by the UNFCCC technical assessment team (see Figure 7 and Technical Assessment Reports at: <https://ethiopiared.org/redd-readiness/r-package-ethiopia/>). Ethiopia intends to take a step-wise approach to its national FRL development as indicated may be useful in Decision 12/CP.17, paragraph 10. As such, the current FRL reflects the best available information at the time of submission. Its scope and methodologies applied may be modified if better data becomes available. The historical period considered and/or the construction approach may be revised.

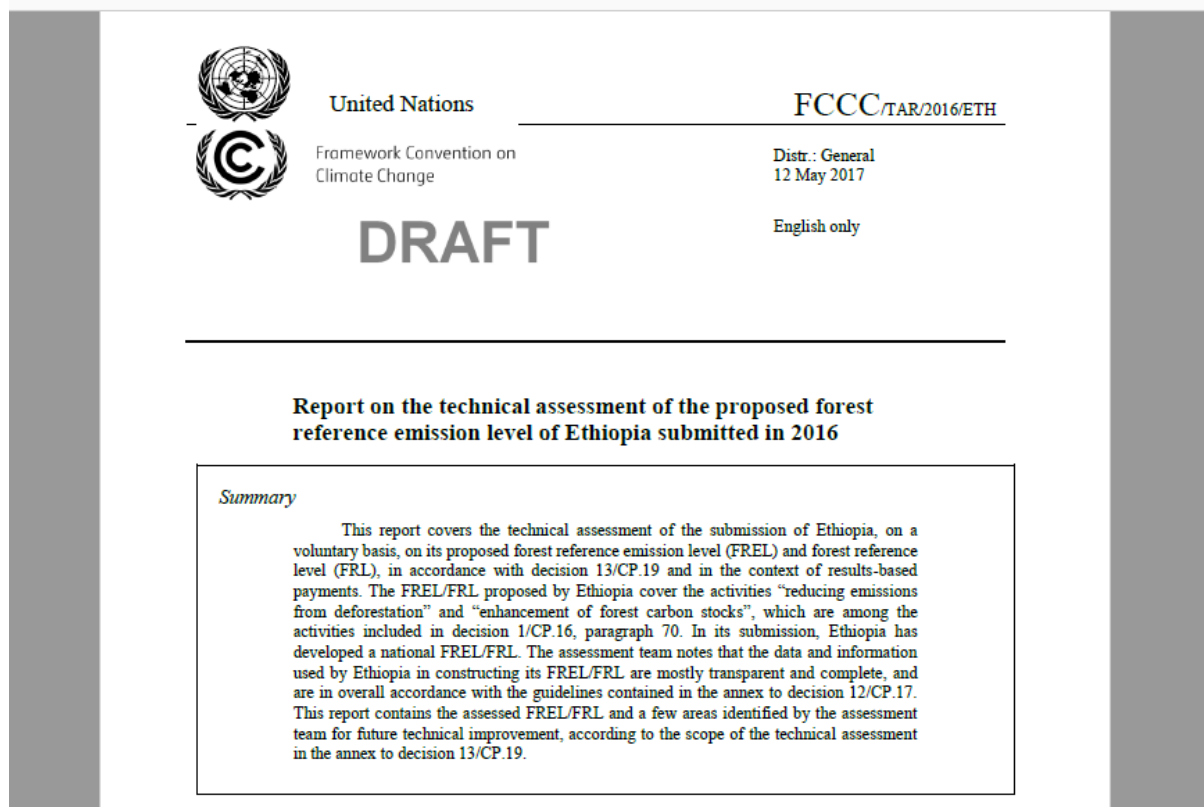


Figure 7: Summary text from the technical assessment report of the UNFCCC

This component has significant progress and it has been rated **Green** by stakeholders as Ethiopia has finalized setting its references for deforestation and afforestation, and both of which have been verified for compliance with IPCC and UNFCCC guidance.

The major achievements include:

- National FRELs/FRLs set, submitted to UNFCCC and passed through UNFCCC technical assessment;
- Ethiopia's RELs/RLs is thus verified by the UNFCCC levels for emissions and removals- transparency and completeness as well as compliance with IPCC and UNFCCC requirements verified by Technical Assessment
- FRELs/FRLs were constructed using national experts with hands-on support by FAO experts
- Methods, protocols and procedures for satellite and land based monitoring systems developed and required estimations (AD, EF, FREL/FRL)-see at <https://ethiopiared.org/redd-readiness/r-package-ethiopia/>- evidence against criteria 26)
- Training provided on FRELs/FRLs
- First version FRELs/FRLs developed for four regions (Oromia, Amhara, Tigray and SNNPR). PPTs available in Annex 1. Document preparation is going on.

3.3.2 Results of Self-assessment for the Component Forest Reference Levels

Out of three criteria for this component all have been rated **Green**. Generally, excellent progress has been achieved in this subcomponent receiving overall **Green** score.

Detailed scores by five stakeholder groups and overall average score for this subcomponent is presented below (Table 11).

Achievements, gaps and areas for further action related to preparation of the REDD+ strategy are detailed in Annex 2.

Table 11: Color scores given by stakeholder groups and combined nation for the Component: Forest Reference Levels

Component/Sub Component	Assessment criteria	Scores given by traffic light					
		NRS	NTWG	Regional government	Federal Government	NGO	Combined
3. Reference Emissions level/Reference Level							
	(26) Demonstration of methodology						
	(27) Use of historical data, and adjusted for national circumstances						
	(28) Technical feasibility of the methodological approach, and consistency with UNFCCC/IPCC guidance and guidelines						

There is no major gap in this subcomponent.

3.4 Component 4: Development of Monitoring System for Forests and Safeguards

Progress on readiness and self-assessment results are presented in the sub-components of this main component. Overall the Component has been rated as **Green** by stakeholders.

3.4.1 Sub-Component 4a: National Forest Monitoring System

3.4.1.1 Progress and Major Achievements on Monitoring System for Forests

Ethiopia has implemented the National MRV Project with FAO TA since September 2014, and a lot has been achieved so far.

- The MRV system for REDD+ program is designed to accomplish three main functions, Estimation of Emission Factors (EF): The EF function supports each strategic action for the calculation of carbon stocks.
- Activity Data (AD): The AD function supports each strategic action to elaborate the area estimates and area changes.
- Emission and Removals (ER): The ER function produces reports related to afforestation and deforestation activities

The system already established has been used to fulfill each of these functions during the construction of the FREL/FRL. The required GIS/RS lab is in place, hardware and software have been installed (detailed below), and staff have been assigned at least at federal level. That is why Ethiopia assumes that it has operationalized the MRV system.

System establishment: The achievements in this connection so far include:

- MRV Unit with the required GIS/RS and NFI facilities established at MEFCC with RS/GIS lab in place (two servers and 15 high capacity laptops, 8 staff recruited, and required software installed. To run the MRV systems independently, a series of capacity building activities are planned and being undertaken by FAO.
- Web portal is also being developed to allow Ethiopia to transparently disclose data and information (AD, EF, NFI data, etc) and as well as performance in REDD+ projects and programs. A first version will be available for MEFCC in September 2017.
- MRV Institutionalization that guides future MRV implementation has been accomplished
- Responsibilities, information flow processes and data sharing policy among all stakeholders defined and endorsed by MEFCC
- Methods, protocols and procedures for satellite and land based monitoring systems developed such as NFI Field Manual, NFI Data Analysis Protocol (see evidence in linked documents in Annex I or in REDD+ website-R-package documents)
- MRV Lab facility organized at MEFCC
- National capacity to run MRV system independently is being developed at national level with TA from FAO
- MRV capacity is being piloted in 4 regions (Oromia, Amhara, Tigray and SNNPR) MRV capacity at regional level will begin in the coming months, but will have to be developed in five years. The plan is to decentralize the monitoring responsibilities.

Also in relation to monitoring the non-carbon benefits, the following have been accomplished, but more work is required in SIS development.

- Framework document on SIS design prepared
- Roles and responsibilities in SIS stakeholders defined, but the system has yet to be designed and integrated with the MRV system.

National Forest Inventory: The national MRV Project has accomplished a National Forest Inventory (NFI) Program. The first NFI for Ethiopia was completed on 550 Sample Units (SUs), each within a description area of one square kilometer. The land use, trees, shrubs, regeneration information have been recorded (more than 50 variables) in 4 plots of 500 m² each (for a total of 2 hectares), and the first report on the inventory and analysis is being prepared. Emission factors calculated using the NFI data have been included in the first Ethiopia's FRL, and is being refined based on additional data. Ethiopia is planning to repeat the NFI in five years interval: the general strategy is to design an FI that can provide good results at national and regional levels and to decentralize the field activities.

Activity Data: The other activity accomplished using the MRV system established is calculation of AD. The Activity Data (AD) is the quantification of the areas of stable forest, stable non-forest, forest gain and forest loss. The historical period taken into consideration was 2000-2013. The AD for deforestation and afforestation were assessed as average annual forest loss and average forest gain in hectares during this period. The process assessed two mosaics for the years 2000 and 2013 in order to observe the change that occurred in this time interval. The activity data, referred to as adjusted change areas estimates, consist of new estimated areas per class (forest loss, gain, stable forest and stable non-forest) resulting from the use of an error matrix, created to correct the area estimations for the map bias. Map classification errors were identified by collecting sample point data and the summarized results used to populate the error matrix. The sample data verifies whether the map classification is correct or incorrect at the location of the sample points by visual interpretation of the point using high-resolution imagery or, when not available, by interpretation of Landsat imagery by remote sensing experts.

Furthermore, it is Ethiopia's intention to gradually account for the forest degradation assessment. A new family of satellites (Sentinel-1) would be used to extensively assess and quantify forest degradation at national and lower scales in the next years. When the assessment result is available, the forest degradation would be included in the performance measurements of the REDD+ interventions at the national and lower levels. Ethiopia plans to explore a country definition of forest degradation and its monitoring during the 2017.

This methodology uses simple technology and freely available spatial data. Thus, the AD can be updated at national scale every two years.

Land Use Land Cover Analysis: Another main activity of the MRV Unit was preparation of Land Use /Land Cover mapping, by provisional team which is now well formalized under Forest Resource Inventory and Management Directorate. Accordingly, the LULC map including forest and non-forest strata has been produced. The next step will be to update class accuracies of plantation and bamboo (both strata are included in the forest definition) by the GIS/Remote Sensing Team of the National Forest MRV Unit using the current satellite data through the

involvement of MRV stakeholders such as Ethiopian Mapping Agency (EMA) and Oromia Forest and Wildlife Enterprises.

The other completed activity using the established MRV systems is setting the forest reference level as described in the previous section.

Major gaps are:

- Plan for the monitoring phase (in terms of HR and technology update)
- Plan for the continuous capacity building (necessary to undertake the continuous technology progress)
- Further capacity development for ensuring knowledge and skills are transferred from FAO to local experts at national and subnational levels

3.4.1.2 Results of Self-assessment for the Subcomponent National Forest Monitoring System

Out of three criteria for this Subcomponent two have been rated **Green** and one **Yellow**.

Detailed scores by five stakeholder groups and overall average score for this subcomponent is presented below (Table 12).

