

# ***Social Inclusion in REDD+ Readiness***

## ***Capacity Building Workshop for FCPF Countries in the Asia-Pacific Region***

***Tuesday the 30<sup>th</sup> of April to Friday the 3<sup>rd</sup> of May***  
***Shangri-La Hotel - Bangkok, Thailand***



**Photo:** Workshop participants step into the shoes of NGOs during a role play to criticize a Strategic Environmental and Social Assessment (SESA) Terms of Reference (TOR)

### **Final Workshop Report**

This Workshop Report has been mainly developed by the workshop facilitators and FCPF consultants Mr. Peter O'Hara and Ms. Vanessa Retana. The report focusses primarily on the outputs generated by workshop participants. The presentations made in the workshop by resource persons have already been distributed to participants electronically and in hard copy. These can be downloaded from the website for the workshop <https://www.forestcarbonpartnership.org/SHANGRILAND> or they can be obtained from lead organizers of the workshop, Ms. Haddy Sey, e-mail: [hsey@worldbank.org](mailto:hsey@worldbank.org) or Mr. Kennan Rapp, e-mail: [krapp@worldbank.org](mailto:krapp@worldbank.org) of the FCPF Facility Management Team (FMT). The full list of workshop participants is also posted on this website. The materials related to the workshop process and guidance on methods used can be obtained from the lead facilitator for the workshop, Mr. Peter O'Hara, Email: [peterohara@participatorynrm.com](mailto:peterohara@participatorynrm.com)

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## Main Acronyms Used

CC	Climate Change
CF	Community Forestry
CBNRM	Community Based Natural Resources Management
C&P	Consultation and Participation
CSO	Civil Society Organization
EIA	Environmental Impact Assessment
ESMF	Environmental and Social Management Framework
FC	Forestry Commission
FD	Forestry Department
FPIC	Free Prior and Informed Consent
FCPF	Forest Carbon Partnership Facility
FGRM	Feedback and Grievance Redress Mechanism
IPs	Indigenous Peoples
MoA	Ministry of Agriculture
PFM	Participatory Forest Management
REDD+	Reduced Emissions from Deforestation and Forest Degradation
R-PP	Readiness Preparation Proposal (Strategy/plan to get a country ready for REDD+ implementation)
SESA	Strategic Environmental and Social Assessment
TOR	Terms of Reference
WB	World Bank

# Introduction

Reducing Emissions from Deforestation and Forest Degradation (REDD+) is (or should be) a people-centered approach, aimed at empowering forest stakeholders, maximizing benefits and safeguarding livelihoods. Forests play a key role in the lives of many stakeholders – especially marginalized groups – and it is essential that their complex needs, interests and opinions are fully understood and respected during REDD+ Readiness and implementation. Only equitable, socially inclusive approaches to avoided deforestation and degradation can generate the broad-based support they need to be effective, resilient and sustainable.

As REDD+ is still new, countries are on steep learning curves with regards to how to meaningfully and practically engage stakeholders in REDD+ Readiness and implementation. Relevant tools and approaches continue to evolve rapidly to address social and environmental standards and safeguards, and their interaction with program-specific requirements, UNFCCC guidance, international obligations, and country-specific norms and practices needs to be carefully considered.



**Photo:** Bangkok workshop participants

This workshop, organized by the World Bank's Forest Carbon Partnership Facility (FCPF), provided an opportunity for multi-stakeholder representatives (government, NGOS, academia and community) engaged in REDD+ Readiness from 8 Asia-Pacific countries (Cambodia, Indonesia, Lao PDR, Nepal, Papua New Guinea, Thailand, Vanuatu and Viet Nam) to take stock, analyze and share progress and challenges with regards to social inclusion in REDD+ Readiness. It also provided an opportunity for resource persons from the World Bank, FCPF, and UN agencies to present guidance on social inclusion topics, methods and safeguards.

Based on experiences in the workshop, country teams adapted lessons to enhance civil society engagement in their own REDD+ Readiness processes.

The goal and objectives of the workshop were the following;

**Overall Goal: Participants develop relevant and practical enhanced social inclusion measures and actions for REDD+ Readiness for their own countries.**

The workshop had 3 main interconnected objectives to achieve the goal:

- 1) **Country context analysis.** To conduct country context analysis on the state of social inclusion in REDD+ Readiness, progress and challenges and enable cross-country sharing of experiences.
- 2) **Enhancement tactics development.** To combine country experiences with FCPF/UN-REDD guidance to develop enhanced measures and actions for social inclusion in REDD+ Readiness.
- 3) **Application/adaptation of tactics for country contexts:** Application and adaptation of relevant and practical measures and actions to enhance social inclusion in REDD+ Readiness, specifically tailored to country contexts.

Within the overall umbrella of social inclusion the workshop focused on three specific interrelated themes that are central to social inclusion in REDD+ Readiness inclusion as supported by the FCPF: (i) Consultation and Participation processes (C&P); (ii) Strategic Environmental and Social Assessment (SESA); and (iii) Feedback and Grievance Redress Mechanisms (FGRM).

## Key summary workshop insights and outputs

The purpose of this section is to provide summary highlights of insights/outputs from each section of the workshop. Full detailed proceedings are available separately in the 'Full workshop proceedings' section that follows this. The headings below relate to the different components in the workshop agenda. The workshop agenda can be found in Annex 1 of this report.

### Preliminaries

- Opening remarks by Julia Fraser, World Bank Sector Manager of the Sustainable Development Unit in Thailand. Ms. Fraser stressed the importance of social inclusion and stakeholder engagement in REDD+. Given the multi-sectorial nature of REDD+, she emphasized the importance of collaboration, consensus building and partnerships creation between governments and relevant stakeholders to work together in building efficient and functioning institutions, policies laws and regulation to enhance the effective delivery of REDD+.
- After an introduction exercise designed to get people to interact and set up an informal ambience, the workshop objectives, structure, agenda and approach were shown. In addition, the workshop norms were introduced, including mechanisms to hand over key responsibilities in the workshop to participants, such as time keeping. Many elements and methods in the workshop were designed to 'practice what we preach' in terms of the use of inclusive and participatory methods.



**Photo:** Introductions: Participants were paired up with people they did not know to introduce each other

- A synthesis of the needs assessment submitted by the country-based participants prior to the workshop was presented. Overall the participants' need for capacity strengthening was greatest with regards to Feedback, Grievance and Redress Mechanisms (FGRM), followed by SESA/ESMF and lastly C&P which they felt they had the most direct and relevant exposure to. (See full workshop proceedings for a graph showing this).
- An introductory overview presentation by Mr. Kenn Rapp, Senior Social Development Specialist with the FCPF Facility Management Team, introduced FCPF strategic objectives and structure, FCPF REDD+ process milestones and the rationale for social inclusion in REDD+. To frame subsequent sub themes in the workshop, an introduction and overview of the linkages between Consultation and Participation (C&P), Strategic Environmental and Social Assessment (SESA) and Feedback Grievance Redress Mechanisms were presented.

## **Section A. Country sharing and analysis**

Participants divided into country teams and collectively developed an analysis on large sheets of the current status of social inclusion in REDD+ Readiness in their countries, identifying the causes of challenges to social inclusion as well as progress and gaps with regards to mechanisms for C&P, SESA and FGRM. This not only provided an opportunity for the country teams themselves to discuss progress and enable sharing of experiences, but also set up a baseline, which could be revisited on the last day when country teams prepared their enhancement plans.

A peer review exercise comments and questions were posted using sticky notes on the presentations. Some key cross-cutting points that emerged included:

Some specificities about the countries emerged that are important to consider especially the spectrum of land tenure and governance across the countries from strong government ownership and governance of all land in Cambodia, Lao PDR and Viet Nam to strong customary ownership and governance in Vanuatu and Papua New Guinea where 90% of the land is owned by clans. Also the geographical and cultural diversity

among the countries were highlighted, the practical challenges of communication in multi-island nations like Indonesia and Vanuatu to the cultural challenges in countries like Nepal where some groups such as the Dalits are treated as second-class citizens.

Even considering the wide diversity of country contexts represented in the workshop there were many commonalities:

- **Causes of challenges to meaningful social inclusion in REDD+.**  
Although attempts at social inclusion had taken place to some extent during the REDD+ Readiness process, there were concerns about how comprehensive in terms of stakeholder identification they had been, as well as the level/quality of engagement and also difficulties in sustaining engagement. Capacity/skills and resource gaps were pointed out as immediate causes but underlying causes were commonly related to lack of organization and empowerment of marginalized stakeholders in the natural resource management context, with unresolved rights issues as a key cause of the lack of power, notably related to forest tenure, carbon rights and forest user rights. Insufficient progress on benefit sharing arrangements was also stated by many country teams as a barrier to fuller community participation as communities want clearer assurances of what they will get from REDD+. The link between meaningful social inclusion and conducive policy/legislative frameworks that secured community rights were noted by many country teams.
- **Consultation and Participation (C&P)** strengths included many existing experiences to build on related to stakeholder engagement, particularly in countries with strong community forestry programs (e.g. Nepal, Indonesia and Cambodia). As well as numerous existing multi-stakeholder forums/networks etc. in forestry to draw upon multi-stakeholder technical working groups for REDD+ have been established. Cross-cutting weaknesses/challenges included resource and capacity constraints to fully operationalize C&P plans especially in countries such as Indonesia and Vanuatu, where access to islands is a challenge. Consultation at the local level is frequently also weaker than at the national level. There was also recognition that more could be done with regards to a more exhaustive stakeholder identification and that quality of engagement – meaningful engagement in decision making was not always provided especially to marginalized stakeholders. For example, even in Nepal where participation in the forest sector is relatively advanced, only one position out of 40 in the multi-stakeholder REDD+ forum was filled by an IP representative. Also questions regarding the complexity of stakeholder representation were raised, for example, who has the right to speak for stakeholders and how can they be identified? The general consensus was that much more would have to be done to ensure that stakeholders represent themselves, and self-select their own representatives. Some country-specific issues, such as the continuing lack of issuance of the Community Rights Act in Thailand, were seen as key barriers to meaningful community and civil society engagement in REDD+ and could potentially lead to boycotts of the REDD+ process if satisfactory progress on the Act is not made.
- Cross-country **SESA/ESMF** strengths included numerous existing environmental assessment laws/mechanisms/standards and pilot REDD+ SESA projects e.g. in Cambodia and Viet Nam. Weaknesses/gaps included insufficient resources to implement SESA, insufficient understanding of SESA and that existing

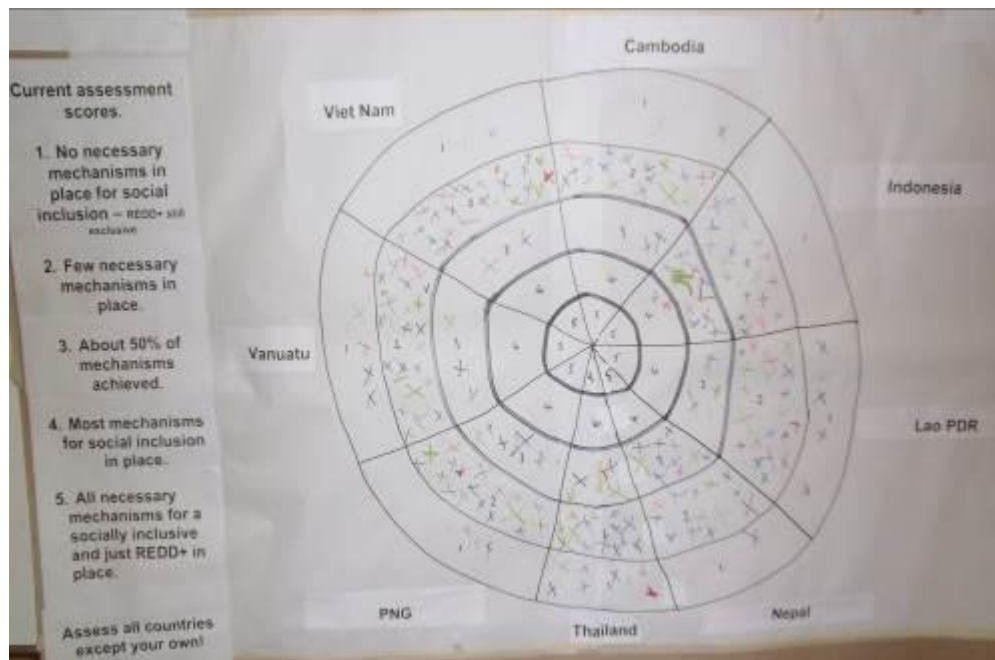
safeguards were stronger on environment than on social/cultural protection. Also a common complaint was that SESA processes were not developed with sufficient stakeholder inclusion and buy-in, but were rather expert/consultant driven.

- Regarding **FGRM**, strengths to build on included the existence of customary systems in many of the countries, existing bodies set up for REDD+ like Technical Working Groups that can play a role, existing human rights' bodies that could also play a role like the Ombudsman and National Human Rights Commissions, and also existing judiciary systems and international and national legislation that can be tapped to play a role. However, lack of law enforcement and lengthy judicial processes were also noted. Some countries have gotten further than others, such as pilot REDD+ FGRM activities in Cambodia. Weaknesses/gaps were fundamentally that FGRM has not been developed in a coordinated and concerted way in most countries with a specific focus on REDD+ issues. Compared to C&P and even SESA, the FGRM mechanisms for REDD+ are the most undeveloped.
- **General feedback** on country sharing and analysis related to lack of specificity of many of the presentations, making the information vague. **Specific feedback** included many questions regarding clarity on tenure and tenure reform processes as well as questions and comments asking for more specificity in how participatory processes actually where, i.e. who was involved and how? Comments advised on the need to assess effectiveness of existing mechanisms, customary and formal, as well as recommendations around ensuring that engagement of forest stakeholders went beyond consultation to engage them as key decision makers and actors.

At the end of the sharing a synthesis exercise was conducted where country teams assessed how they felt progress towards social inclusion was in REDD+ in other countries represented in the workshop. Participants were asked not to assess their own country. The assessment was done anonymously using a target scoring method turned away from the audience.

Although many countries were perceived similarly – with few necessary mechanisms for social inclusion in place, there was some notable variation in a few countries, Nepal and Indonesia fared the best in terms of their work on social inclusion in REDD+ Readiness, whereas Thailand and Lao PDR were viewed to have the fewest necessary mechanisms for social inclusion in place.





**Photo:** Target assessment exercise enabling a peer review of perceptions of progress towards social inclusion in REDD+ in the participating countries

## Section B. Consultation and Participation (C&P)

After an introductory presentation on C&P by Ms. Haddy Sey, Senior Social Development Specialist with the FCPF based in Bangkok, showed the rationale, principles, best practice guidance and challenges, participants were divided into multi-country teams and given different analytical frameworks to dissect consultation and participation mechanisms for REDD+ and develop good practice guidance. Some insights into the group outputs follow:

- 1. Regarding consultation, participation and communication tools for REDD+ Readiness.** As a starting point, a stakeholder analysis matrix was used to categorize stakeholders according to level of interest and level of power (influence). With this categorization it proved easier to group and match appropriate participation and communication methods to different types of stakeholders. A very comprehensive tool box was prepared with more than 30 different participation and communication tools. From village dramas to websites, from curriculum in schools to participatory mapping, care was taken to ensure all stakeholder types were targeted with appropriate tools and clear linkages were drawn between types of stakeholders and types of tools.
- 2. Regarding Rights, Responsibilities and Revenues.** With regards to **rights** it was emphasized that forest tenure needed to be clearly placed in the hands of forest communities, as well as user and carbon rights. There was a caveat however that once ownership is handed over communities should not have the right to transfer ownership – to avoid them selling the forests. It was

specified that the government must respect the communities as rights holders. With regards to **responsibilities** communities were tasked with safeguarding and managing the forest sustainably, whereas the responsibility of the government was seen more in a facilitation and capacity development role as well as the development of a conducive policy/legislative framework. It was stated that in REDD+ Readiness government should not play the role of 'ruler' – rather a supportive role to communities and developing the enabling environment. With **benefits/revenues** views were very strong that forest communities should be the main recipient of benefits from climate finance, although different views did emerge on what type of benefits should accrue. Some felt this should be a direct monetary benefit, others that it should be support with regards to livelihoods improvement. It was also noted that communities should still be allowed to benefit from using the forest – their forest-based livelihoods should be maintained as long as they adhered to sustainable forest management practices. With regards to government, it was emphasized that they should mainly be responsible for setting up fair and transparent means for ensuring 'maximum' benefits flow to communities. The **feasible participatory strategy** to reach this balance in rights, responsibilities and revenues included urgently empowering communities to be forest/carbon owners not only 'labor' and to fully engage communities in the development of policies, programs and institutions needed for REDD+. To do so, it was stated that there would need to be identification of legitimate representatives of all stakeholders and the establishment of multi-stakeholder forums at local and national level, with the different levels linked so that local issues could be fed into national decision-making processes.

**3. Regarding the process plan for Consultation and Participation** the key process steps identified was the **Set up phase**, which included stakeholder mapping and institutional analysis. Next followed a **Planning** phase, which included the development of a consultation and participation plan and guideline as well as establishing links between C&P mechanisms and the policy environment. The **implementation** phase focused on outreach to stakeholders. The **monitoring and evaluation phase** focused on ensuring there was opportunity provided for feedback and continuous troubleshooting through lesson learning and readjustments in strategies. With regards to the **organization-institutional set up** phase focused on developing the management structures at national and sub-national level to ensure there is capacity to facilitate and coordinate consultation and participation in REDD+ Readiness and ensure linkages.

During the presentation of these three outputs for a panel review, in the scoring according to criteria, although on average the scores were good, 'feasibility' was generally seen as higher than 'level of innovation'. The process plan was viewed as the overall strongest of the three presentations.

## **Section C. Strategic Environmental and Social Assessment (SESA)**

The introductory presentation on SESA was made by Mr. Fernando Loayza, Senior Environmental Specialist at the World Bank. The presentation focused on:

- Definitions and Rationale for SESA/ESMF in REDD+, explanation of the difference between SESA and ESMF as well as expected benefits/outcomes of SESA/ESMF for REDD+ Readiness.
- Example SESA formulation process steps and an overview of World Bank Safeguard policies in relation to the Common Approach.

The participants were then divided into 4 multi-country teams, to analyze a ToR for a SESA in a hypothetical country called 'Macondo'. Two teams were assigned as 'consultants' who had drafted the TOR and were defending it. The other two teams were assigned as 'NGOs' who were critical of the TOR and in the role play scenario had raised a number of concerns to the government about the SESA. They were now set to critique the TOR and rigorously question the consultants. The debate between the consultants and NGOs took place in front of a Minister, played by Fernando who asked provocative questions of both sides and gave feedback on the presentations by both teams.

The main concerns raised by the **NGO groups regarding critique** of the SESA TOR for the hypothetical country of Macondo were:

- No specific mechanism to ensure the voices of the poorest or most vulnerable could be heard.
- Looks like most of the costs of REDD+ will fall on the poor as the SESA doesn't sufficiently safeguard against negative impacts on forest communities.
- Stakeholders should develop the draft ESMF not only be asked to comment on it – in general this is consultant/expert-driven SESA process with role of communities reduced to only consultation and feedback.
- No mechanism for validating the suitability of stakeholder representation or enough consideration on how to select representative stakeholders to engage in the SESA process.

The **responses/justification from the group playing 'Consultants'** who drafted the SESA TOR include the following;

- World Bank safeguards will ensure quality control and the inclusiveness of the process.
- Cost/benefit identification and mechanisms will be sorted out through inclusive stakeholder negotiations as the REDD+ process continues.
- Stakeholder representation issues will also be addressed during the process: "We have to start somewhere with some stakeholders then improve representativeness as we go on."
- Consultants do not drive the content, only facilitate the process.

## **Section D. Feedback and Grievance Mechanism (FGRM)**

The introductory presentation on FGRM by Mr. Juan Dumas, FCPF consultant, highlighted:

- Overview of the progression of grievances to serious conflicts and the spectrum of approaches to deal with different stages of grievance/conflict.

- Definitions of grievance related terminology and rationale for FGRM.
- Process and principles in FGRM.
- Links to FCPF FGRM resource materials

Country teams were then paired up to do an analysis and develop an FGRM good practice toolbox.

The following are the key insights from the good practice FGRM toolboxes produced by the different country pairings;

#### **Countries: Laos and Thailand**

- Need to establish a multi-level FGRM set up linking village to a national FGRM at the center.
- Range of feedback mediums required to be accessible to all stakeholders, e.g. TV, local language radio, comments box, hotline phone and informal discussion.
- Methods addressing grievances would include facilitated participatory discussion, bringing in a mediator, then if that fails bringing in an ombudsman to arbitrate.

#### **Countries: Nepal and Indonesia**

- Need to build capacity in FGRM because the skills are not sufficiently there and develop operational guideline and recognition of FGRM in legal framework for REDD+.
- Principle that everyone has right to complain should be followed, with an array of mediums for complaining, e.g. SMS, phone, comments box, face to face meetings etc.
- Grievances would be dealt with through site visits by FGRM team to facilitate negotiation towards agreement, public hearings to seek resolution, efforts to build alliances across disputing parties and community mediation. For local conflicts, emphasis would be placed on using customary laws and, only if that fails, going to court.

#### **Countries: Vanuatu and Papua New Guinea**

- Need to set up formal structure to coordinate FGRM but also in addition an independent watchdog to provide independent oversight over that structure, the process and the outcomes.
- Range of feedback mediums required for broad access, e.g. walk-in centers, outreach teams, existing local associations acting as conduits of complaints.
- Grievances dealt with through conflict mediation, but if needed then passed to ombudsman commission for arbitration, and if this doesn't work then private lawyers could be hired to represent communities.