Achievements, gaps and areas for further action related to preparation of the REDD+ strategy are detailed in Annex 2.

Table 12: Color scores given by stakeholder groups and combined nation for the Subcomponent Monitoring System for Forests

Component/Sub Component	Assessment criteria	Scores given by traffic light					
		NRS	NTWG	Regional government	Federal Government	NGO	Combined
2. Monitoring system for forests and safeguards							
4a. National Forest Monitoring System	<i>(29) Documentation of monitoring approach</i>	Green	Green	Green	Green	Green	Green
	<i>(30) Demonstration of early system implementation</i>	Green	Orange	Green	Green	Green	Yellow
	<i>(31) Institutional arrangements and capacities</i>	Green	Green	Green	Green	Yellow	Green

Major gaps and areas of improvements are:

- No demonstration of the MRV system for measuring emissions/removals attempted
- Further capacity development for ensuring knowledge and skills are transferred from FAO to local experts at national and subnational levels
- Developing and institutionalization SIS are gaps

3.4.2 Sub-Component Information System for Multiple Benefits. Other Impacts, Governance and Safeguards

3.4.2.1 Progress and Major Achievements on Information System for Multiple Benefits. Other Impacts, Governance and Safeguards

This sub-component deals with information system setup for multiple benefits, other impacts, governance and safeguards information in order to provide and disseminate in transparent manner to all stakeholders. The system is expected to capture all relevant information on multiple benefits of REDD+, its social and environmental impacts and mitigation measures and also governance related information during implementation should be channeled to and managed transparently to the wider community with appropriate and accessible information sharing mechanism.

All safeguard instruments (Strategic Environmental and Social Assessment (SESA), Environmental and Social Management Framework (ESMF), Resettlement Policy Framework (RPF) and Process Framework (PF) which identified explicitly social and environmental benefits and impacts of REDD+ and its mitigation measures and also recognized governance issues related to managing REDD+.

However, following the Cancun safeguards principles and indicators, the safeguard information system (SIS) will be prepared to setup a clear mechanism of communicating safeguard information produced during the REDD+ implementation to the wider community to ensure accountable and transparent information sharing. SIS will address how information will be made available in quantitative and qualitative ways during REDD+ implementation period including impacts on rural livelihoods, conservation of biodiversity, ecosystem service, governance factors directly pertinent to REDD+ and implementation of safeguards.

In summary the major achievements include:

- REDD+ compatible social and environmental standards Ethiopia agreed-SESA identified non-carbon benefits
- Framework document on SIS design prepared
- Roles and responsibilities in SIS stakeholders defined.

3.4.2.2 Results of Self-assessment for the Subcomponent Information System for Multiple Benefits. Other Impacts, Governance and Safeguards

This sub-component has also significant progress and it has been rated **Green** by stakeholders.

Out of three criteria for this component two have been rated **Green** and one **Yellow**.

Detailed scores by five stakeholder groups and overall average score for this subcomponent is presented below (Table 13).

Achievements, gaps and areas for further action related to preparation of the REDD+ strategy are detailed in Annex 2.

Table 13: Color scores given by stakeholder groups and combined national for the Subcomponent Information System for Multiple Benefits. Other Impacts, Governance and Safeguards

Component/Sub Component	Assessment criteria	Scores given by traffic light					
		NRS	NTWG	Regional government	Federal Government	NGO	Combined
4 Monitoring System for Forest and Safeguards							
4b. Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards	(32) Identification of relevant non-carbon aspects, and social and environmental issues	Green	Green	Green	Green	Green	Green
	(33) Monitoring, reporting and information sharing	Yellow	Yellow	Yellow	Green	Yellow	Yellow
	(34) Institutional arrangements and capacities	Orange	Green	Green	Green	Green	Green

Gaps and areas of improvements are:

- SIS not yet developed and needs attention;
- Serious attention should be given to speed up the elaboration and design of SIS; and
- SIS institutionalization and linked with NMFS/MRV system remains to be done.

4. Towards Results Based Actions (REDD+ Initiatives)

Parallel to Readiness implementation, Ethiopia has been active in initiating REDD+ Pilots. The design of Oromia Forested Landscape Program with the support of the World Bank's BioCarbon Fund and REDD+ Investment Program supported by the Royal Norwegian government are completed. These early moving REDD+ programs are now either under implementation (e.g., OFLP) or are soon to start implementation (RIP).

4.1 Oromia Forested Landscape Program

Ethiopia recognizes that natural capital drives and protects growth and prosperity. Ethiopia's current challenge is to sustain progress, building on elements of its development strategy that have worked well and that are sustainable. Oromia National Regional State holds 41 percent of the country's forest is located and where the deforestation trends are greatest, as well as where strategically critical rivers originate, and the region is known for better overall management of the natural resource base, as its degradation reduces resilience, especially among the poorest, and hinders economic opportunities.

Most of Oromia's high forest (moist montane forests) is found in the Bale landscape in the southeast and the Jimma/Wollega/Ilubabor landscape in the west. Bale serves as the water tower for Ethiopia's eastern dry lands in Oromia and the Ethiopia Somali Regional State as well as the Federal Republic of Somalia, drought vulnerable arid areas where mobile pastoralism is the predominant livelihood system. Oromia harbors globally important biodiversity with endangered endemic species such as the Abyssinian wolf and the mountain Nyala. Oromia's western forests are home to endemic coffee (*Coffea arabica*) that has high potential as a value-added export and harbor wild varieties of the species. Important rivers also originate in or are affected by Oromia's forests, including those flowing into the new Renaissance Dam, which is under construction.

Ethiopia has thus chosen Oromia region for its first REDD+ program. The Oromia Forested Landscape program (OFLP) has been in design process since 2013, and now has received a grant to start work on the ground and create enabling environment for large scale emission reduction program in the region.

The OFLP is supported programmatically by two sequenced legal agreements negotiated, approved, monitored, and reported on separately: (a) a five-year, recipient-executed trust fund (RETF) grant of US\$18 million financed by the BioCarbon Fund Plus for investment, complemented by (b) an Emission Reductions Purchase Agreement (ERPA) of up to US\$50 million over 10 years.

The lessons from OFLP are being assimilated in the REDD+ Investment Program supported by the Royal Norwegian government, which is another initiative that would be launched in July 2017.

4.2 REDD+ Investment Program

Under the Framework Agreement between the Government of Ethiopia and the Royal Norwegian Government (Phase II), this proposal marks one of the first major investments in REDD+ in Ethiopia. The four-year program would help to transform the way landscapes are managed in Ethiopia's major forest regions and – focusing on restoration in areas where forests have been lost – to reduce carbon emissions or increase removal. It will also help to reduce poverty, establish resilient livelihoods, conserve biodiversity and provide water. The Program will foster equitable and sustainable low carbon development by enhancing countrywide and local institutions; providing incentives and information to create an enabling environment for the National Forest Sector Development program implementation; REDD+ on-the-ground activities that address deforestation to reduce land-use based emissions; and enhance forest carbon stocks through afforestation, reforestation and landscape greening.

As part of the REDD+ Partnership Agreement, Norway has committed to provide US\$100 million in Phase II: US\$ 80 million will finance this program proposal through the Climate Resilient Green Economy (CRGE) Facility, while the remaining USD20 million will finance other international partners through the Royal Norwegian Embassy in Addis Ababa. The program will be implemented over four years from July 2017 to December 2020. Total funding requested is US\$ 80 million.

5. Overall conclusions

REDD+ Readiness in Ethiopia is at an advanced stage: national REDD+ strategy has been prepared, forest reference level/forest reference emissions level set and verified by UNFCCC technical assessment process, MRV system and institutionalization finalized, required safeguards instruments completed and other smaller pieces of readiness have been accomplished. Ethiopia is now in a position to submit the participatory self-assessment of its REDD+ Readiness Package (otherwise known as the R-Package) in the fulfillment of one of the key requirements for REDD+ countries engaged in the Forest Carbon Partnership Facility (FCPF) process.

The self-assessment resulted in **23 Green** and **11 Yellow** scores against the 34 criteria, while the scores were summarized at subcomponents level by weighted average the assessment yielded eight **Green**, one **Yellow** for implementation framework. Another interesting result is that there is a clear trend of significant readiness progress comparing the ranking made at the MTR that was done in November 2015 and the one that was made at R-Package: five subcomponents that scored Yellow at MTR were advanced to Green.

From the self-assessment, it was apparent that REDD+ readiness in Ethiopia is showing significant progress. However, there is a need to put significant efforts into deepening ownership at policy level beyond the forestry sector, more work is needed to strengthen multi-stakeholder coordination, enhance consultations with local communities, and finalize the remaining activities such as developing the national BSM, REDD+ registry and SIS.

6. Next steps

The R-package preparation and the self-assessment process helped us identify the remaining actions required for the country's preparedness for results based finance under the global REDD+ mechanism. Gaps identified and actions that must be taken are presented as follows:

- Sustainable and adequate finance: Ethiopia is striving to mobilize resources from multilateral and bilateral cooperation and through its domestic climate finance facility otherwise known as the CRGE facility. However, to ensure sustainable and adequate finance for the implementation of REDD+ strategy, more effort should be made to on one hand mainstream the strategy to regular government programs and plans with adequate budget, while on the other mobilizing resources from more development partners by creating government-donor platform through regular meetings and interactions;
- Strengthening multi-stakeholder coordination: The coordination institutional mechanisms have been created and effort has been exerted to engage stakeholders from various key ministries, and regional states during readiness. But level of engagement and commitment has not been adequate. Multi-stakeholder coordination becomes more important during the implementation of REDD+ as this demands for joint planning, implementation and monitoring;
- More engagement of local communities: A lot of effort has been made to engage local communities in REDD+ discourse, particularly in the Oromia region, but more efforts should be exerted to engage local communities using various formats and channels of communication such as community radios;
- Harmonizing inconsistencies and gaps in policies in agriculture and forest sector: Conflict between forest protection and agriculture investment identified during the readiness. More effort should be made to integrate REDD+ strategy options on relevant development sectoral policies (such as forest protection and agricultural investment) by mainstreaming it in sectoral plans using the National Planning Commission. Action required in this area is that there should be an agreed time line to discuss and reach consensus with relevant stakeholders (e.g., Horticulture and Agricultural Investment Authority) on policy/legal inconsistencies;
- Gaps on land use, tenure, PFM and carbon benefits have also been identified. Some measures being made to reform legal framework for forestry development. The revised forest proclamation addressed issues such as PFM implementation- community forest ownership, and inadequate benefits from PFM participation, carbon rights, etc. A new initiative at prime minister's office is also dealing with land use plan and policy on land use, forest tenure, and carbon rights. Action required is speeding up the process of ratification of the forest proclamation by the parliament;
- EIA implementation gaps: Conflict of interest exists in the current institutional arrangement and mandates for EIA implementation. Discussion is going on for rectifying the issue of revoking EIA mandates from development ministries back to the regulatory institution (MEFCC);
- Gaps at technical level: The development of web portal, REDD+ registry for information exchange, BSM, and National Guideline for REDD+ Implementation, demonstration of the MRV systems on pilot scale, developing and institutionalization SIS are gaps that must be addressed during the readiness period- until June 30, 2018.