#### **Countries: Cambodia and Viet Nam**

- A democratically formed people's committee at the village level linked to higher-level structures all the way to central government would deal with administering the FGRM.

- Variety of tools for airing grievances, e.g. an office for face-to-face registering of grievances, website, email, SMS and phone line.
- Dealing with grievances would include fact finding around grievance, followed by facilitation of negotiation between the parties concerned, if that fails then third party mediation would be tried, if that fails then third party arbitration, if the outcome of the arbitration is not acceptable for one or both of the parties then the matter could be brought to civil court, if the outcome of the court is not satisfactory for one or both of the parties then the matter could be brought to the appeals court.

The four groups presented for feedback from panelists, some final remarks were also provided by the resource persons.

Some key points of feedback from the panel included:

- Need to think about how accessible, independent and credible FGRM structures are if they are within government institutions.
- Need to carefully think about what can be done informally to solve disputes – preferably through negotiation, mediation and arbitration before turning to costly litigation or lawyers, which may be beyond the financial reach of communities and take too much time.
- Even though most country teams on the first day of the workshop said there was a big gap in knowledge mechanisms for FGRM, the presentations indicated there was a lot of existing knowledge and mechanisms, including customary methods that could all be built upon to develop an effective FGRM.

## Section E. Application/adaptation

### Multi-stakeholder role play and debate

A role play was designed to take participants a step towards a more realistic context similar to their own. A hypothetical country, 'Shangriland', was concocted based on commonalities that had emerged from the contexts of participating countries.

Participants were divided up to play the roles of four stakeholder groups, to enable them to appreciate different perspectives. The groups were forest communities, NGOs, Ministry of Forestry and finally the UNDP/World Bank. Each group was asked to identify key recommendations for the enhancement of social inclusion in REDD+, but in a way that exaggerated the positions that its members might take, in order to draw attention to stereotypical views on all sides. The following recommendations were developed by the different stakeholder groups:

- **Local communities:** We demand nothing less than meaningful and direct inclusion of community representatives as decision makers in all steps of REDD+ readiness.
- **NGOs:** As a key link between stakeholders, we have a higher capacity than communities and often government in REDD+. Therefore we should be playing a key role in introducing REDD+, building capacity on it, and on linking donors, government and communities.

- **Ministry of Forestry:** We have the plans in place for more consultation and participation all we need is money to implement it. That is the only challenge – so give us money and also a foreign study tour to learn from best practice.
- **UNDP/World Bank:** We have given your country a lot of money already. We want to see some concrete results on social inclusion. One way of making progress would be to review and revise the SESA TOR so that it reflects all the stakeholders' views and concerns.

A debate method was used that provided equal space for each stakeholder to have its views debated. The debating method aimed to limit dominance and provide equal opportunities for participation.



**Photo:** Fishbowl debate method designed to provide opportunity for different stakeholders to debate on a level playing field

During the debate itself what clearly emerged was not only different views among stakeholders, but also different vested interests, notably the NGOs were very keen to portray themselves as the essential 'middle man' between government/donors and communities. The need for such a 'middle man' was disputed heavily by those playing the role of community members – who at least in this role play debate were able to fully represent themselves.

In reflection, although some of the roles were admittedly exaggerated to the point of stereotyping, some participants found it very revealing to play the roles of REDD+ actors other than themselves. It helped them to see how easily self-interest colored the expressed views of stakeholders.

The recommendation that received the most support was that communities should be enabled to represent themselves fully in every step of REDD+ Readiness as key decision makers and actors, to avoid the process being steered towards some of the more self-interested vested interests of more powerful stakeholders such as NGOs and government, because there may be a risk that these powerful stakeholders put their own interests first before the interests of forest communities.

## Country action plans to enhance social inclusion in REDD+ Readiness

Drawing on lessons from the entire workshop, short action plans were developed by country teams aimed at enhancing social inclusion in their REDD+ Readiness activities. Key summary recommendations from each country team follow. Summarized feedback and comments from observers of the presentations is presented in red.

### Cambodia

**C&P:** Working through the existing REDD+ task force, set up a team at national level to specifically focus on consultation and participation, and link this to support for existing forestry/community forestry related networks at provincial and local level.

**SESA:** Build capacity of REDD+ task force in SESA, develop national SESA guidelines and assess opportunity costs of REDD+ for forest communities and develop REDD+ strategy policy options to tackle drivers and maximize positive impact.

**FGRM:** Build the capacity of the REDD+ task force and link to local authority commissions to develop the FGRM system for REDD+.

Key comments/Questions: How will you ensure that other stakeholders such as forest communities, IPs and the private sector will be on the task force so the structures will be legitimate/ representative of affected stakeholders?

### Indonesia

**C&P:** Public consultations need to be done in all the regions to ensure REDD+ is legitimized, although we have budget constraints for this because of the costs of transport/difficult access to remote island communities.

**SESA:** Safeguard standards for REDD+ will be tested in community forestry programs then based on these experiences revised standards will be developed and legalized at national and local level.

**FGRM:** A lot of models for FGRM have already been designed. The experiences with these will be consolidated and then these should be legalized through a government regulation as well as the need to reach out to stakeholders to get support for the FGRM.

Key comments/Questions: With the limited resources you might have to prioritize when it comes to C&P based on identifying samples of stakeholders. The SESA and FGRM strategies are based on legalization, but this may take a long time, how will community expectations/concerns be met in the meantime?

## Lao PDR

**C&P:** A national REDD+ office will be set up with multi-stakeholder engagement and identify main roles and responsible agencies/bodies.

**SESA:** Existing policies and guidelines will be reviewed.

**FGRM:** Strengthening Environmental Study Centers and law enforcement.

Key comments/Questions: *Is this not centralized business as usual? Please elaborate beyond conducting review of existing policies and guidelines – will you have a SESA work plan or TOR?*

## Nepal

**C&P:** Multi-stakeholder mechanism to be set up/strengthened at national, district and local levels.

**SESA:** This will be undertaken through the multi-stakeholder mechanisms at all levels to ensure broad ownership.

**FGRM:** 3 tier system. At local level customary practice and community mediation. District and national level multi-stakeholder forum and Appeals court.

Key comments/Questions: *Are IPs represented in multi-stakeholder forums and do they have the opportunity to provide meaningful inputs developing REDD+ strategies? Why not pilot SESA and FGRM activities first to experiment and ask stakeholders what they would like the FGRM to look like, what they would trust first before developing it?*

## Papua New Guinea

**C&P:** Carry out a survey/assessment of effectiveness of existing C&P methods and develop a mechanism for feedback so that stakeholders can evaluate how C&P is working. Use this assessment/feedback to then build appropriate capacity to enhance C&P.

**SESA:** Sub-working group of the national REDD+ technical working group to be set up to develop a work plan for SESA development. In the SESA there is a need to address social vulnerability of communities and strengthen rights of land owners.

**FGRM:** Sub-working group set up on FGRM, develops an FGRM work plan and undertakes a review/assessment of existing mechanisms of



relevance to FGRM. Modification of existing database which records client feedback so that it can effectively feed into an FGRM system.

Key comments/Questions: There are already FCPF Guidelines on how to conduct a SESA. Elaborate on specific stakeholders that will be engaged in developing the FGRM, it should not only be government as the users are the best to decide what is suitable. The FGRM database should be widely known and accessible if it is not now.

## Thailand

**C&P:** Need to better design and plan the Consultation and Participation mechanism for REDD+ as there are currently inadequate participation of community stakeholders, their voice is not influencing the process enough.

**SESA:** Need to enhance knowledge and skills on SESA/ESMF specifically for REDD+ so that it can be effectively developed.

**FGRM:** Need to review existing structure, institutions and process and build a more coherent/holistic FGRM for REDD+.

Comments/Questions: With SESA planned activities, what is the linkage with the existing Working Group on C&P, SESA and the National CSO platform for REDD+ coordinated by RECOFTC? With FGRM let the users assess the mechanism; they are the best to decide which they trust the most. Also there should be a review of policy and regulations, e.g. Community Land Rights act as these are important to REDD+ related grievances in Thailand.

## Vanuatu

**C&P:** Develop a participatory methods toolbox to enable increased engagement of CSOs and government stakeholders, although there are challenges such as consultation fatigue and REDD+ being too complicated for many to understand.

**SESA:** Do participatory research prior to engagement of consultant to ensure that the TOR is relevant to the context and that the SESA process starts with a high degree of ownership.

**FGRM:** Establish FGRM data collection and storage system, there is a need to understand and analyze current grievances to inform the development of an appropriate FGRM.

Comments/Questions: Good idea to build the SESA on analysis of actual priorities, although elaborate on the type of research/analysis you will do. Will private sector be engaged through C&P processes – it isn't clear if they will or not?

## Viet Nam

**C&P:** Will develop a manual/guideline on FPIC implementation, allocate time and money for this and train facilitators.

**SESA:** Set up a working group on SESA, build capacity and awareness on SESA and develop a toolbox for SESA implementation.

**FGRM:** Develop accessible system with different methods that are also suitable for shy and remote people.

Key comments/Questions: *Would be helpful to add time table for activities. Please specify beyond 'national, regional and local' government who will actually be accountable for implementation of activities – is it multi-stakeholder? How will levels, from community to national, be linked?*

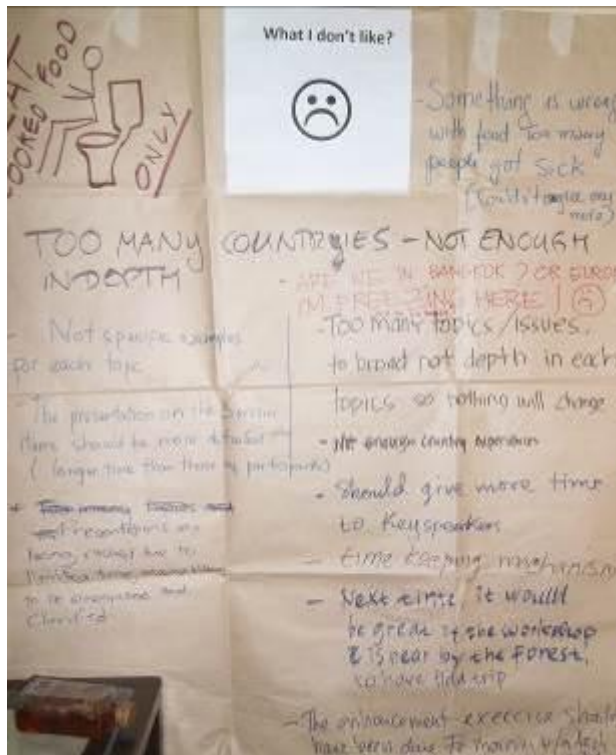
The presentations on big sheets were made quickly, with comments and questions placed on the presentations using sticky notes. Country teams were asked to digest and elaborate their action plans when they have more time after the workshop and send the final more detailed plans back to the organizers.