Annexes

Annex 1: References to key outputs of the readiness preparation process

Component	Subcomponents	Criterion	Deliverables/Outputs
1. Readiness Organization and consultation	<i>1a National REDD+ Management arrangements</i>	1. Accountability and transparency	<ul style="list-style-type: none"> ▪ Ethiopia R-PP (R-PP Ethiopia-final May 25-2011) ▪ Agreed Readiness M&E (Ethiopia-Readiness R-PP M&E Framework) ▪ CRGE Strategy_ CRGE strategy full document (Ethiopia's Climate-Resilient Green economy strategy- CRGE) ▪ Active Management Arrangements: ▪ Managements arrangements exist at national and 4 regions (including NGO/CSO structure)- regular meetings held ▪ REDD+ Learning Network/Advocacy platform ▪ Progress reports submitted to FCPF for international community /the literacy (transparency) ▪ Ethiopia REDD+ Readiness Progress Fact sheet Sept 2013 (Ethiopia-REDD Readiness Progress Report Sept 2013) ▪ Ethiopia Country Semi-annual Report FCPF Aug 2013-Mar 2014 (REDD+ Readiness Semi-Annual Report_Ethiopia_AUG 2013_March 2014) ▪ Ethiopia Country Report FCPF Aug 2013-Aug 2014 (Ethiopia Country Report FCPF_Ethiopia Aug 2013-2014)

			<ul style="list-style-type: none"> ▪ Ethiopia Semi-Annual Report FCPF Aug 2014-Mar 2015 (Ethiopia_Semi-Annual Report_FCPF_31515) ▪ Ethiopia MTR FCPF Report 2012-2015 (Ethiopia MTR 2012-2015) ▪ Ethiopia FCPF Completion Report_Sept16 ▪ <i>Annual and quarterly reports for MEFCC-Forest sector</i> ▪ <i>Implementation support by donor partners</i> ▪ <i>Aide Memoires of GoE and World Bank Joint Readiness Missions (AMs not disclosed but are reported in the Assessment Report)</i> ▪ <i>Transparency (access to information) to general stakeholders and local community limited</i>
		2. Operating mandate and budget	<ul style="list-style-type: none"> ▪ REDD+ management arrangement for REDD+ Readiness and Implementation (see https://ethiopiared.org/redd-readiness/redd-management-arrangement/) ▪ REDD+ Steering Committee (RSC) (See https://ethiopiared.org/redd-readiness/redd-management-arrangement/redd-steering-committee-rsc/) ▪ Federal REDD Technical Working Group (RTWG) – (See https://ethiopiared.org/redd-readiness/redd-management-arrangement/federal-redd-technical-working-group-rtwg/) ▪ Strong national REDD+ Secretariat as coordination unit exists and 4 sub-

			<p>national REDD+ coordination units</p> <ul style="list-style-type: none"> ▪ https://ethiopiared.org/redd-readiness/redd-management-arrangement/national-redd-secretariat/ ▪ REDD+ Regional Coordination Units (See https://ethiopiared.org/redd-readiness/redd-management-arrangement/redd-regional-coordination-units/) ▪ SNNP Regional REDD+ Steering Committee (See https://ethiopiared.org/redd-readiness/redd-management-arrangement/regional-redd-steering-committee/) ▪ Regional TWG (See https://ethiopiared.org/redd-readiness/redd-management-arrangement/regional-rtwg/) ▪ Strong accounting and auditing system exists ▪ External audit reports from 2013-2016 see: ▪ https://ethiopiared.org/downloads/audit-report/ ▪ World Bank and Norway contribute actively ▪ Grant Agreement for Additional Funding for Readiness from BioCF (Grant Agreement BioCF TF017284 (1)) ▪ OFLP Grant Agreement (OFLP Grant Agreement) ▪ Ethio-Norway Bilateral REDD+ Partnership Agreement (REDD+ partnership agreement) ▪ REDD+Support Norway_Pahse II
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			<ul style="list-style-type: none"> ▪ CRGE facility for sustainable financing ▪ REDD+ window as improvement areas ▪ Proclamation of forest fund establishment (Draft) ▪ <u>Strong dependence on donor resources (issue of sustainable finance for REDD+)</u> ▪ <div style="border: 1px solid black; height: 30px; width: 100%; margin: 5px 0;"></div> <ul style="list-style-type: none"> ▪
		3. Multi-sector coordination mechanism and inter-sector collaboration	<ul style="list-style-type: none"> ▪ R-PP (R-PP Ethiopia-final May 25-2011) ▪ Stakeholders Mapping and Analysis (Ethiopia_REDD+ stakeholders mapping & analysis) ▪ Institutional mechanisms for coordination in place and meetings held regularly and decisions made ▪ 1 federal RSC meeting held per year held, 2 RTWG meetings held 4 regional SCs and TWGs established and made operational ▪ ToRs of management arrangements https://ethiopiared.org/redd-readiness/redd-management-arrangement/federal-redd-technical-working-group-rtwg/ ▪ Minutes of regular meetings of the REDD+ management arrangements (national and subnational): See ▪ REDD+ Safeguards minutes and other

			<p>documents https://reddplusethiopia.wordpress.com/safeguards/</p> <ul style="list-style-type: none"> ▪ REDD strategy TF minutes/ steering committee minutes and other related documents https://reddplusethiopia.wordpress.com/redd-strategy/ ▪ REDD MRV TF minutes and related documents https://reddplusethiopia.wordpress.com/mrv/ ▪ OFLP design process has several engaged stakeholders ▪ Engagement with key REDD+ line ministries and local communities needs strengthening
		4. Technical supervision capacity	<ul style="list-style-type: none"> ▪ Strong technical coordination at national and subnational levels exists (REDD+ Secretariat/RRCUs) ▪ Staff REDD+ Secretariat including technical and fiduciary staff (National REDD+ and Regional REDD+ Units Staff) ▪ REDD+ staff directory (not complete yet) https://ethiopiared.org/about-redd/whos-who/wpbdp_category/national-redd-staff/ ▪ TA from Development partners provided ▪ TA from FAO on MRV issues ▪ Systems designed, documents produced, data, information generated (e.g., NFI) ▪ Staff turnover is high ▪ Involving other regions in REDD+

		5. Fund management capacity	<ul style="list-style-type: none"> ▪ Demonstrated fund management capacity exists at REDD+ Secretariat/RRCUs exists (standard accounting and auditing systems in place) ▪ REDD+ fiduciary staff (National REDD+ and Regional REDD+ Units Staff) ▪ see: also ▪ https://ethiopiared.org/about-redd/whos-who/wpbdp_category/national-redd-staff/ ▪ 4 Clean External Audit reports 2013-2016 (for four years), World Bank Audit review report (https://ethiopiared.org/downloads/audit-report/#)
		6. Mechanism for information exchange and claim compensation	<ul style="list-style-type: none"> ▪ Draft GRM document produced, builds on existing structures ▪ Grievance Redress Mechanism (GRM) – Ethiopia-REDD+ GRMs ▪ <u>Online information services exist</u> ▪ Website: http://www.ethiopiareddplus.gov.et ▪ Web blog: www.reddplusethiopia.wordpress.com
	<i>1b Consultation, Participation and Outreach</i>	7. Participation and involvement of main relevant stakeholders	<ul style="list-style-type: none"> ▪ <u>Participation at federal and regional levels relatively active and guided by plans</u> ▪ Stakeholders Analysis (Ethiopia_REDD+ stakeholders mapping & analysis) ▪ National C&P Plan (Ethiopia-REDD+ Readiness Consultation and Participation Plan_Final) ▪ OFLP C&P Plan (C&P plan for OFLP Final Report) ▪ Summary Report of Consultation and Participation at National, Regional, and Woreda Level September 2016 –March 2017. (See <a 487="" 509="" 894="" 916"="" data-label="Page-Footer" href="https://ethiopiared.org/redd- </td></tr> </table> </div> <div data-bbox=">54

			readiness/redd-safeguards/consultation-participation/summary-report-of-consultation-and-participation/ <ul style="list-style-type: none"> ▪ <u>More engagement with local communities and their representatives</u>
		8. Consultation processes	<ul style="list-style-type: none"> ▪ Consultation and participation guided by identification of stakeholders and plans ▪ Participation at federal and regional (especially 4 regions) is good ▪ National C & P Plan (Ethiopia-REDD+ Readiness Consultation and Participation Plan_Final) ▪ <u>Over 340,000 members of community and the general stakeholders have been consulted with during the OFLP design</u> ▪ OFLP C & P Plan; report and participants attendance (C&P plan for OFLRP Final Report) ▪ Minutes of consultations at different levels See: https://ethiopiared.org/redd-readiness/redd-safeguards/consultation-participation/summary-report-of-consultation-and-participation/ ▪ <u>More engagement with local community, private sector</u>
		9. Exchange of and access to information (sharing of	<ul style="list-style-type: none"> ▪ Communication strategy exists (Communications strategy_Final) ▪ Web-based systems designed and made operational ▪ Website: http://www.ethiopiareddplus.gov.et ▪ Web blog: www.reddplusethiopia.wordpress.com

		information and disclosure)	<ul style="list-style-type: none"> ▪ Use of mass media: FANA Audio /Talk show (channels) ▪ 7 languages drivers of DD ▪ Some effort on production of brochures/posters/roll-up in different languages (accessibility of information), but limited accessibility ▪ Limited access to information on REDD+ for local communities- limited use of local radios/local languages
		10. Release and public dissemination of consultation results	<ul style="list-style-type: none"> ▪ Use of website, emails, and letters for disclosure with international community and stakeholders (Website: http://www.ethiopiareddplus.gov.et) ▪ Web blog: www.reddplusethiopia.wordpress.com ▪ Not easy to share information with local communities
2. Preparing the REDD+ Strategy (National REDD+ Strategy)	<i>2a Assessment of land use, land use change drivers, forest law policy and governance</i>	11. Assessment & Analysis	<ul style="list-style-type: none"> ▪ Analyses done on drivers of D/DD and legal institutional at national and subnational levels ▪ Ethiopia R-PP (R-PP Ethiopia-final May 25-2011) ▪ Validated Legal & Institutional Analysis (National) (Legal and institutional analysis Final Report) ▪ Validated Drivers of DD (National) <u>report available</u> (National-study-on-drivers-of-deforestation-and-forest-degradation-ethiopia-final) ▪ Validated Drivers of DD (OFLP) available (LULC Maps) ▪ Historical land use change analysis (AD) completed –see FRELs/FRLs below