A general observation on the action plans by a resource person was that the final plans did not do justice to the many lessons generated by participants during the workshop, and this was simply because by the end of the workshop participants were tired and also time was too short to focus on detailed plan development and presentation. There is more discussion on this in the 'feedback, evaluation and recommendations' section below.

### **Parking lot for participants' feedback**

During the workshop there was a mechanism that allowed people to place contentious issues on a sheet. These issues were discussed by resource persons on the last day of the proceedings, and responses were developed. There was not time for these responses to be presented in the workshop, but they are contained at the very end of the full proceedings after the participant action plans.

## Feedback, evaluation and recommendations



**Photo:** Feedback sheets, 'What I like', 'What I dislike' allowed participants to give continuous feedback during the workshop

The most common 'like' was the engaging participatory approach of the workshop itself.



**Photo:** Participatory methods such as the use of cards in exercises provided examples of tools that enabled inclusion of everyone's ideas in group discussions

The most common dislikes were related to trying to do too much in too little time in the workshop. A participant summed it up after the workshop, 'even if a meal is very nice, you don't enjoy it if you are rushed'. As a result the thematic sessions provided by

resource persons felt rushed, and the country team work for so many countries meant the analysis felt shallow.

The location and nice hotel was appreciated, although there were some issues with the food (either inside or outside the hotel -- in the end this was never determined with certainty), as a number of people developed stomach problems.

## Final workshop evaluation



**Photo:** The workshop evaluation was done using a target scoring method – 'X's towards the center of the target indicate a higher evaluation for that element of the workshop (elements labeled around the circumference). Resource persons and facilitators left the training hall during the evaluation

Overall the scoring evaluation averaged around satisfactory to good. Workshop facilitation and approach fared best with mainly excellent and some good scores. The three thematic sessions all did fairly well with the bulk of scores in the good to satisfactory range, and a few scores in both excellent and poor for all three. Country sharing and application/planning sections also were evaluated mainly in the satisfactory and good range. There were also a few poor scores but no excellent scores. Organization and logistics had the largest range of scores, a large number of excellent scores, but also more poor scores than the other elements of the workshop.

**Key justifications/comments** for the scores from participants on the final evaluation included the following key points:

- Participatory and well-structured nature of workshop provided a stimulating learning environment.
- Too rushed, not enough time to go into depth or to rest.

**Key recommendations** from participants:

- The most common recommendation was to provide more time to cover the topics in the workshop, so that it is not so much of a rush – especially for the thematic sessions but also for country experience sharing.

- Have a field visit/tour/cultural night, longer lunch breaks and earlier finishing times to provide more opportunity for rest and for informal communication between participants.
- More practical relevant examples in presentations from REDD+.
- Select only participants directly working with REDD+ and try to include private sector representatives as participants.
- Have a better room. The one in Bangkok was closed in, not a nice atmosphere.

## Reflections and recommendations for next time

The workshop organizers and facilitators have greatly valued the feedback provided and will digest and discuss how to improve the next training workshop. Initial thoughts from the **facilitators** on enhancements for next time include the following:

There were some definite improvements in this workshop based on comparing and contrasting evaluations with the first workshop in Nairobi, particularly with regards to the FGRM session and the final planning day. Although it must be noted these two days fell on the weekend in the previous workshop in Nairobi, it would seem that the FGRM session worked better through a more practical presentation for REDD+ issues and the group worked was less packed (having 4 multi-country presentations instead of every country present) with a clear framework and energetic peer review during presentation of outputs. The last day (which was evaluated worst in Nairobi) was improved upon, mainly because it was not as packed – although still needs to be decluttered further. Overall it would seem that both the presentations and the group work for the three thematic sessions were evaluated well, improvements were noted on the first workshop for all three sessions, the main challenge to them in Bangkok is time constraints, although further tweaking could also help.

The country sharing and planning sessions were evaluated slightly less well and it is the view of the facilitators that with 8 countries taking part, 8 presentations is simply getting too much for people to handle, and for good deep analysis to be done and for sufficient time for feedback.

The action plans on the last day did not do full justice to the numerous useful insights and lessons generated through the rest of the workshop by participants, simply because it was too rushed and people were tired.

Why there was such a variation in scores regarding logistics and organization is not entirely clear, although in the comments it was noted that the hotel was liked a lot whereas the room itself was not. In general participants were much more satisfied with both per diems and flight organization logistics. There were still a few grumbles, but far fewer than in Nairobi.

The following are some recommendations offered by the **facilitators** – with inputs and final validation provided by the **workshop organizers** – for how some of the existing challenges can be tackled, with a view toward improving the workshop even further. Many of these evolved from organizing team reflections the day after the workshop in Bangkok, when feedback from participants, resource persons and facilitators were analyzed.

- **Lengthen training to 5 days, Monday to Friday, with a shorter day on Wednesday.** Lengthening the workshop by one day to make it 5 days would enable covering the thematic topics at a pace more conducive to learning. A shorter day on Wednesday would enable relaxation, sightseeing/shopping and enable the participants to feel refreshed for the final two days of the workshop.
- **Restructuring.** With the above 5 day structure, it is recommended to aim to still have one full day for introductory sessions and country sharing – but with fewer countries than 8 if possible (see bullet point that follows on this). The middle two and a half days would then be spent on the 3 thematic sessions. The SESA/ESMF session would be allocated an entire day so that participants can be walked through the entire SESA process, including what SESA means, how to conduct a SESA process, what are the steps involved and how to facilitate Consultation and Participation during the SESA process. The P&C and FGRM sessions would each have 3 quarters of a day. This would allow handling the thematic sessions at a better pace and in more depth and more responsiveness can be given depending on the needs of participants.
- It is also suggested that the final 5<sup>th</sup> day of the workshop be entirely dedicated to providing enough time for the very important task of action plan preparation and presentation. To achieve this it is recommended combining the fishbowl/ role play method into the FGRM session with adaptation to its form, function and expected outcomes to fit the theme – as well as accomplishing its current function of enabling participants to appreciate different perspectives, act as a release valve for issues and as a way to assess if participants have a good understanding of the key lessons so far. Adopting this method for the FGRM group work would mean that the group work for all three thematic sessions would be varied (in Bangkok the group work presentation method for the C&P and FGRM session were the same – rotating panel). Suggested guidance on the form and function of the group work part of the FGRM session can be provided by the facilitators – and the session developed jointly with the FGRM resource person. The idea would be to actually simulate – in a ‘learning by doing way’ within a concrete role play – a spectrum of practical FGRM methods, including facilitated negotiation, mediation and arbitration, then reflect on and analyze experiences with each. Actually experiencing methods will help to internalize lessons and learn the skills required for practical FGRM application.
- **Fewer countries.** Together with the complaints about not going into enough depth on the thematic presentations, there were complaints about not enough opportunity for depth in the country sharing and planning. Although more time has been suggested for allocation in the planning day of the workshop, 8 countries is simply too many contexts and presentations to take in and be fully engaged in. It is recommended that the workshop aim to focus on around 5-6 countries maximum, ideally with some similarities in context. This will enable much more in-depth analysis and quality of sharing exercises and also a more manageable number of workshop participants.
- **Improving understanding of materials and practical guidance.** There were marked improvements in the presented materials in this workshop compared to

the Nairobi workshop. It is advised to continue the development of materials, presenting ideas in simple and visual ways that stick in peoples' minds. It is recommended to improve the design of a diagram that shows the interconnectedness of the three components, C&P, SESA and FGMR with other elements of the REDD+ Readiness process. Also drawing concise lessons from practical cases and concrete examples would further help to make the presentations more practical. Developing more simple handouts and guides to complement presentations – specifically geared towards REDD+ where the detail can go – could be very useful. This could include a glossary of useful definitions, a list of good practice principles, and toolboxes of very practical methods. Not only would these be helpful during the workshop, but especially for after the workshop as a guide for implementation of enhancing social inclusion.

- **Communication and follow on after workshop.** If possible develop a mechanism for electronic sharing of progress for peer review among participants after the workshop to keep the momentum, sharing and peer review going. This could evolve to enable past participants to document their own lessons learned, good practice etc. which could then be fed into training workshop materials and exercises. Also more national-level specific trainings may be useful, in response to expressed needs by participants – where subjects are covered in more depth and with key national decision makers on board. The nature of a regional workshop means that there is probably insufficient detail to really push forward and operationalize enhancements in social inclusion.

Even with the issues regarding the rushed nature of the workshop, the participants should be commended for working hard all the way through and right to the end. It must be noted that it was their energy and expertise that primarily made the workshop a success!

# Full Workshop Proceedings

## Preliminaries

### Session 1. Welcome and Opening Remarks

The welcome remarks were made by Ms. Julia Fraser, World Bank Sector Manager of the Sustainable Development Unit in Thailand. In her welcome, she highlighted the following issues:

- The importance for participating countries to be able to better undertake Readiness activities in a socially inclusive manner. The need to address: land tenure security and rights, ongoing land conflict in some of the countries in this regions, equitable benefit sharing mechanisms, participatory forest governance and stakeholder engagement. In this region, it is expected that the use of SESA as an instrument will be used to mitigate social and environmental risks and address issues related to REDD+.
- How the workshop itself serves as a good example of how stakeholders with different interests have been able to come together in a common setting to contribute to a common goal. There are representatives from government, Indigenous Peoples and forest dependent people, non-government organization from within the same country, and this a reflection of how the process is expected to unfold in future. The ideas for further strengthening social inclusion for REDD+ Readiness at the national level would emerge from the countries themselves.
- It is important that the transparent and inclusive engagement process that was established in the formulation of the Readiness roadmap in these countries is sustained in the Readiness implementation phase. Even though on-the-ground implementation of REDD is not envisaged through the FCPF Readiness support, it is important that stakeholders remain engaged and actively participate to inform the planning phase and formulation of the national REDD+ strategy. Strategy where feedback from stakeholders has been incorporated is likely to be robust and therefore to stand a better chance of success during implementation. There are lessons out there in each of the countries demonstrating the value of participation and engagement that can be drawn upon.
- Given diverse interests of stakeholders the dialogue is not expected to be easy, and there will be trade-offs. But being able to sit around the table and listen to each other's viewpoints is the first step for a sustained process that is expected to last at least until the draft REDD+ strategy has been developed. Transparency in the process, setting clear goals, sharing information in a timely manner and providing fora where concerns can be tabled will be pre-requisites for this process and for managing expectations. Hence the workshop is very aptly titled "Capacity Building for Social Inclusion". The three themes to be addressed in the workshop: Consultation and Participation, Strategic Environmental and Social Assessment and Grievance Redress Mechanisms are very appropriately selected as the pillars for engaging stakeholders in a meaningful way in the REDD+ Readiness work.

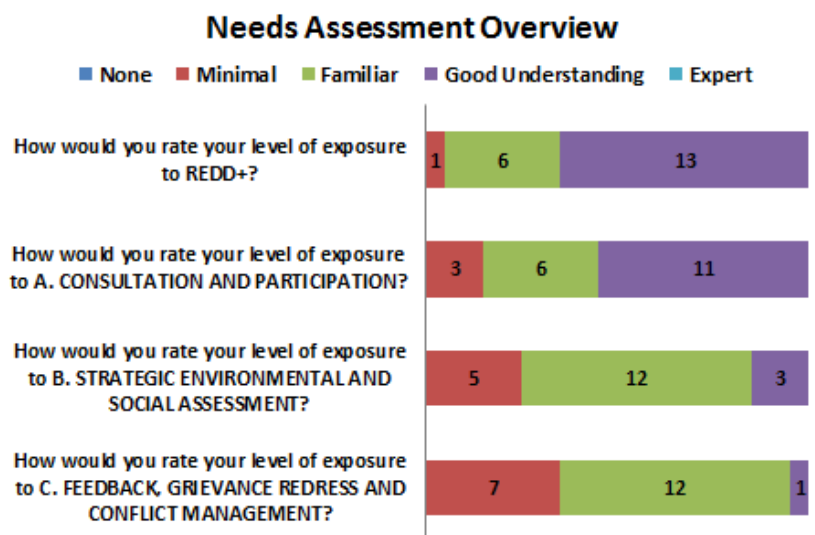


## Session 2. Introductions of participants

Participants all paired up with someone from another country and asked each other the following questions:

1. Name
2. Organization
3. Country
4. Direct current role related to REDD+ if applicable.
5. Expectation: In one sentence what they would most like from this workshop.

## Session 3. Workshop needs assessment norms, rationale, objectives and agenda.



Respondents: 20 ( Laos 6, Viet Nam 5, Nepal 2, Cambodia 2, PNG 3, Indonesia 1, Thailand 1)

**Figure:** Needs assessment (Number of participants who felt they fell into each category of expertise, is listed in the bar chart).

The needs assessment synthesis, based on a needs assessment questionnaire that participants had filled prior to the workshop, was shared. Participants felt they needed more expertise particularly on FGRM, followed by SESA, then finally C&P which they felt they had the most existing expertise in.

After a presentation on the workshop objectives and agenda (see Annex 1), country teams were allocated different tasks they would be responsible for, either Time Keeping (using time cards), Recap of relevant lessons (which were presented each morning) and the Social team (which were responsible for energizers). The teams were rotated each day. The feedback wall was also introduced where participants could write feedback during the workshop so that the organizers could redress any concerns during the workshop. (The feedback is listed in the final Evaluation section of these proceedings.)

#### **Session 4. Overview of REDD+ and FCPF – links between workshop themes, Kenn Rapp, Facility Management Team, FCPF World Bank.**

The presentation focused on the following contents:

- Overview of FCPF objectives, structure and governance.
- R-PP contents and milestones in the REDD+ Readiness process
- Overview of why key elements of the workshop are important to REDD+ and what are the key characteristics of C&P, SESA and FGRM in REDD+
- Comparing the basics of the three elements.

### **A. Country Sharing and Analysis**

**Session 5.** Country position on REDD+ Readiness process and milestones was incorporated into presentation in session 4.

#### **Session 6. Country team REDD+ social inclusion analysis**

Participants were divided into country teams and provided with pre-prepared flip charts and frameworks to use for analysis of progress and challenges regarding social inclusion in REDD.

Teams first analyzed the root causes of challenges to social inclusion and then listed progress and challenges with regards to existing mechanisms for social inclusion (C&P, SESA and FGRM). After the presentation comments and questions were provided by other participants and resource persons on sticky notes. Teams then had time to digest the comments and questions and respond to them

The analysis per country is presented in the following frameworks, with the comments on post-its highlighted in red.

## Current strengths/achievements, weaknesses/gaps with regards to social inclusion mechanisms

Note that **red wording** are comments and questions that address the presentations – through sticking post-its/sticky notes to the presentations on large sheets.

Country name: Cambodia		
Causes of social challenges / issues	Strengths / achievements	Gaps or limitations
<p>SESA – Scope of work is not clear</p> <p>No benefit-sharing</p> <p><b>What do you mean by no benefit-sharing?</b></p> <p><b>What is the ownership structure over the forest resources?</b></p> <p><b>Any implications from the fact that Cambodia recently issued the first communities land titles?</b></p> <p><b>Are there tenure issues for IPs?</b></p> <p>Roles and responsibilities on REDD+</p> <p><b>What is the level of political buy-in and how has this influenced REDD+ progress?</b></p> <p>Land use planning at ground level not in place</p> <p><b>Why is this a social challenge emerging from REDD?</b></p> <p>Lack of access to information of forest dependent communities</p>	<p><b>C&amp;P</b></p> <p>Different existing networks at national and sub-national level</p> <p>Structure arrangement</p> <ul style="list-style-type: none"> <li>• REDD+ Task Force</li> <li>• Consultation Group</li> <li>• Technical Team</li> <li>• CF Network</li> <li>• IP representatives selection</li> </ul>	<p><b>C&amp;P</b></p> <p>Consultation mainly at national level only</p> <p><b>If you have national and sub-national links, why don't you use these links to carry out national and sub-national consultation?</b></p> <p>Poor information and few extension material</p> <p>REDD+ Task Force institutional conflict (management arrangement)</p> <p>Limit of knowledge &amp; capacity</p> <p>Different perspectives/views from different players over REDD+ information</p> <p>Safeguards technical team not yet formed (management arrangement)</p> <p>Not wider consultation with local communities (forest dependent communities and indigenous peoples)</p> <p><b>Are you sure it's not because of lack of trust?</b></p> <p><b>A: Yes</b></p> <p>How are/will indigenous peoples be involved in consultation?</p>
	<b>SESA</b>	<b>SESA</b>

and IPs	<p>Pilot project (Seima and Oddor Meanch [spelling?): Agreement with local people for REDD+ implementation</p> <p>Is Cambodia utilizing CCBA for REDD+ Readiness planning?</p> <p>A: Existing policies: National forest program, sub-decree on environmental and social impacts assessment</p>	<p>Not yet a study on Policy and Guidelines for REDD+</p> <p>Technique &amp; tools for effective consultation and participation</p> <p>Is there an existing framework for effective participation?</p>
	<p><b>FGRM</b></p> <p>Grievance mechanism has been developed and reported in the pilot policy of the REDD+ project</p> <p>Which project? Has it been used by community members yet?</p> <p>Could you please highlight the main features of grievance mechanisms in Cambodia?</p>	<p><b>FGRM</b></p> <p>Specific framework to assess existing grievance mechanism enabling an appropriate one for REDD+</p> <p>How grievances and conflicts are currently addressed in Cambodia?</p>

Country name: Indonesia		
Causes of social challenges / issues	Strengths / achievements	Gaps or limitations
<p>Land tenure</p> <ul style="list-style-type: none"> <li>Complex tenure system</li> <li>Are indigenous peoples land and territorial rights legally recognized?</li> <li>Limited legal schemes for addressing tenure drivers</li> <li>Conflict over forest areas</li> <li>Political will of local/central government is weak</li> <li>Sectoral / fragmented approach in managing forest (natural resources)</li> </ul> <p>What are the economic drivers of deforestation?</p> <p>Governance</p> <ul style="list-style-type: none"> <li>Previous programs have no real impact to community</li> <li>Disharmony among the programs</li> <li>Leadership to evoke participation is weak</li> <li>Capacity gap of understanding regarding the program</li> </ul>	<p><b>C&amp;P</b></p> <p>Participatory Development Plan at the village and district level</p> <p>Guidance for public consultation</p>	<p><b>C&amp;P</b></p> <p>Participatory Development Plan at the village and district level has not been optimized in setting up REDD+ processes</p> <p>Why?</p>
	<p><b>SESA</b></p> <p>Frameworks for safeguards have been designed:</p> <ul style="list-style-type: none"> <li>National safeguards and Safeguards Information System</li> <li>Environmental Impact Assessment</li> <li>Rights-based safeguards</li> </ul> <p>Have you consulted relevant stakeholders?</p> <p>How do you coordinate relevant stakeholders to comments on the Plan?</p> <p>Please expand on the rights-based safeguards. How they help in making REDD+ possible?</p> <p>What about the information flow and benefit sharing?</p>	<p><b>SESA</b></p> <p>Various initiatives have not been coordinated properly such as REDD+ SES, SESA, CCBA, etc.</p> <p>Is this only a limitation or could it be an opportunity?</p> <p>If so, what challenges are you facing?</p>
	<p><b>FGRM</b></p> <p>Existing conflict resolution established independently and multi-stakeholders National Forestry Council</p> <p>Initiatives to resolve conflict have</p>	<p><b>FGRM</b></p> <p>Institutionally ad-hoc, not independent, has no legal umbrella, lack of credibility</p>

	<p>been established at villages and district level</p> <p>How can existing mechanisms be linked to the REDD+ process?</p> <p>Why do they need to be independent?</p> <p>Are informal FGRMs being explored for application in REDD+ projects and programs?</p>	
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Country name: Lao PDR		
Causes of social challenges / issues	Strengths / achievements	Gaps or limitations
<p>Poverty</p> <p>In your country the issue of women participation in REDD+ was a big issue. You can find more information in the report conducted by WOCAN.org on gender assessment and REDD+</p> <p>Why is poverty a challenge for REDD+?</p> <p>REDD+ provides an opportunity to reduce poverty. Why is poverty impeding REDD+ progress towards readiness?</p> <p>How does your country deal with poverty?</p> <p>Land for social and economic development</p> <p>Are there land tenure and rights for IPs?</p> <p>Infrastructure development</p> <p>How this is related to REDD+ program? Please clarify.</p> <p>Limited access to information (local communities)</p> <p>Does your country have problems with REDD+ materials in your own</p>	<p><b>C&amp;P</b></p> <p>National REDD+ Task Force</p> <p>Elaborate about the involvement of IPs/CSOs in the National REDD+ Task Force.</p> <p>Are there women representatives in the Task Force?</p> <p>Is there a plan to establish</p> <p>Independent CSOs/IPs forums contributing to REDD+ discussions?</p> <p>How the strengths highlighted help in addressing poverty and infrastructure development?</p> <p>What is the level of political commitment?</p> <p>How long is the stakeholder engagement process?</p> <p>How are women and youth involved and what is their role in decision-making?</p> <p>How do you include CSOs and IPs in the consultation process?</p> <p>National policies support to local communities</p> <p><b>SESA</b></p> <p>Laws, decrees (Environmental Law, Land Law, Forest Law, etc.)</p>	<p><b>C&amp;P</b></p> <p>Does not yet include different sectors (NPA, local communities)</p> <p>Coordination of stakeholders</p> <p><b>SESA</b></p> <p>Social Impact Assessment</p> <p>Cultural Impact Assessment</p> <p>Is there any expertise with</p>

language?	<p>EIA Decree</p> <p>Are EIA regulations enforced?</p>	<p>regional level and sectoral assessment in Lao PDR?</p>
	<p><b>FGRM</b></p> <p>National Environmental Committee at national and provincial level</p> <p>Is this at the national level? What about the provincial level?</p> <p>Inspection Department (any Ministry)</p> <p>How are grievances addressed through these mechanisms?</p>	<p><b>FGRM</b></p> <p>Law enforcement</p> <p>What do you understand by FGRM?</p> <p>What are the local and informal mechanisms?</p> <p>Law revision and updating</p> <p>Revision of law may take many years</p> <p>Who is expected to take the lead of this revision?</p>