			<ul style="list-style-type: none"> ▪ (Spatial Analysis_FNF_LULC Maps) ▪ High Media coverage ▪ National REDD+ Strategy final draft prepared based on inputs from these technical studies (Draft REDD+ Strategy_Version 1) ▪ Promotion and dialogues with key stakeholders on study findings and recommendations is limited
		12. Establishing priorities regarding direct and indirect causal factors/barriers to increasing carbon stocks	<ul style="list-style-type: none"> ▪ Draft National REDD+ strategy available (Draft REDD+ Strategy_Version 1) ▪ Done in the national REDD+ strategy ▪ Number of consultative meetings held for refining with consultations made at federal and regional stakeholders including CSOs/NGOs) ▪ Leaflets on strategic options ▪ Serious prioritization exercise demonstrated during the design of the OFLP and REDD+ investment proposal ▪ Assessment of feasibility of selected strategic options (including social and environmental impact, cost-benefits, legal aspects) available
▪		2c Implementation framework	20. Directives for implementation
			<ul style="list-style-type: none"> ▪ Institutional architecture of REDD+ implementation in national system assessed and validated at national and regional levels

			<ul style="list-style-type: none"> ▪ REDD+ implementation manual available (Subnational) ▪ Use of existing structures with strategic project support for implementation
			<ul style="list-style-type: none"> ▪ OFLP MoU between different sectoral offices (MoU to be signed among OFLP implementing institutions_March 26, 2017) ▪ OFLP PIM (OFLP PIM Final – Revised 260317) ▪ Negotiated OFLP PAD ▪ Forest Proc English ▪ MoU to be signed among OFLP implementing institutions_March 26, 2017 ▪ OFLP PIM Final – Revised 260317 ▪ Procedures for approval of projects, programs and REDD+ financing modalities are still gaps
	2d. Social and environmental impacts	23. Analysis of issues relating to social and environmental safeguards	<ul style="list-style-type: none"> ▪ Degree of advancement of SESA completion and validation- REDD+ SESA finalized and cleared by the World bank ▪ REDD+ SESA (See https://reddplusethiopia.files.wordpress.com/2015/01/ethiopia-national-redd-sesa-p124074-for-disclosure-march-2017.pdf) ▪ Number of stakeholders (by category, gender and age) consulted and trained during SESA process ▪ Promotion remains

		25. Environmental and social management framework	<ul style="list-style-type: none"> ESMF developed, consulted and validated by RSC- ESMF finalized and cleared by the World Bank Examples of indicators for enhancement of livelihoods of local communities and for biodiversity conservation included in ESMF and REDD+ strategy REDD+ ESMF plus(Ethiopia-ESMF Final) REDD+ RPF (Ethiopia-REDD+ Policy Framework-Bank reviewed March 2017) REDD+ PF (Ethiopia Process Framework Final) OFLP ESMF being implemented https://reddplusethiopia.wordpress.com/safeguards/
3. Emission reference level/ Reference level (FREL/FRL Final)	3. Emission reference level/ Reference level	26. Demonstration of the methodology	<ul style="list-style-type: none"> National and regional REL/reference levels for emissions and removals available- Presented FREL/FRL as R-Package Ethiopia_FRL_submission_JAN_2016 Ethiopia_FRL_submission_AUG_2016 Ethiopia_FRL_submission_MAR_2017 Availability of reports on verification of carbon stocks of Oromia available and of national verification report- Regional_FRL_presentation_version_0.1 Oromia_FRL_final Ethiopia's national forest definition communicated to UNFCCC (Ethiopia's

			National Definition of Forest <ul style="list-style-type: none"> ▪ National Forest Inventory Field Manual (National Forest Inventory Field Manual) ▪ NFI Data Analysis Protocol (NFI Data Analysis OpenForisCalc 4 October 2015) ▪ Spatial Analysis Results (Spatial Analysis FNF LULC Maps) ▪ Methodologies for AD, EF, FREL verified technical assessments by UNFCCC
		28. Technical feasibility of the methodology focus and congruence with the guidance and directives of the UNFCCC and IPCC	<ul style="list-style-type: none"> ▪ Tar-Ethiopia-draft 20160729 (tar_ethiopia_draft_20160729) ▪ Tar-Ethiopia-draft 20170512 (tar_ethiopia_draft_2017_12 May)
4. Forestry monitoring and safeguard information system	4a National Forest Monitoring System (MRV)	29. Documentation for monitoring focus 31. Institutional mechanisms and	<ul style="list-style-type: none"> ▪ Ethiopia's national forest definition (Ethiopia's National Definition of Forest) ▪ National Forest Inventory Field Manual (National_Forest_Inventory_Field_Manual) ▪ NFI Data Analysis Protocol (NFI Data Analysis_OpenForisCalc_4_October_2015) ▪ MRV Institutionalization_clean_Final08062017 prepared

		capacities	
	<i>4b Information systems for multiple benefits, other impacts, governance and safeguards</i>	34. Institutional mechanisms and capacities	<ul style="list-style-type: none"> ▪ Roles and responsibilities in SIS-SIS institutionalization and linked with NMFS/MRV (Data Sharing Policy)

Annex 2: Self-assessment Results Summary Matrix: Achievements, gaps and areas for improvements

No	Assessment Criteria and Color Coding	Achievements	Gaps/ weaknesses	Areas for improvements
1	Accountability and transparency	<p>Managements arrangements exist at national and 4 regions (including NGO/CSO structure)- regular meetings held</p> <ul style="list-style-type: none"> National: REDD+ Secretariat, Federal REDD+ Steering Committee, Federal REDD+ Technical Working Group, REDD+ Strategy Task Force, Safeguards Taskforce, MRV Taskforce Regional: REDD+ Coordination Units in Amhara, Oromia, Tigray and SNNPR and corresponding steering committees and technical working groups REDD+ Secretariat is the prime coordination institution accountable to the federal MEFCC (State Minister for Forest Sector) REDD+ Program is imbedded in the national climate change policy commonly known as CRGE strategy REDD+ Learning Network to inform and work together on REDD+ process with nongovernment actors REDD+ website and blog to communicate REDD+ to the literate and international community R-readiness M & E framework prepared and disclosed to the public from the 62 beginning. Planning, budgeting and reporting to relevant stakeholders (World Bank, Federal Steering Committee, MEFCC, 	<ul style="list-style-type: none"> Low representation of women, private sector and local community in different REDD+ management arrangements No representation of private sector 	<ul style="list-style-type: none"> Membership/representation from women, private sector and local communities need to be increased in REDD+ institutions

		<p>and donor partners).</p> <ul style="list-style-type: none"> • Progress reports submitted to FCPF/international community in time • Progress report presented to the Parliament (Standing Committee for Environment and NRM through MEFCC regularly • High attendance level in REDD+ meetings and workshops 		
2	Operating Mandate and Budget	<ul style="list-style-type: none"> • Strong national REDD+ Secretariat as coordination unit exists and 4 sub-national REDD+ coordination units • Strong accounting and auditing system exists • Fund mobilization for readiness successfully achieved; fund mobilization for OFLP; fund mobilization for REDD+ implementation from Royal Norwegian Government • CRGE facility created to pull resources for CRGE strategy implementation including the national REDD+ strategy 	<ul style="list-style-type: none"> • Limited government budget • Sustainability of finance for the huge financial requirements for REDD+ strategy implementation • There is no special REDD+ account/facility for implementation 	<ul style="list-style-type: none"> • Mainstream REDD+ strategy to government plans through the National Planning Commission • Ensure sustainable financial mobilization from various sources (by creating donor/ partner and private sector platforms • Special REDD+ window with in the CRGE facility needs to be created
3	Multi-sector coordination mechanism and cross-sector collaboration	<ul style="list-style-type: none"> • Institutional mechanisms exist for multi-sector coordination of government and nongovernment stakeholders at national and in four regional states <ul style="list-style-type: none"> • 1 federal RSC meeting held per year held, 2 RTWG meetings held • 4 regional SCs and TWGs 	<ul style="list-style-type: none"> • Commitment of key line ministries at federal level was inadequate 	<ul style="list-style-type: none"> • Engagement with key REDD+ line ministries and local communities needs strengthening

		<p>established and made operational</p> <ul style="list-style-type: none"> • REDD+ Learning Network is very active • Multi-sector coordination demonstrated during the design of OFLP for over two years and concluded with signing of MoU among key REDD+ institutions in Oromia region for the implementation of OFLP 		
4	Technical supervision capacity	<ul style="list-style-type: none"> • Strong and dedicated and highly skilled team at the national REDD+ secretariat • Strong teams at RCUs • Total working staff of 47 at national and subnational levels • Very strong and dedicated three national task forces and technical working groups at national and subnational levels • Readiness actively implemented in four regional states 	<ul style="list-style-type: none"> • Staff turnover • Involving other regions in Readiness currently inadequate (represented by REDD+ focal points -Gambela, Afar, Benishangul, Harari, Somali regions) 	<ul style="list-style-type: none"> • Improve incentive packages and working environment • Strengthen involvement of other regions gradually
5	Funds management capacity	<ul style="list-style-type: none"> • Demonstrated fund management capacity at REDD+ Secretariat/RRCUs (IBEX and Peachtree accounting systems applied) • Standard accounting and auditing systems applied • 4 Clean External Audit reports- 2013-2016), • World Bank Audit review report 	<ul style="list-style-type: none"> • Inadequate capacity building effort for staff and REDD+ TWG and TFs 	Focus on participation of REDD+ key actors' in capacity building programs
6	Feedback and grievance redress mechanism	<ul style="list-style-type: none"> • GRM document produced, builds on existing structures • Website and blog made operational for information sharing 	<ul style="list-style-type: none"> • No test of GRM functionality although this comes during implementation 	<ul style="list-style-type: none"> • GRM need to be known and consulted with stakeholders • Use of mass media (Community radio) and printed materials need to

		<ul style="list-style-type: none"> • Engagement of REDD+ stakeholders in validation analytical study reports, the strategy and readiness documents • Views, concerns and opinions of different stakeholders at different levels including communities are gathered and incorporated. 		be strengthened
7	Participation and engagement of key stakeholders	<ul style="list-style-type: none"> • Stakeholders analysis made during the RPP process and updated continually as required • Communities engaged during the implementation of national and subnational analytical studies (e.g. SESA) • National and subnational (OFLP) consultation plans prepared and implemented • Communication strategy prepared for further participation and outreach • Participation of key stakeholders in international exposure visits and climate conferences • Short term ToTs and integration of REDD+ in the curricula of universities • Use of TV, radios and SMS across the country for awareness raising on REDD+ • Printed materials (calendars, posters, brochures, T-shirts/caps, flashes) to communicate REDD+ to the public • Presentations and information exchange at international climate conferences • REDD+ awareness conferences at national level and in all regional states, districts, 	<ul style="list-style-type: none"> • Need for more engagement with local communities and their representatives • Training on forest governance for experts • Training on presentation and negotiation skills for community representatives 	<ul style="list-style-type: none"> • Strengthen institutional mechanisms at woreda and kebele levels with the communities and with the private sector • Immediate action on remaining trainings

		<p>and city administrations</p> <ul style="list-style-type: none"> • Participation of stakeholders in South-South Exchange 		
8	Consultation processes	<ul style="list-style-type: none"> • REDD+ issues communicated to the public (in millions) through TV and radio programs • Four radio stage talk-shows focusing on drivers of deforestation and degradation and solutions organized in Oromia, Amhara and Tigray and SNNPR and broadcast in seven languages and 12 FM radio channels • Over 340,000 members of community and other stakeholders have been consulted with during the OFLP design • Two national level and four regional level consultations undertaken on national REDD+ strategy • Some community level consultations on REDD+ strategy undertaken in four regional states 	<ul style="list-style-type: none"> • Limited engagement of local community, women and the private sector 	<ul style="list-style-type: none"> • Gender sensitive and community level consultations should be enhanced • More engagement with the private sector required •
9	Information sharing and accessibility of information	<ul style="list-style-type: none"> • Communication strategy prepared • Several REDD+ related documents (brochures, leaflets roll-ups, posters, etc.) prepared in different languages and distributed • Existence and use of local FMs in information sharing (in local languages). • REDD+ is integrated in curricula of selected universities • Use of website, blog, emails to communicate REDD+ issues to the literate 	<ul style="list-style-type: none"> • Timely sharing and disclosure needs improvement. • Limited access to information on REDD+ for local communities- limited use of local radios/local languages • Limitation in monitoring impacts of the communication and outreach activities made so far 	<ul style="list-style-type: none"> • Speed up implementation of the communication strategy • Timely sharing and disclosure of information needs attention. • Use of community radios and flyers in local languages need enhanced.