Country name: Nepal		
Causes of social challenges / issues	Strengths / achievements	Gaps or limitations
<p>Tenure rights</p> <ul style="list-style-type: none"> <li>Who owns forestland?</li> <li>Forest carbon rights</li> <li>Land forest ownership (collective vs. individual), including IPs rights</li> <li>Social complexity (socio economic condition, ethnic diversity)</li> </ul> <p>Do communities own their own lands?</p> <p>How are IPs being involved?</p> <p>Explain tenure challenges with regards to UNDRIP &amp; Convention 169?</p> <p>Benefit-sharing</p> <ul style="list-style-type: none"> <li>Elite capture (resources)</li> <li>Information / dissemination in a manner people can access &amp; understand</li> <li>Exclusion of Dalits, IPs, Madhesi</li> <li>Discrimination in benefit-sharing</li> <li>Discrimination in access to forest resources</li> </ul> <p>What does discrimination in benefit sharing means in relevant REDD+ issues?</p> <p>And what about carbon benefits?</p> <p>What are the emerging discrimination issues specific to REDD+?</p>	<p><b>C&amp;P</b></p> <p>Multi stakeholder forum</p> <p>Forestry networks</p> <p>Networks of stakeholders' own constituencies</p> <p>Commitment pledge from donors project to develop capacity of stakeholders</p> <p>Do any of these instruments address elite capture? How?</p> <p>What about experiences piloting benefit-sharing?</p> <p>How community forestry considers REDD+ benefit-sharing design?</p> <p><b>SESA</b></p> <p>EIA/IIE institutional process</p> <p>SES Standards developed</p> <p>Please outline the key steps undertaken to reach the current SESA stage?</p> <p>How to ensure it is a standard? Is it only for Nepal of Asia Pacific</p>	<p><b>C&amp;P</b></p> <p>Representation has to be sorted out to decide who speaks for who?</p> <p>Do NGOs fill the gap between IPs and the government?</p> <p>We need FPIC at all levels &amp; phases, not one time event</p> <p>Policy formulation process – top-down</p> <p>What do you plan to do regarding top-down policy formulation process?</p> <p>Mechanism for adequate representation in policy process</p> <p>Misunderstanding and miscommunication about REDD+ mechanism</p> <p><b>SESA</b></p> <p>Very lengthy, rigorous and expensive process</p>

<p>Uncertain political and legislative situation</p> <ul style="list-style-type: none"> <li>• Conflict between different forest management modalities</li> <li>• Dynamic political situation</li> </ul> <p>How political parties influence government policies?</p>	<p><b>countries?</b></p> <p>FPIC Alliance Formation and contribution to SES and SESA</p> <p>SESA in progress</p> <p>Capacity-building and awareness</p>	
	<p><b>FGRM</b></p> <p>REDD+ Apex body</p> <p>Do the Apex body and the Technical Working Group really participate in addressing and resolving grievances?</p> <p>Multi stakeholder forum</p> <p>REDD+ Working Group</p>	<p><b>FGRM</b></p> <p>Not effective mechanism at the moment.</p> <p>Why aren't they effective?</p> <p>What would it take to strengthen them?</p> <p>No proper institutional set-up</p> <p>Enactment of policies in compliance of international measurement of collective rights</p>

Country name: Papua New Guinea		
Causes of social challenges / issues	Strengths / achievements	Gaps or limitations
<p>Environmental challenges:</p> <p>Accessibility:</p> <ul style="list-style-type: none"> <li>- Geographic characteristics</li> <li>- Remoteness</li> <li>-</li> </ul> <p>Social:</p> <ul style="list-style-type: none"> <li>- Cultural diversity</li> </ul> <p>Why is cultural diversity a REDD+ social inclusion challenge? – please elaborate</p> <p>This is not a social issue.</p> <p>Women's participation is one of the most important challenges in PNG.</p> <ul style="list-style-type: none"> <li>- Land ownership</li> </ul> <p>How do you deal with land ownership issues?</p> <p>What are the challenges associated with customary land ownership?</p> <p>How about government support?</p> <p>What are the key problems?</p> <p>Legislative:</p> <ul style="list-style-type: none"> <li>- Legislation currently non existing</li> <li>- Draft policy in place</li> </ul> <p>Economic</p> <ul style="list-style-type: none"> <li>- Benefit-sharing</li> <li>- Opportunity costs</li> </ul>	<p><b>C&amp;P</b></p> <p>Technical Groups</p> <p>How existing strengths and limitations are connected with the challenges?</p> <p>Why Technical Working Groups are in a C&amp;P mechanism?</p> <p>Do you have any representation from communities?</p> <p>Do you have CSOs representation in different working groups?</p> <p>How often do these WGs meet? Are they inclusive?</p> <p>How is their performance addressed?</p> <p>How do they work together with many stakeholders as government, NGOs, private sector?</p> <p><b>SESA</b></p> <p>Sub-Working Group (REDD+ SESA)</p> <p>REDD+ Project Guidelines</p> <p>How about your local people managing the forest?</p> <p>You mentioned something about SESA Guidelines, could they still be applicable even if they are not specifically for REDD+?</p> <p>Is there a process to develop Guidelines for a National REDD+</p>	<p><b>(For C&amp;P, SESA &amp; FGRM)</b></p> <p>Capacity:</p> <ul style="list-style-type: none"> <li>• Costs</li> <li>• Expertise</li> <li>• Resources</li> </ul> <p>Address the disconnect between national and sub-national consultation</p> <p>How grassroots people are involved in consultation?</p> <p>How are IPs being involved in REDD+?</p>

<p>Why benefit-sharing in mining has failed? PNG had an innovative system (Dev Forum) to share benefits from mining?</p> <p>What do you mean by opportunity costs?</p> <p>What are the economic pressures of forests?</p>	<p>Programme?</p> <p>How do the Guidelines work with many stakeholders?</p> <p>How will you deal with land ownership?</p>	
	<p><b>FGRM</b></p> <p>Is there one?</p> <p>Does PNG have independent bodies (Human Rights Commission, Ombudsman)?</p> <p>Why not build on the PNG FA mechanism?</p> <p>Can you tell us more about FGRM at the national level authority?</p> <p>Why not built on the PNG FA mechanism?</p>	

Country name: Thailand		
Causes of social challenges / issues	Strengths / achievements	Gaps or limitations
<p>Land and natural resources</p> <ul style="list-style-type: none"> <li>Conflict between communities and the State (law enforcement and traditional livelihoods)</li> </ul> <p>Please clarify why land and natural resource issues impede REDD+ towards effective and social progress?</p> <ul style="list-style-type: none"> <li>Rights (non-recognition)</li> </ul> <p>What is meant by non-recognition? Recognition by whom?</p> <p>Is forest on the land destroyed?</p> <ul style="list-style-type: none"> <li>Accessibility (limited access)</li> </ul>	<p><b>C&amp;P</b></p> <p>Stakeholders are included in REDD+ Task Force and TWGs</p> <p>How the strengths highlighted here address the challenges?</p> <p>How do you coordinate a multi stakeholder group in a REDD+ Task Force? What are the challenges of this coordination?</p> <p>What about a strong CF network?</p>	<p><b>C&amp;P</b></p> <p>Divergence of views and knowledge on REDD+</p> <p>What is the capacity of DNP field offices to engage in participatory processes?</p> <p>Review of laws and policies</p> <p>Issuance of Community Rights Act</p> <p>Who will be affected by the issuance of the Community Rights Act?</p>
	<p><b>SESA</b></p> <p>Plan to establish specific Working Groups on SESA</p> <p>Existing mechanisms:</p> <ul style="list-style-type: none"> <li>EIA (Environmental)</li> <li>SIA (Social)</li> <li>HIA (Health)</li> <li>Public hearings (Article 190)</li> </ul> <p>Do you have a master plan to apply REDD+ forest management?</p> <p>How HIA integrates with REDD+?</p> <p>How frequently are public hearings held?</p>	<p><b>SESA</b></p> <p>Less understanding and application of SESA</p>

	Has Article 190 requirements been taken into account in the C&P Plan and the SESA work plan?	
	<p><b>FGRM</b></p> <p>FGRM exists:</p> <ul style="list-style-type: none"> <li>• National Human Rights Commission</li> <li>• Ombudsman</li> <li>• Administrative Court</li> </ul> <p>Do these FGRM existing mechanisms work for REDD+ and forestry issues?</p> <p>The mechanisms all are formal. What about informal mechanisms?</p> <p>Are these systems equitable and effective?</p> <p>What are the informal arbitration mechanisms?</p> <p>How is the Ombudsman used in REDD+ grievances?</p> <p>How are all these mechanisms coordinated? What is the rate of success?</p>	<p><b>FGRM</b></p> <p>No holistic approach and special mechanism for REDD+</p> <p>How will stakeholders be compensated?</p> <p>Is there any problem in terms of legitimation, independency, credibility of existing FGRM?</p> <p>Why do you need a special mechanism for REDD+?</p>

Country name: Vanuatu		
Causes of social challenges / issues	Strengths / achievements	Gaps or limitations
<p>Design of benefit sharing (carbon rights)</p> <p>Carbon finance – <i>(Circular figure)</i> Government Vanuatu wants to provide non-monetary incentives for avoided deforestation and degradation.</p> <p>Customary Landowners own 95% of the forest and thus – Carbon benefits</p> <p>Explain why REDD+ is relevant for Vanuatu? What forests are under threat?</p> <p>What is the IPs situation in Vanuatu?</p> <p>How do you control the private land?</p> <p>A: There are only a couple of hectares.</p> <p>What are the incentives for communities to participate in a REDD+ Program?</p> <p>A: Development of export market for agro-forestry products.</p> <p>Difficult to have effective engagement</p> <p>75% rural population</p> <p>27% Literacy</p> <p>Limited communication infrastructure</p>	<p><b>C&amp;P</b></p> <p>Extension &amp; outreach program designed</p> <p>Strong government support for local diverse communication channels</p> <p>Strong CC/DDR network in Port Vila</p> <p>What are the roles of NGOs/CSOs in C&amp;P process? Are they active?</p> <p>How government collaborates with NGOs/CSOs?</p>	<p><b>C&amp;P</b></p> <p>Human resource constraints</p> <p>Is there home-grown capacity to conduct REDD+ related consultations or might Vanuatu benefit from “outsourcing” coordination of this process?</p>
	<p><b>SESA</b></p> <p>Focus on “+”: Land tenure system means most likely national activities will provide:</p> <ul style="list-style-type: none"> <li>- Livelihoods</li> <li>- CC Adaptation / Ecosystem resilience</li> </ul>	<p><b>SESA</b></p> <p>No good examples or successful similar mechanisms</p> <p>Does Vanuatu still need SESA?</p> <p>A: Yes, but concern over level of effort vs. size of issue.</p>
	<p><b>FGRM</b></p> <p>Customary processes</p> <p>How is the customary process?</p> <p>What about other related policy on grievance mechanisms that is appropriate for REDD+?</p> <p>How to integrate different traditional conflict resolutions?</p>	<p><b>FGRM</b></p> <p>Only customary processes at the moment.</p>