		<ul style="list-style-type: none"> • Most information uploaded in the REDD+ website and blog 		
10	Implementation and public disclosure of consultation outcomes	<ul style="list-style-type: none"> • Key readiness documents, analytic study reports and news disclosed on the website and blog. • Minutes of consultations at national and subnational levels publicly disclosed • Compulsory provisions to make sufficient public consultation during development of the REDD+ documents. 	<ul style="list-style-type: none"> • There are limited channels to disclose information to local communities 	<ul style="list-style-type: none"> • Work with DA s, religious and traditional institutions, community radios to share information to and receive from local communities
11	Assessment and analysis	<ul style="list-style-type: none"> • Analysis made on: <ul style="list-style-type: none"> - Historical land use change - Assessment on land use land cover - Forest – non forest category - Drivers of deforestation and degradation - REDD+ related legal and institutional analysis conducted at national and regional (OFLP) levels • Media coverage of drivers of deforestation and forest degradation made • Findings from all these analyses used as inputs in the national REDD+ strategy. 	<ul style="list-style-type: none"> • Promotion and dialogues with key stakeholders on study findings and recommendations from legal and institutional analyses for REDD+ implementation is limited 	<ul style="list-style-type: none"> • Awareness and action on legal institutional gaps should be undertaken •
12	Prioritization of direct and indirect drivers/barriers and REDD+ activities	<ul style="list-style-type: none"> • Prioritization of direct and indirect drivers done on relevance to national plans, and carbon, livelihoods and biodiversity and watershed impacts. • Six major consultative meetings held for refining causes and their prioritization 	<ul style="list-style-type: none"> • Local level (region specific) analysis on drivers of deforestation and forest degradation conducted only for one region and at national level 	In depth analysis of drivers of deforestation and forest degradation need to be conducted at the remaining regions

		<p>with two national and four subnational stakeholders including NGOs.</p> <ul style="list-style-type: none"> • Leaflets on drivers and strategic options produced in three local languages. • Serious prioritization exercise demonstrated during the design of the OFLP and REDD+ investment • Further analysis and recommendation on geographic prioritization for REDD+ interventions made considering biome types and forest cover 		
13	Links between drivers/barriers and REDD+ activities	<ul style="list-style-type: none"> • Link between drivers and REDD+ strategic options clearly indicated in the REDD+ strategy • At national policy level, REDD+ strategy is embedded in the CRGE strategy • Refinements on linking drivers with strategic options made during six REDD+ strategy consultation workshops 	<ul style="list-style-type: none"> • It is well-done. 	<ul style="list-style-type: none"> • It is well-done.
14	Action plans to address natural resource rights, land tenure	<ul style="list-style-type: none"> • Inputs provided from REDD+ analytical works to the Forest Proclamation/New Regulation on issues of carbon rights, tree tenure (considering REDD+/CC) in process being updated • Action plans proposed in RIP, OFLP to work on land use, forest ownership and other enablers. • Land use plan and policy initiative exists at the prime minister's office level 	<ul style="list-style-type: none"> • Lack of detailed action plan on necessary reforms to be prepared to address natural resource rights and governance 	Critical improvements needed on land use plan and community participation and benefits
15	Implication for forest law and policy	<ul style="list-style-type: none"> • Conflict between agricultural investment and forest protection clearly identified from technical studies and spatial analyses made 	<ul style="list-style-type: none"> • Delay in submission of the law to the parliament for ratification 	<ul style="list-style-type: none"> • Speed up the process in dialogue with concerned bodies

		<ul style="list-style-type: none"> • The forest proclamation currently under revision has REDD+ emphasis and considers several reforms. • Forest law considered carbon right, forest tenure etc. 		
16	Selection and prioritization of REDD+ options	<ul style="list-style-type: none"> • Selection and prioritization of strategy options demonstrated in the design of the early REDD+ programs (OFLP and RIP) • Further refinements made using participatory REDD+ strategy preparation through consultations (federal and regional governments and NGOs being consulted) 	<ul style="list-style-type: none"> • Lack of summary and policy brief on drivers and strategic options 	<ul style="list-style-type: none"> • Summary and policy brief on drivers and strategic options need to be prepared and disseminated.
17	Feasibility assessment	<ul style="list-style-type: none"> • Feasibility assessment based on findings and recommendations from technical studies undertaken including proven models such as PFM and efficient cook stoves • SWOT analysis and prioritization conducted on strategic options in the drivers technical study. • National REDD+ Strategy preparation used screening criteria such as social, environmental and economic factors. • Selection and prioritization of strategic options was guided by strategic levers indicated in the CRGE strategy (relevance to national plan) • 	<ul style="list-style-type: none"> • It is well done 	<ul style="list-style-type: none"> • It is well done
18	Implications of strategy options on existing sectoral policies	<ul style="list-style-type: none"> • Critical legal and institutional gaps for REDD+ implementation identified: <ul style="list-style-type: none"> - Conflict between forest protection 	<ul style="list-style-type: none"> • No agreed time line with stakeholders to address inconsistencies and issues 	<ul style="list-style-type: none"> • Create platform at executive and lower levels to coordinate issues among sectors

		<p>and agriculture investment identified</p> <ul style="list-style-type: none"> - EIA implementation gaps identified - Gaps on land use, tenure, PFM and carbon benefits identified - SESA document identified issues for ensuring broad development objectives and community support. 	<ul style="list-style-type: none"> • Less effort made to integrated REDD+ strategy options on relevant development sectoral policies 	
19	Adaptation and implementation of legislation / regulations	<ul style="list-style-type: none"> • Forest proclamation revised addressing issues such as carbon trading, carbon rights, PFM, community ownership, benefit sharing- in forest law)- • Forest fund establishing law exists that is supported by the National Bank of Ethiopia 	<ul style="list-style-type: none"> • Delay in preparation and ratification of the laws 	<ul style="list-style-type: none"> • Speed up the process of preparation and ratification of the laws
20	Guidelines for implementation	<ul style="list-style-type: none"> • Institutional architecture of REDD+ implementation in national system assessed and validated at national and regional levels • Procedures for approval of projects exist for the CRGE facility • REDD+ implementation manual available (Subnational, e.g. OFLP PIM) • Use of existing structures with strategic project support for implementation • OFLP MoU between different sectoral offices 	<ul style="list-style-type: none"> • Procedures for approval of REDD+ projects and programs and financing modalities are still gaps 	<ul style="list-style-type: none"> • National REDD+ implementation framework guideline should be prepared
21	Benefit sharing mechanism	<ul style="list-style-type: none"> • Subnational BSM exists –consulted at local, regional and federal levels)- collect consultation documents from ORCU • Plan to test BSM at Bale REDD+ project • National BSM framework available • Developing National BSM in process 	<ul style="list-style-type: none"> • National REDD+ BSM in process 	<ul style="list-style-type: none"> • Finalize the National REDD+ BSM

		<ul style="list-style-type: none"> • Transparency to be demonstrated after application 		
22	National REDD+ registry and system monitoring REDD+ activities	<ul style="list-style-type: none"> • Carbon registry for registration of carbon projects and carbon credits started- REDD+ registry initiated with FAO TA • NFMS's web-portal being developed 	<ul style="list-style-type: none"> • System not yet developed, and requires immediate attention 	
23	Analysis of social and environmental safeguard issues	<ul style="list-style-type: none"> • SESA finalized and cleared by the World Bank and disclosed on info-shop of WB, our website and blog • Consultations held in 26 Woredas and 52 kebeles/forest sties/communities (by category, gender and age) 	Well-done	
24	REDD+ strategy design with respect to impacts	<ul style="list-style-type: none"> • Assessment of potential risks and benefits of each strategy options was made and integrated in the national REDD+ strategy • For each risk identified, mitigation measures were proposed 		
25	Environmental and social management framework	<ul style="list-style-type: none"> • ESMF developed, consulted with and validated by stakeholders and cleared by the World Bank and disclosed Additional safeguards instruments such as RPF and PF finalized and disclosed • RPF and PF were prepared to minimize risks associated with resettlement and access restrictions on protected areas • Similar safeguards instruments prepared and agreed with the Bank for the design of OFLP 	<ul style="list-style-type: none"> • Limited training on their application to implementers and communities 	<ul style="list-style-type: none"> • Further awareness/training on its implementation and publication
26	Demonstration methodology of	<ul style="list-style-type: none"> • Ethiopia's national forest definition communicated to UNFCCC • National RELs/RLs set, submitted to UNFCCC and passed through UNFCCC 	FRL, TAR	

		<p>technical assessment</p> <ul style="list-style-type: none"> • Ethiopia's Forest RELs/RLs verified by the UNFCCC levels for emissions and removals available- Presented FREL/FRL as R-Package • Ethiopia FRL Submission Jan 2016 • Ethiopia FRL Submission Aug 2016 • Ethiopia FRL Submission Mar2017 • Methodology documentation: <ul style="list-style-type: none"> - National forest definition consulted - National Forest Inventory Field Manual - NFI Data Analysis Protocol - Spatial Analysis Results - Methodologies for AD, EF, FREL verified technical assessments by UNFCCC 		
27	Use of historical data, and adjusted for national circumstances	<ul style="list-style-type: none"> • Historical average 2000- considered (see FREL/FRL documents) • No adjustments, so no justification 	..	
28	Technical feasibility of the methodological approach, and consistency with UNFCCC/IPCC guidance and guidelines	<ul style="list-style-type: none"> • Ethiopia's Forest RELs/RLs constructed based on IPCC guidelines an follow stepwise approach • Feasibility assessed by Technical team from UNFCCC • Transparency and completeness certified by TARs- Ethiopia's TAR reports for compliance with IPCC and UNFCCC requirements presented here - <u>Tar-Ethiopia-draft 20160729</u> 	..	

		- <u>Tar-Ethiopia-draft 20170512</u> Training provided on FRELs/FRLs		
30	Documentation of monitoring approach	<ul style="list-style-type: none"> Ethiopia's Forest REL:/RLs set based on the designed MRV system- thus compliance for IPPCC and UBFCCC guidance and guidelines verified National capacity at national level to run MRV system done with TA from FAO Cascading capacity in 4 regional levels launched 	<ul style="list-style-type: none"> No demonstration of the MRV system for measuring emissions/removals attempted 	<ul style="list-style-type: none"> Plan for measuring emissions/removals comes after OFLP and RIP implementation, likely the first measurement in 2019
31	Institutional arrangements and capacities	<ul style="list-style-type: none"> <u>MRV Institutional Framework Note</u> prepared that guides future MRV implementation 	<ul style="list-style-type: none"> Further capacity development for ensuring knowledge and skills are transferred from FAO to local experts at national and subnational levels 	<ul style="list-style-type: none"> Further capacity building activities by FAO needed
32	Identification of relevant non carbon aspect, and social and environmental issues	<ul style="list-style-type: none"> REDD+ compatible social and environmental standards developed and agreed for Ethiopia SESA identified non-carbon benefits M&E Framework for implementation and monitoring guidelines for REDD+ multiple benefits agreed among stakeholders available MoU on responsibilities, information flow processes and data sharing among all stakeholders available Number of REDD+ M&E trained staff in all participating stakeholders 		
33	Monitoring, reporting and information sharing	<ul style="list-style-type: none"> Framework document on SIS design prepared 	<ul style="list-style-type: none"> SIS not yet developed 	<ul style="list-style-type: none"> Needs immediate action

34	Institutional arrangements and capacities	<ul style="list-style-type: none"> • Roles and responsibilities in SIS stakeholders defined 	<ul style="list-style-type: none"> • SIS institutionalization and linked with NMFS/MRV system remains to be done 	
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Annex 3: Scores against the 34 criteria given by stakeholder groups and combined score

Component/Sub	Assessment criteria	Traffic light
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		NRS	NTWG	Regional government	Federal Government	NGO	Combined
0. Readiness Organization and Consultation							
1a. National REDD+ Management Arrangements	(1) Accountability and transparency						
	(2) Operating mandate and budget						
	(3) Multi-sector coordination mechanisms and cross-sector collaboration						
	(4) Technical supervision capacity						
	(5) Funds management capacity						
	(6) Feedback and grievance redress mechanism						
1b. Consultation, participation, and Outreach	(7) Participation and engagement of key stakeholders						
	(8) Consultation processes						
	(9) Information sharing and accessibility of information						
	(10) Implementation and public disclosure of consultation outcomes						
1. REDD+ Strategy Preparation							
2a. Assessment of Land use, Land use Change Drivers, Forest Law,	(11) Assessment and analysis						

Policy and Governance	<i>(12) Prioritization of direct and indirect drivers/ barriers to forest carbon stock enhancement</i>						
	<i>(13) Links between drivers/barriers and REDD+ activities</i>						
	<i>(14) Action plans to address natural resource rights, land tenure, governance</i>						
	<i>(15) Implications for forest law and policy</i>						
2b. REDD+ Strategy Options	<i>(16) Selection and prioritization of REDD+ strategy options</i>						
	<i>(17) Feasibility assessment</i>						
	<i>(18) Implications of strategy options on existing sectoral policies</i>						
2c. Implementation Framework	<i>(19) Adoption and implementation of legislation/regulations</i>						
	<i>(20) Guidelines for implementation</i>						
	<i>(21) Benefit sharing mechanism</i>						
	<i>(22) National REDD+ registry and system monitoring REDD+ activities</i>						
2d. Social and Environmental	<i>(23) Analysis of social and environmental safeguard issues</i>						

Impacts	(24) REDD+ strategy design with respect to impacts						
	(25) Environmental and Social Management Framework						
2. Reference Emissions level/Reference Level							
	(26) Demonstration of methodology						
	(27) Use of historical data, and adjusted for national circumstances						
	(28) Technical feasibility of the methodological approach, and consistency with UNFCCC/IPCC guidance and guidelines						
3. Monitoring System for Forest and Safeguards							
4a. National Forest Monitoring System	(29) Documentation of monitoring approach						
	(30) Demonstration of early system implementation						
	(31) Institutional arrangements and capacities						
4b. Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards	(32) Identification of relevant non-carbon aspects, and social and environmental issues						
	(33) Monitoring, reporting and information sharing						
	(34) Institutional arrangements and capacities						

Annex 4: Attendance list, addresses and signatures of participants in the self-assessment

(1) Stakeholder Group: CSOs and NGOs

No	Name	Organization	E-mail	Telephone
1	Zerihun Mohammed	Forum for social Studies	zerihunmohammed@yahoo.com	916835886
2	Mesin Tekele	NABU	mesmfin.tekle.nabu@gmail.c	913154236
3	Afewerk Hailu	EWNRA	ethio.wetland@gmail.com	911635720
4	T/Argay Jirane	SUNARMA	tekle.jirane@sunarma@.org	916824872
5	Gira Ayele	Farm africa	girmaayelemail.com35@g	960101029
6	Welgegna Hundessa	A.Acout	wedgegna@gmail.com	911346867
7	Taffesse Mulat	ehiopian Scaout association	ethiopianscout@gmail.com	911408775
8	Hailekirose Habtu	ehiopian Scaout association	hailekiros@gmail.com	910633873
9	Mekonenn Bini	HoAREC&N	mekonnenhehoarec@gmail.org	911401613
10	Capt.Paulos Woldegabriel	ehiopian Scaout association	ethiopianscout@gmail.com	911355040
11	Darout Gumia	ILICA	ileailca2009@gmail.com	911737182
12	Endashaw Mogessie	PHEEC	endashaw.mogesiephe.ethiopia	911940930
13	Abreham Aseffa	CSC,AAU	abrishasf@gmail.com	911379959



(2) Stakeholder group: National REDD+ Technical Working Group

No	Name	Organization	E-mail	Telephone
1	Girma Kibret	SLM_MoANR	girma.kibret@yahoo.com	911176919
2	Temesege Yohannes	CEE_FRC	temesege@gmail.com	911534545
3	Kibebework Getachew	MEFCC	9kibebework@yahoo.com	947185816
4	Sahilemarima Mezmur	Farm Africa	sahemlemuna@yahoo.co	911034453
5	Tsegay Tadesse	GGGI	Tsegaye.tadesse@gggi.org	911622145
6	Abebe Seifu	MEFCC	seifuabebe99@gmail.com	925629045
7	Yigremachew Seyoum	MEFCC	yigremachewseyoum@yahoo.co m	911435846
8	Addis Negash	EHAIA	negash.addis@gmail.com	911023263
9	Genene Assefa	WondoGent CF&NR	genene_asefa@yahoo.com	916831549
10	Desalegn Kebede	ILICA	dk.kaza@gmail.com	931634113
11	Sahele Tesfaye	MoWIE	sahtesgeb@yahoo.com	913322481



(3) Stakeholder Group: Regional governments and regional REDD+ Technical Working Group

No	Name	Organization	E-mail	Telephone
1	Hawot Desta	BOARD	hailiwotdb11@yahoo.com	911825950
2	Tesale W/Amanuel	SNNPRS	twodeaamanuel@yahoo.com	916822346
3	Mulugeta G/Silassie	RREDD+	mulgemail.comb20@g	914732511
4	G/Tsadken Abera	Tigray EPA	gts.abra@gmail.com	0914122682
5	Adenur Berhe	tigray REDDT	sebrin.2020@gmail.com	0914745174
6	Ahmed Aden	Somail	ahmdaden4446@gmail.com	0915749446
7	Radi Ayub	Harari EPA	radmiayubepa@gmail.co	0912729272
8	Bekele Kefyalew	OEICCA	robsan971`@gmail.com	0911699227
9	Bona Yadessa	OEICCA	senabon14@yahoo.com	0911842293
10	Mezemure Girma	EBI	mezemir9@gmail.com	0911991615
11	Adane Dinku	SNNPRS BOANRD	adane.dinku@yahoo.com	0916106670
12	Demesse Lemma	SNNPRS_REDD+	demesslemma@yahoo.com	0911757628
13	Sintayehu Deresse	Amehara REDD+	sintahehude@gmail.com	0911065433
14	Tay Dugassa	ORCU	tay_ugassa@yahoo.comd	0929050460
15	Alexander Sibhatu	Amehara REDD+	ledetx2005@gmail.com	0913977781
16	Haftamu Deribe	Tigray RCU	haftamuder@gmail.com	0914752577
18	Gizachew Zeleke	Ethio Environment&forest research	gizachewzeleke@gmail.com	0913158928
19	Belayneh Azene	Ethio Environment&forest research	belaynehazene@gmail.com	0910147325
20	Hailu Feyra	ORCU	fey_mhal@yahoo.c	0911615077
21	Getu Shiferaw	ORCU	papiogetu@gmail.com	0920312366
22	Teshome Wakjira	ORCU	wagmurmessa@gmail.c	0923643121

23	Tayech Kebede	OWMEB	tayechkebede2017@gmail.com	0989990186
24	Wasihun Regn	SNNPRS REDD+	wasihunr@gmail.com	0912303269
25	Ferkadu Legesse	ORCU	fikelege@yahoo.com	0913277583
26	Fekadu Tefera	OFWE	teferra@gmail.com	0910118691
27	Alemayehu Made	ORLAUB	abmihret@yahoo.com	0911005583
28	Tesfay Birru	OANRB	tesfayeb80@gmail.com	0911794001
29	Getahun Yakob	SARI	getahunyakob@gmail.com	0911734028
30	Mesfin Admasu	Amehara REDD+	atalel.mengistu@gmail.com	0918768844
31	Workneh Alemayhu	ORDA	worknehalemayhu@yahoo.com	0912018828
32	Awok Yitay	Amehara REDD+	yitayawoke@gmail.com	0918020079
33	Getachew Mulugeta	Dilla University	getachew1968@yahoo.com	0916826438



(4) Stakeholder group: Federal government

No	Name	Organization	E-mail
1	Abebe Damite	EDRI	abebed2002@yahoo.co.uk
2	Ascalew Tekola	MEFCC	tekolaascalew@gmail.com
3	Sewnet Enyew	MEFCC	sewnmetenyew@gmail.com
4	Samson Tsegaye	MEFCC	samson.tsegaye26@gmail.com
5	Mesafint Telahun	MEFCC	mesafintt@yahoo.com
6	Bisrat H/Michael	MEFCC	bisratadnew@gmail.com
7	Abiy H/Gebriel	MEFCC	abiyesti70com@gmail
8	W/Giyorgis Mokonenn	MEFCC	iedettmy@gmail.com
9	Elizabet Mulatu	MEFCC	smselsa@gmail.com
10	Yelifign Aseffa	MEFCC	yelfignasseffa@gmail.com
11	Abrehet G/Hiyot	MEFCC	gebrehiwotabrehet6@gmail.com
12	Tilahun Andarge	MEFCC	tilahunme2014@yahoo.com
13	Girmaye Teshome	MEFCC	teshomegirmaye@gmail.com
14	Yigardu Mulatu	EEFRI	yigardumulatu@gmail.com
15	Shimelis Tadesse	MEFCC	shimtad2010@gmail.com
16	Abrraha Miseghina	MEFCC	abreha_ms@yahoo.com
17	Teshome Tamirat	MEFCC	tesh4040@gmail.com
18	Kasahun Wakoya	MEFCC	kasahunwakoya@yahoo.com