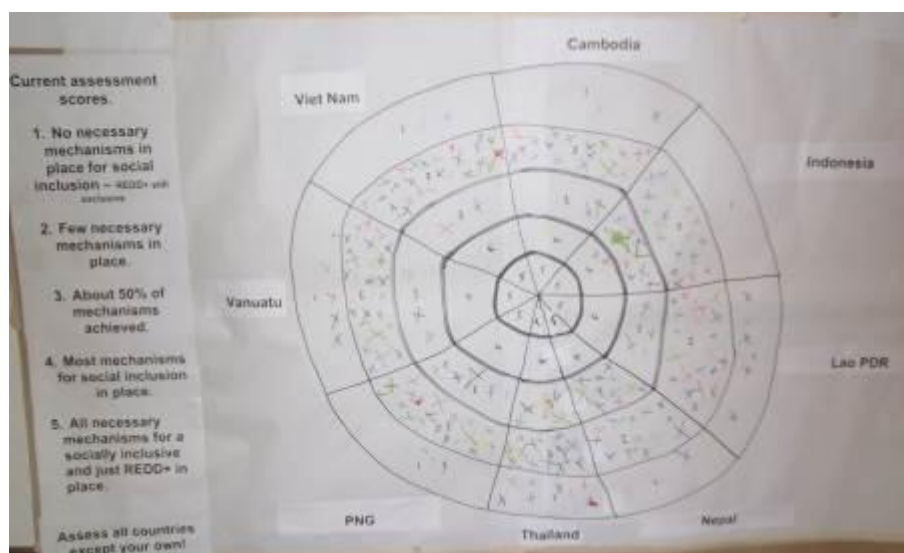
Decentralized governance		
Isolation of communities.		



Country name: Viet Nam		
Causes of social challenges / issues	Strengths / achievements	Gaps or limitations
<p>Definition of “community” and “community forest” does not fit with REDD+</p> <p>Can Viet Nam develop community forestry with a communal ownership concept?</p> <p>Rights on land tenure, forest ownership and carbon rights not well defined</p> <p>Is there no conflict with regards to the terms “land tenure” and “rights”?</p> <p>Do you have private land?</p> <p>Explore about the contradiction between “state land” and “peoples’ rights”.</p> <p>Awareness limitations of local people on REDD+ and FPIC</p>	<p><b>C&amp;P</b></p> <p>FPIC</p> <p>How is the relationship between IPs and government for FPIC implementation?</p> <p>STWG REDD+ Governance</p> <p>Lessons on C&amp;P mechanism learnt from previous/past projects</p>	<p><b>C&amp;P</b></p> <p>FPIC</p> <ul style="list-style-type: none"> <li>No time for people to think about REDD+ decisions</li> <li>Lots of new terminology</li> </ul> <p>Is there a way forward?</p>
	<p><b>SESA</b></p> <p>Payment for forest &amp; ecosystem services in 34 provinces</p> <p>How payments for forest and ecosystem services can be of use in a communist country?</p> <p>Who receives the payments from whom?</p> <p>If there is PES, there should be defined responsible people somewhere. Please provide examples on how to define and accept them.</p> <p>Existence of Environmental Protection Law with detailed guidance on ESA mechanism</p>	<p><b>SESA</b></p> <p>Lack of community rights</p> <p>Why? The government won’t allow community rights?</p>
	<p><b>FGRM</b></p> <p>Laws on grievance and claim</p> <p>What is the implementation status of grievance laws?</p>	<p><b>FGRM</b></p> <p>Law enforcement</p>

## Session 8. Overall multi-country synthesis exercise

To wrap up the country analysis and sharing session, everyone was asked to evaluate what they thought was progress towards mechanisms for social inclusion in REDD+ Readiness, in all countries represented in the workshop apart from their own.



**Photo:** Target scoring exercise – evaluation of perceptions of progress towards social inclusion in REDD+ Readiness in participating countries. The results of the target scoring exercise are presented in tabular form below.

	5. All necessary mechanisms in place for socially just and inclusive REDD+	4. Most mechanisms for social inclusion in place	3. About 50% of mechanisms for social inclusion in place	2. Few necessary mechanisms for social inclusion in REDD+ in place.	1. Absence of necessary mechanisms for social inclusion in REDD+.
<b>Cambodia</b>			2	20	2
<b>Indonesia</b>		2	9	19	
<b>Lao PDR</b>			4	21	5
<b>Nepal</b>			10	13	1
<b>Thailand</b>			4	15	8
<b>Papua New Guinea</b>			5	19	4
<b>Vanuatu</b>			3	26	5
<b>Vietnam</b>			2	25	2

## B. REDD+ Consultation and Participation

After a recap of relevant lessons by the assigned country teams, the consultation and participation thematic session of the workshop began with an introductory presentation.

### Session 10. Introductory Guidance and Insights into REDD+ Consultation and Participation.

A presentation was given by Haddy Sey, Senior Social Development Specialist, FCPF FMT which covered the following points:

- The rationale and purpose and goal of consultation and participation in REDD+ readiness.
- Definitions and degrees of participation.
- Guidance on conducting consultations including the need to be adaptive and responsive.
- Overview of the REDD+ C&P process building blocks, inputs, activities and outcomes.
- Challenges of applying Consultation and Participation.

### Session 11. Multi-country group work; REDD+ C&P enhancement tactics

Three multi-country groups were formed tasked with using different analytical frameworks for deep analysis of C&P aspects that are necessary for effective REDD+ readiness. The following three analytical frameworks were used:

- 1) Matching tools/mechanisms to stakeholders for consultation, participation and communication in REDD+ readiness.
- 2) Stakeholder rights, responsibilities and revenues in REDD+, together with the participatory mechanisms that are required to work towards these in REDD+ Readiness
- 3) Process plan preparing for meaningful participation, consultation and communication in REDD+.

### Group Presentations

#### Group 1: Participation, Consultation and Communication Methods

This group first of all on their own initiative undertook a stakeholder mapping and categorization exercise to help categorize stakeholders.

	Interest	Power (influence)
<b>International</b>	International NGO Donor agencies UN Experts	Donor governments Consumers
<b>National</b>	Politicians Government agencies CSO/NPA Private Sector( Cooperate Social Responsibility)	Politicians Embassies Government Agencies Private Sector Consumers
<b>Local</b>	Politician Civil Society organizations Women's associations/groups	Politicians Government. Traditional Leaders

	Indigenous Peoples/Local Communities Organizations. Youth Organization.	Religious Leaders. Teachers
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<b>Participation and Consultation tools/measures</b>	<b>Categories of stakeholders involved in consultation and communication measures</b>	<b>Communication tools/measures</b>
<ul style="list-style-type: none"> <li>Follow consultation protocol (Indonesia)</li> <li>Multi-stakeholder participation</li> <li>Feedback loop – ensuring output of stakeholder engagement is known.</li> <li>Networking</li> <li>Keep stakeholders well informed.</li> <li>Trainings on participation,</li> <li>Meetings</li> <li>Seminars</li> <li>Workshops</li> <li>Motivation and influence stakeholders – offer promotional items.</li> <li>Translucent communication – clear. Language consideration and using appropriate messages to be understood.</li> <li>Consultation in the area of interest (e.g. directly with forest communities).</li> <li>Establish localized REDD+</li> </ul>	<p>Interested International</p> <ul style="list-style-type: none"> <li>International NGOs</li> <li>UN agencies</li> <li>Donor agencies</li> <li>Experts</li> </ul> <p>Powerful international</p> <ul style="list-style-type: none"> <li>Donors</li> <li>Consumers</li> <li>Multi-national companies</li> <li>Government Agencies</li> <li>Private sector</li> </ul> <p>Interested national</p> <p>Powerful-</p> <ul style="list-style-type: none"> <li>Academe</li> <li>Politicians</li> <li>Embassies</li> <li>Indigenous Peoples Networks</li> <li>Civil Society Organizations.</li> <li>Women associations/groups</li> <li>Youth organisations</li> <li>Local community</li> </ul> <p>Powerful local</p> <ul style="list-style-type: none"> <li>Government</li> <li>Teachers</li> <li>Traditional Leaders</li> <li>Religious leaders</li> </ul>	<ul style="list-style-type: none"> <li>Meetings</li> <li>Publications( training manuals, books, guides)</li> <li>Newspapers</li> <li>Public hearing</li> <li>Public address</li> <li>Public service announcement</li> <li>Letters (Formal/official)</li> <li>Radio dramas</li> <li>SMS/texting</li> <li>Brochures</li> <li>Flyers</li> <li>Leaflets</li> <li>Posters</li> <li>Website</li> <li>Internet</li> <li>Emails</li> <li>Sermons</li> <li>Dramas</li> <li>Festivals</li> <li>Traditional communication tools.</li> <li>Education materials/schools.</li> </ul>

focal person( builds trust and works for smaller communities) <ul style="list-style-type: none"> <li>• Survey</li> <li>• Background research</li> <li>• Participatory mapping</li> <li>• Traditional knowledge</li> <li>• FPIC</li> <li>• Direct grant mechanism</li> </ul>		
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## Group 2: Rights, Responsibilities and Revenues

Getting the balance right among rights, responsibilities and revenues is key to ensuring social justice in REDD+ implementation. Group 2 initially identified ideal rights, responsibilities and revenues for two key stakeholder groups, forest communities and government during REDD+ implementation, then worked back from there to identify what had to be done during REDD+ readiness to achieve such a balance.