(5) Stakeholder group: National REDD+ Secretariat / Ministry of Environment, Forest and Climate Change/

N o	Name	Organization	E-mail	Telephone
1	Yitebitu Moges	National REDD+ secretariat	yitebitumoges@yahoo.com	0912865584
2	Solomon Zewdie	National REDD+ secretariat	zew172@yahoo.com	0922853005
3	Eyob Tenkir	National REDD+ secretariat	eyobtenkir1@yahoo.com	0912159425
4	Mekete Derbush	National REDD+ secretariat	klkdnmkt@gmail.com	0911395431
5	Hailemariam Kibret	National REDD+ secretariat	hailatwainua@gmail.com	0911033601
6	Seyoum Mengistu	National REDD+ secretariat	seyoumengist@gmail.com	0911073483
7	Habtu Mengist	National REDD+ secretariat	habtum2012@gmail.com	0911724556
8	Sollomon Teshome	National REDD+ secretariat		0926101223

Annex 5: The 54 Diagnostic Questions Used for the Self-Assessment

Subcomponent 1a. National REDD+ Management Arrangements

- (1) Accountability and transparency
 - How are national REDD+ institutions and management arrangements demonstrating they are operating in an open, accountable and transparent manner?
- (2) *Operating mandate and budget*
 - How is it shown that national REDD+ institutions operate under clear mutually supportive mandates with adequate, predictable and sustainable budgets?
- (3) *Multi-sector coordination mechanisms and cross-sector collaboration*
 - How are national REDD+ institutions and management arrangements ensuring REDD+ activities are coordinated, integrated into and influencing the broader national or sector policy frameworks (e.g., agriculture, environment, natural resources management, infrastructure development and land-use planning)?
- (4) *Technical supervision capacity*
 - How effectively and efficiently are national REDD+ institutions and management arrangements leading and supervising multi-sector readiness activities, including the regular supervision of technical preparations?
- (5) *Funds management capacity*
 - How are institutions and arrangements demonstrating effective, efficient and transparent fiscal management, including coordination with other development partner-funded activities?
- (6) *Feedback and grievance redress mechanism*
 - What evidence is there to demonstrate the mechanism is operating at the national, sub-national and local levels, is transparent, impartial, has a clearly defined mandate, and adequate expertise and resources?

Subcomponent 1b. Consultation, participation, and Outreach

- (7) *Participation and engagement of key stakeholders*
 - How is the full, effective and on-going participation of key stakeholders demonstrated through institutional mechanisms (including extra efforts to capacity to effectively participate in REDD+ readiness and implementation)
- (8) *Consultation processes*
 - What evidence demonstrates that consultation processes at the national and local levels are clear, inclusive, transparent, and facilitate timely access to information in a culturally appropriate form?
 - What evidence is there that the country has used a self-selection process to identify rights holders and stakeholders during consultations?

- What evidence is there that local community institutions and decision-making processes are utilized to enhance consultations and engagement?
- What evidence is there that consultation processes are gender sensitive and inclusive?

(9) *Information sharing and accessibility of information*

- How have national REDD+ institutions and management arrangements demonstrated transparent, consistent, comprehensive and timely sharing and disclosure of information (related to all readiness activities, including the development of REDD+ strategy, reference levels, and monitoring systems) in a culturally appropriate form?
- What evidence is there that information is accessible to stakeholders and is being received?
- What channels of communications are being used to ensure that stakeholders are well informed especially those that have limited or no access to relevant information?

(10) *Implementation and public disclosure of consultation outcomes*

- How are the outcomes of consultations integrated (fed into, disseminated, publicly disclosed and taken into account) in management arrangements, strategy development and technical activities?

Subcomponent 2a. Assessment of Land use, Land use Change Drivers, Forest Law, Policy and Governance

(11) *Assessment and analysis*

- Does the summary of the work conducted during R-PP formulation and preparation present an analysis of recent historical land-use trends (including traditional) and assessment of relevant land tenure and titling, natural resource rights, livelihoods (including traditional/customary), forest law, policy and governance issues?

(12) *Prioritization of direct and indirect drivers/ barriers to forest carbon stock enhancement*

- How was the analysis used to prioritize key direct and indirect drivers to be addressed by the programs and policies included in the REDD+ strategy?
- Did the analysis consider the major barriers to forest carbon stock enhancement activities (if appropriate) to be addressed by the programs and policies included in the REDD+ strategy?

(13) *Links between drivers/barriers and REDD+ activities*

- What evidence demonstrates that systematic links between key drivers, and/or barriers to forest carbon stock enhancement activities (as appropriate), and REDD+ activities were identified?

(14) *Action plans to address natural resource rights, land tenure, governance*

- Do action plans to make progress in the short-, medium- and long-term towards addressing relevant, land-use, land tenure and titling natural resource rights, livelihoods, and governance issues in priority regions related to specific REDD+ programs, outline further steps and identify required resources?

(15) *Implications for forest law and policy*

- Does the assessment identify implications for forest or other relevant law and policy in the long-term?

Subcomponent 2b. REDD+ Strategy Options

(16) *Selection and prioritization of REDD+ strategy options*

- Were REDD+ strategy options (prioritized based on comprehensive assessment of direct and indirect drivers of deforestation, barriers to forest enhancement activities and/ or informed by other factors, as appropriate) selected via a transparent and participatory process?
- Were the expected emissions reduction potentials of interventions estimated, where possible, and how did they inform the design of the REDD+ strategy?

(17) *Feasibility assessment*

- Were REDD+ strategy options assessed and prioritized for their social, environmental and political feasibility, risks and opportunities, and analysis of costs and benefits?

(18) *Implications of strategy options on existing sectoral policies*

- Have major inconsistencies between the priority REDD+ strategy options and policies or programs in other sectors related to the forest sector (e.g., transport, agriculture) been identified?
- Is an agreed timeline and process in place to resolve inconsistencies and integrate REDD+ strategy options with relevant development policies?
- Are they supportive of broader development objectives and have broad community support?

Subcomponent 2c. Implementation Framework

(19) *Adoption and implementation of legislation/regulations*

- Have legislation and/or regulations related to REDD+ programs and activities been adopted?
- What evidence is there that these relevant REDD+ laws and policies are being implemented?

(20) *Guidelines for implementation*

- What evidence is there that the implementation framework defines carbon rights, benefit sharing mechanisms, REDD+ financing modalities, procedures for official approvals (e.g., for pilots or REDD+ projects), and grievance mechanisms?

(21) *Benefit sharing mechanism*

- What evidence is there to demonstrate benefit sharing mechanisms are transparent?

(21) *National REDD+ registry and system monitoring REDD+ activities*

- Is a national geo-referenced REDD+ information system or registry operational, comprehensive of all relevant information (e.g., information on the location, ownership, carbon accounting and financial flows for sub-national and national REDD+ programs and projects), and does it ensure public access to REDD+ information?

Subcomponent 2d. Social and Environmental Impacts

(22) *Analysis of social and environmental safeguard issues*

- What evidence is there that applicable social and environmental safeguard issues relevant to the country context have been fully identified /analysed via relevant studies or diagnostics and in consultation processes?

(23) *REDD+ strategy design with respect to impacts*

- How were SESA results and the identification of social and environmental impacts (both positive and negative) used for prioritizing and designing REDD+ strategy options?

(24) *Environmental and Social Management Framework*

- What evidence is there that the ESMF is in place and managing environmental and social risks/potential impacts related to REDD+ activities?

Component 3.Reference Emissions level/Reference Level

(25) *Demonstration of methodology*

- Is the preliminary subnational or national forest REL or RL presented (as part of the R-Package) using a clearly documented methodology, based on a step-wise approach, as appropriate?
- Are plans for additional steps and data needs provided, and is the relationship between the sub-national and the evolving national reference level demonstrated (as appropriate)

(27)*Use of historical data, and adjusted for national circumstances*

- How does the establishment of the REL/RL take into account historical data, and if adjusted for national circumstance, what is the rationale and supportive data that demonstrate that proposed adjustments are credible and defensible?
- Is sufficient data and documentation provided in a transparent fashion to allow for the reconstruction or independent cross-checking of the REL/RL?

(28) *Technical feasibility of the methodological approach, and consistency with UNFCCC/IPCC guidance and guidelines*

- Is the REL/RL (presented as part of the R-Pack- age) based on transparent, complete and ac- curate information, consistent with UNFCCC guidance and the most recent IPCC guidance and guidelines, and allowing for technical assessment of the data sets, approaches, methods, models (if applicable) and assumptions used in the construction of the REL/RL?

Subcomponent 4a.National Forest Monitoring System

(29) *Documentation of monitoring approach*

- Is there clear rationale or analytic evidence supporting the selection of the used or proposed methodology (combination of remote sensing and ground based forest carbon inventory approaches, systems resolution, coverage, accuracy, inclusions of carbon pools and gases) and improvement over time?
- Has the system been technically reviewed and nationally approved, and is it consistent with national and international existing and emerging guidance?

- Are potential sources of uncertainties identified to the extent possible?

(30) Demonstration of early system implementation

- What evidence is there that the system has the capacity to monitor the specific REDD+ activities prioritized in the country's REDD+ strategy?
- How does the system identify and assess displacement of emissions (leakage), and what are the early results (if any)?
- How are key stakeholders involved (participating /consulted) in the development and/or early implementation of the system, including data collection and any potential verification of its results?
- What evidence is there that the system allows for comparison of changes in forest area and carbon content (and associated GHG emissions) relative to the baseline estimates used for the REL/RL?

(31) Institutional arrangements and capacities

- Are mandates to perform tasks related to forest monitoring clearly defined (e.g., satellite data processing, forest inventory, information sharing)?
- What evidence is there that a transparent means of publicly sharing forest and emissions data are presented and are in at least an early operational stage?
- Have associated resource needs been identified and estimated (e.g., required capacities, training, hardware/software, and budget)?

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

(32) Identification of relevant non-carbon aspects, and social and environmental issues

- How have relevant non-carbon aspects, and social and environmental safeguard issues of REDD+ preparations been identified? Are there any capacity building recommendations associated with these?

(33) Monitoring, reporting and information sharing

- What evidence is there that a transparent system for periodically sharing consistent information on non-carbon aspects and safeguards has been presented and is in at least an early operational stage?
- How is the following information being made available: key quantitative and qualitative variables about impacts on rural livelihoods, conservation of biodiversity, ecosystem services provision, key governance factors directly pertinent to REDD+ preparations, and the implementation of safeguards, paying attention to the specific provisions included in the ESMF?

(34) Institutional arrangements and capacities

- Are mandates to perform tasks related to non-carbon aspects and safeguards clearly defined?
- Have associated resource needs been identified and estimated (e.g., required capacities, training, hardware/software, and budget)?

Annex 6: Color scores given by five stakeholder groups against the 54 diagnostic questions

Component/S ubcomponent	Assessment criteria	Diagnostic questions	Scores given by stakeholders				
			NR S	NT WG	R T WG	GO	N G O
1.Readiness Organization and Consultation							
1a.National REDD+ Management Arrangements	(1) Accountability and transparency	How are national REDD+ institutions and management arrangements demonstrating they are operating in an open, accountable and transparent manner?					
	(2) <i>Operating mandate and budget</i>	How is it shown that national REDD+ institutions operate under clear mutually supportive mandates with adequate, predictable and sustainable budgets?					
	(3) <i>Multi-sector coordination mechanisms and cross-sector collaboration</i>	How are national REDD+ institutions and management arrangements ensuring REDD+ activities are coordinated, integrated into and influencing the broader national or sector policy frameworks (e.g., agriculture, environment, natural resources management, infrastructure development and land use planning)?					
	(4) <i>Technical supervision capacity</i>	How effectively and efficiently are national REDD+ institutions and management arrangements leading and supervising multi-sector readiness activities, including the regular supervision of technical preparations?					
	(5) <i>Funds management capacity</i>	How are institutions and arrangements demonstrating effective, efficient and transparent fiscal management, including coordination with other development partner-funded activities?					
	(6) <i>Feedback and grievance redress mechanism</i>	What evidence is there to demonstrate the mechanism is operating at the national, sub- national and local Levels, is transparent, impartial, has a clearly defined mandate, and adequate expertise and resources?					
1b.Consultati on,participati on,and Outreac	(7) <i>Participation and engagement of key stakeholders</i>	How is the full, effective and on-going participation of key stakeholders demonstrated through institutional mechanisms (including extra efforts to capacity to effectively participate in REDD+ readiness and implementation					

Component/Subcomponent	Assessment criteria	Diagnostic questions	Scores given by stakeholders				
			NR S	NT WG	R T WG	GO	N G O
h	(8) Consultation processes	What evidence demonstrates that consultation processes at the national and local levels are clear, inclusive, transparent, and facilitate timely access to information in a culturally appropriate form?					
		What evidence is there that the country has used a self-selection process to identify rights holders and stakeholders during consultations?					
		What evidence is there that local community institutions and decision-making processes are utilized to enhance consultations and engagement?					
		What evidence is there that consultation processes are gender sensitive and inclusive?					
	(9) Information sharing and accessibility of information	How have national REDD+ institutions and management arrangements demonstrated transparent, consistent, comprehensive and timely sharing and disclosure of information (related to all readiness activities, including the development of REDD+ strategy, reference levels, and monitoring systems) in a culturally appropriate form?					
		What evidence is there that information is accessible to stakeholders and is being received?					
		What channels of communications are being used to ensure that stakeholders are well informed especially those that have limited or no access to relevant information?					
	(10) Implementation and public disclosure of consultation outcomes	How are the outcomes of consultations integrated (fed into, disseminated, publicly disclosed and taken into account) in management arrangements, strategy development and technical activities?					
2.REDD+ Strategy preparation							
2a.Assessment of Land use, Land use Change Drivers,	(11) Assessment and analysis	Does the summary of the work conducted during R-PP formulation and preparation present an analysis of recent historical land-use trends (including traditional) and assessment of relevant land tenure and titling, natural resource rights, livelihoods (including traditional/customary),					

Component/Subcomponent	Assessment criteria	Diagnostic questions	Scores given by stakeholders				
			NR S	NT WG	R T WG	GO	N G O
Forest Law, Policy and Governance		forest law, policy and governance issues?					
	(12) <i>Prioritization of direct and indirect drivers/ barriers to forest carbon stock enhancement</i>	How was the analysis used to prioritize key direct and indirect drivers to be addressed by the programs and policies included in the REDD+ strategy?					
		Did the analysis consider the major barriers to forest carbon stock enhancement activities (if appropriate) to be addressed by the programs and policies included in the REDD+ strategy?					
	(13) <i>Links between drivers/barriers and REDD+ activities</i>	What evidence demonstrates that systematic links between key drivers, and/or barriers to forest carbon stock enhancement activities (as appropriate), and REDD+ activities were identified?					
	(14) <i>Action plans to address natural resource rights, land tenure, governance</i>	Do action plans to make progress in the short-, medium- and long-term towards addressing relevant, land-use, land tenure and titling natural resource rights, livelihoods, and governance issues in priority regions related to specific REDD+ programs, outline further steps and identify required resources?					
	(15) <i>Implications for forest law and policy</i>	Does the assessment identify implications for forest or other relevant law and policy in the long-term?					
2b. REDD+ Strategy Options	(16) <i>Selection and prioritization of REDD+ strategy options</i>	Were REDD+ strategy options (prioritized based on comprehensive assessment of direct and indirect drivers of deforestation, barriers to forest enhancement activities and/ or informed by other factors, as appropriate) selected via a transparent and participatory process?					
		Were the expected emissions reduction potentials of interventions estimated, where possible, and how did they inform the design of the REDD+ strategy?					
	(17) <i>Feasibility assessment</i>	Were REDD+ strategy options assessed and prioritized for their social, environmental and political feasibility, risks and opportunities, and analysis of costs and benefits?					

Component/Subcomponent	Assessment criteria	Diagnostic questions	Scores given by stakeholders				
			NR S	NT WG	R T WG	GO	N G O
	<i>(18) Implications of strategy options on existing sectoral policies</i>	Have major inconsistencies between the priority REDD+ strategy options and policies or programs in other sectors related to the forest sector (e.g., transport, agriculture) been identified?					
		Is an agreed timeline and process in place to resolve inconsistencies and integrate REDD+ strategy options with relevant development policies?					
		Are they supportive of broader development objectives and have broad community support?					
2c. Implementation Framework	<i>(19) Adoption and implementation of legislation/regulations</i>	Have legislation and/or regulations related to REDD+ programs and activities been adopted?					
		What evidence is there that these relevant REDD+ laws and policies are being implemented?					
	<i>(20) Guidelines for implementation</i>	What evidence is there that the implementation framework defines carbon rights, benefit sharing mechanisms, REDD+ financing modalities, procedures for official approvals (e.g., for pilots or REDD+ projects), and grievance mechanisms?					
	<i>(21) Benefit sharing mechanism</i>	What evidence is there to demonstrate benefit sharing mechanisms are transparent?					
	<i>(22) National REDD+ registry and system monitoring REDD+ activities</i>	Is a national geo-referenced REDD+ information system or registry operational, comprehensive of all relevant information (e.g., information on the location, ownership, carbon accounting and financial flows for sub-national and national REDD+ programs and projects), and does it ensure public access to REDD+ information?					
2d. Social and Environmental Impacts	<i>(23) Analysis of social and environmental safeguard issues</i>	What evidence is there that applicable social and environmental safeguard issues relevant to the country context have been fully identified /analysed via relevant studies or diagnostics and in consultation processes?					

Component/S ubcomponent	Assessment criteria	Diagnostic questions	Scores given by stakeholders				
			NR S	NT WG	R T WG	GO	N G O
	<i>(24) REDD+ strategy design with respect to impacts</i>	How were SESA results and the identification of social and environmental impacts (both positive and negative) used for prioritizing and designing REDD+ strategy options?					
	<i>(25) Environmental and Social Management Framework</i>	What evidence is there that the ESMF is in place and managing environmental and social risks/potential impacts related to REDD+ activities?					
3.Reference Emissions level/Referen ce Level	<i>(26) Demonstration of methodology</i>	Is the preliminary subnational or national forest REL or RL presented (as part of the R-Package) using a clearly documented methodology, based on a step-wise approach, as appropriate?					
		Are plans for additional steps and data needs provided, and is the relationship between the sub-national and the evolving national reference level demonstrated (as appropriate)?					
	<i>(27)Use of historical data, and adjusted for national circumstances</i>	How does the establishment of the REL/RL take into account historical data, and if adjusted for national circumstance, what is the rationale and supportive data that demonstrate that proposed adjustments are credible and defensible?					
		Is sufficient data and documentation provided in a transparent fashion to allow for the reconstruction or independent cross-checking of the REL/RL?					
	<i>(28) Technical feasibility of the methodological approach, and consistency with UNFCCC/IPCC guidance and guidelines</i>	Is the REL/RL (presented as part of the R-Pack- age) based on transparent, complete and ac- curate information, consistent with UNFCCC guidance and the most recent IPCC guidance and guidelines, and allowing for technical assessment of the data sets, approaches, methods, models (if applicable) and assumptions used in the construction of the REL/RL?					
4.Monitoring System for Forest and Safeguards							
4a.National Forest Monitoring System	<i>(29) Documentation of monitoring approach</i>	Is there clear rationale or analytic evidence supporting the selection of the used or proposed methodology (combination of remote sensing and ground based forest carbon inventory approaches, systems resolution, coverage, accuracy, inclusions of carbon pools and gases) and improvement over					

Component/Subcomponent	Assessment criteria	Diagnostic questions	Scores given by stakeholders				
			NR S	NT WG	R T WG	GO	N G O
		time?					
		Has the system been technically reviewed and nationally approved, and is it consistent with national and international existing and emerging guidance?					
		Are potential sources of uncertainties identified to the extent possible?					
	(30) <i>Demonstration of early system implementation</i>	What evidence is there that the system has the capacity to monitor the specific REDD+ activities prioritized in the country's REDD+ strategy?					
		How does the system identify and assess displacement of emissions (leakage), and what are the early results (if any)?					
		How are key stakeholders involved (participating /consulted) in the development and/or early implementation of the system, including data collection and any potential verification of its results?					
		What evidence is there that the system allows for comparison of changes in forest area and carbon content (and associated GHG emissions) relative to the baseline estimates used for the REL/RL?					
	(31) <i>Institutional arrangements and capacities</i>	Are mandates to perform tasks related to forest monitoring clearly defined (e.g., satellite data processing, forest inventory, information sharing)?					
		What evidence is there that a transparent means of publicly sharing forest and emissions data are presented and are in at least an early operational stage?					
		Have associated resource needs been identified and estimated (e.g., required capacities, training, hardware/software, and budget)?					
4b.Information System for Multiple	(32) <i>Identification of relevant non-carbon aspects, and social and</i>	How have relevant non-carbon aspects, and social and environmental safeguard issues of REDD+ preparations been identified? Are there any capacity building recommendations					

Component/Subcomponent	Assessment criteria	Diagnostic questions	Scores given by stakeholders				
			NR S	NT WG	R T WG	GO	N G O
Benefits, Other Impacts, Governance, and Safeguards	<i>environmental issues</i>	associated with these?					
	(33) <i>Monitoring, reporting and information sharing</i>	What evidence is there that a transparent system for periodically sharing consistent information on non-carbon aspects and safeguards has been presented and is in at least an early operational stage?					
		How is the following information being made available: key quantitative and qualitative variables about impacts on rural livelihoods, conservation of biodiversity, ecosystem services provision, key governance factors directly pertinent to REDD+ preparations, and the implementation of safeguards, paying attention to the specific provisions included in the ESMF?					
	(34) <i>Institutional arrangements and capacities</i>	Are mandates to perform tasks related to non-carbon aspects and safeguards clearly defined?					
		Have associated resource needs been identified and estimated (e.g., required capacities, training, hardware/software, and budget)?					