	Ideal rights in REDD+ Implementation	Ideal responsibilities in REDD+ implementation	Ideal revenue/benefits in REDD+ implementation
<b>For Communities</b>	<ul style="list-style-type: none"> <li>• Forest Land owners must carry out registration before implementation.</li> <li>• Provide land titling to community managed forest.</li> <li>• Clarify forest tenure issues before REDD+ implementation.</li> <li>• Indigenous communities should be given ownership over collective forests.</li> <li>• Forest communities should be the owners of the</li> </ul>	<ul style="list-style-type: none"> <li>• Carbon stock enhancement and conservation of biodiversity.</li> <li>• Achieve emissions reduction.</li> <li>• Sustainable forest management.</li> <li>• Protection of their forest in partnership with other stakeholders.</li> <li>• Full engagement in the process.</li> <li>• Take part in working groups.</li> </ul>	<ul style="list-style-type: none"> <li>• They should receive a fair share in a transparent way.</li> <li>• Indigenous forest peoples should be the primary beneficiary from REDD+</li> <li>• 100% of the benefits should go to forest communities.</li> <li>• Directly getting the money from REDD+</li> <li>• Communities should be allowed to use</li> </ul>

	<ul style="list-style-type: none"> <li>carbon.</li> <li>Forest communities should have right to manage and use the forests.</li> <li>When forest communities have rights over the forest they should not have rights to transfer ownership to a third party.</li> </ul>	<ul style="list-style-type: none"> <li>Maintain and sustain the forest environment in partnership with relevant stakeholders.</li> </ul>	<p>the forest resources.</p> <ul style="list-style-type: none"> <li>Communities should receive support to ensure they have stable livelihoods.</li> </ul>
<b>For Governments</b>	<ul style="list-style-type: none"> <li>Should respect the rights of Indigenous peoples and forest communities.</li> </ul>	<ul style="list-style-type: none"> <li>Should be a facilitator, not a 'ruler'.</li> <li>Motivate the Indigenous peoples and forest dependent communities to fully participate in all steps in the REDD+ process.</li> <li>Support communities to strengthen their rights.</li> <li>Ensure good forest governance.</li> <li>They should be responsible for providing the incentives framework, stick and carrot policies.</li> <li>Knowledge distribution and capacity building role.</li> </ul>	<ul style="list-style-type: none"> <li>Should be lead organization in deciding benefit sharing and responsibilities (in transparent way).</li> <li>They will benefit from tax paid by the forest owners.</li> <li>They should guide communities to understand the different options of how to utilize the benefits.</li> <li>They should complement international funds with local funding.</li> <li>They must be honest and transparent in their dealings with communities from the onset and ensure that communities fully understand the risks etc.</li> <li>They are responsible for supporting sustainable development.</li> <li>They are responsible for</li> </ul>

			ensuring maximum benefits to communities.
<b>State below: What feasible participatory mechanism required in REDD+ readiness to prepare for the above.</b>			
<ul style="list-style-type: none"> <li>• Empower forest communities to become forest/carbon owner not only 'labor'</li> <li>• Carry out voluntary customary registration to identify land owners prior to implementation</li> <li>• Communities must participate meaningfully in the entire process.</li> <li>• Ensure communities are in harmony.</li> <li>• Try to use local processes to resolve issues</li> <li>• Leaders to ensure dissemination of information is done regularly and the right kind of information.</li> <li>• Ensure local people's rights are fully respected</li> <li>• Establish a grievance mechanisms</li> <li>• Develop policies, programs and institutions in a participatory manner.</li> <li>• Meaningful participation of relevant stakeholders through consultation mechanisms and institutional arrangements.</li> <li>• Multi-stakeholder process from local to national level.</li> <li>• Should be representatives of stakeholders at all levels identified to take part in multi-stakeholder processes.</li> <li>• Ensure there is clarity of roles of all stakeholders and checks and balances in place to ensure there is equitable participation.</li> </ul>			

### Group 3: Planning the process of participation

This group focused on developing the key generic process steps in a good Consultation and Participation plan.

<b>Ideal Key Process steps (please put in best process sequence) that are necessary during REDD+ readiness to ensure meaningful and sustained participation in REDD+ implementation.</b>	<b>Purpose of steps – the justification/outcome for this step?</b>	<b>Skills/capacities. Which organizations should coordinate/facilitate and what skills/capacities should they have?</b>
<b>Set up</b> <ul style="list-style-type: none"> <li>• Stakeholder mapping</li> <li>• Impact assessment of REDD+ on forest stakeholders.</li> <li>• Institutional analysis assessment must be done in participatory way with stakeholders.</li> <li>• Inform policy makers</li> </ul>	<ul style="list-style-type: none"> <li>• To make sure stakeholders are properly identified and represented.</li> <li>• To establish roles and responsibilities for all stakeholders at different levels.</li> <li>• Important to the overall coordination of REDD+ to have</li> </ul>	<ul style="list-style-type: none"> <li>• Regional/national level</li> <li>• The coordinating organization should be at national level but linked to sub-national and community level to ensure adequate coordination.</li> <li>• Should be forest community/IPs networks/forums</li> </ul>



about the lessons learned from REDD+ pilot project on consultation and participation.	stakeholders identified, institutions assessed and links to policy makers.	established to cut out the middle man – communities represent themselves. Existing community based – forum/network
<b>Planning</b> <ul style="list-style-type: none"> <li>Consolidate existing experiences with Consultation and Participation and adapt for REDD+</li> <li>Develop a Guideline for REDD+ Consultation and Participation and FPIC</li> <li>Link/feedback Consultation and Participation mechanism to policy making, so that it is recognized, legal and feeds into decision making.</li> </ul>	<ul style="list-style-type: none"> <li>This will all help lead to ensuring peoples participation in the whole REDD+ process.</li> <li>Guidelines will provide instruction to ensure quality in the process of consultation and participation.</li> </ul>	<ul style="list-style-type: none"> <li>Need local skilled organizations to facilitate the participation process bridging gap between communities and government.</li> <li>Need multi-stakeholder forums to take place at community, regional and central level.</li> <li>The coordinating organization/technical working group/task force should have representation from all key stakeholders (IPs, Government, NGOs, Private sectors, universities etc.) or should at least be recognized as legitimate by all stakeholders.</li> </ul>
<b>Implementation</b> <ul style="list-style-type: none"> <li>One door REDD Registry System</li> <li>Awareness Raising for stakeholders/communities at all levels</li> <li>Ensure widespread access to information on REDD+</li> </ul>	<ul style="list-style-type: none"> <li>Implementing participation will encourage free will.</li> <li>Knowledge dissemination</li> <li>Building networks.</li> <li>Building capacity.</li> <li>Information campaign will ensure that at all levels there will be clarity and understanding of the issues.</li> </ul>	<ul style="list-style-type: none"> <li>Skills of coordinating body should include; social understanding skills, skills on local culture/situation/language, facilitation skills, REDD+ process knowledge, How to enhance participation, how to communicate information, time management,</li> <li>Ensure enough finances are in place for the coordination of C&amp;P, need skills in fund raising and management.</li> </ul>
<b>Monitoring and Evaluation</b> <ul style="list-style-type: none"> <li>Sub national and national M&amp;E systems set up</li> <li>Review of consultation and participation policies, guidelines and practice.</li> <li>Establish a grievance mechanism that is widely accessible for all levels of stakeholder.</li> <li>Feedback mechanisms to feedback lessons into</li> </ul>	<ul style="list-style-type: none"> <li>Ensure timely identification of problems/issues with Consultation and Participation.</li> <li>Help to keep on track with the plan implementation.</li> </ul>	<ul style="list-style-type: none"> <li>Need the dedicated resources and man power to implement consultation and</li> </ul>



decision making.		participation.
<b>Organization – Institutional set-up</b> <ul style="list-style-type: none"> <li>Set up institutions to manage process at national and sub-national level</li> </ul>		

The outputs were presented for peer review using a rotating panel method where participants from different groups, gave critical feedback and evaluated the presentations by other groups according to different criteria (see photo below).



**Photo:** Peer review of presentations using the rotating panel method designed to promote participation( new participants take their position on the panel for each presentation), active listening, critical peer review and analysis of presentations according to different criteria.

The results of the panel scoring are presented in the table below for the 3 presentations.

	How meaningfully participatory and socially just will REDD+ implementation be?	Do measures/tools fit purpose and stakeholders' needs?	Innovation?	Feasibility and cost effectiveness?	Total Score
Why? Rights, Responsibilities and Revenues team	7	7	6	7	27
How? Matching tools to purpose stakeholders team	6	7	6	8	27
What? Process plan team	8	7	7	8	30

Note: Scores are out of 10.

## **C. REDD+ Strategic Environment and Social Assessment (SESA/ESMF)**

### **Session 13. FCPF guidance/insights into strategic environment and social assessment (SESA) and the associated environmental and social management framework (ESMF) for REDD+ readiness**

An introductory presentation was given by Fernando Loayza, Sr. Environmental Specialist, World Bank's Agriculture and Environmental Services Dept. This presentation covered some of the following;

- Definitions of SESA and differences between SESA and ESMF.
- The purpose of SESA in REDD+, as a framework for managing and mitigating environmental and social risks and impacts for future investments associated with implementing the country's REDD+ strategy.
- Process steps for developing the SESA.
- Overview of World Bank safeguard policies and the Common Approach.
- Guidance on form of SES process in REDD+.

### **Session 14. Multi-Country Group Work: REDD- SESA/ESMF Macondo Case Study analysis clinic exercise**

A case study analysis/role play method was used to help internalize lessons related to SESA development in a practical way. A hypothetical case study was introduced around a fictitious country, Macondo. The country context was described as follows:

#### **The context of Macondo.**

Between 1943-1993 deforestation in Macondo was rampant and almost 40% of its forest was lost. By the middle of the 1990s deforestation was reversed but since threats have emerged:

- Conversion to agricultural land particularly in the North
- Infrastructure development and construction of hydropower plants
- Illegal logging
- Forest Fires

The REDD+ Readiness Preparation Proposal (R-PP) was approved by mid-2012 and this included a completed SESA ToR (a copy of which was shared with participants).

The participants were then divided into four groups to analyze the R-PP SESA TOR. Two groups playing Consultants who had developed and thus supported the TOR and two groups playing NGOs who were critical of it and wanted to question the consultants.

Some of the specific points raised about the Macondo SESA TOR to the 'minister' and recommendations from the 4 teams playing either the role of Consultants or NGOs are presented in the following. Note that the points are presented in response to criticisms originally stated by the NGOs.

#### **Team 1 Consultants – in favor of the SESA TOR**

**1. Forest conservation would exclude communities from the forests and constrain agriculture, affecting livelihoods negatively.**

- If institutional stakeholder's processes would lead to exclusion, World Bank Safeguards will block them.
- REDD+ Strategies must be voluntary at every level – developed in a fully inclusive way.
- FPIC will be applied during all consultations.

**2. Only powerful people close to the government would decide on the REDD+ strategy options. Poor farmers and indigenous peoples have no chance to influence the REDD+ process.**

- Existing consultation structures will be refined and improved during the SESA process.
- Initial validation workshop will address representation/participation issues – we have to start somewhere.
- We'll conduct new stakeholder analysis at both beginning and the end of the assignment.
- Encourage communication among stakeholders, special attention on disadvantaged groups (IP, poor farmers, women)
- Use different kinds of media to collect voices.
- Follow up national workshop at sub national levels.

**3. Benefits of REDD+ would accrue to the government. Costs would be borne by forest-dependent people, indigenous peoples and farmers.**

- PRA is applied to assess trade-off between economic growth and poverty alleviation to improve REDD+ strategy.
- Cost/Benefit analysis: Stakeholder analysis will ensure fair benefit distribution.
- Local forest communities will be fully consulted and considered in decision making.

**4. The potential social and environmental impacts of implementing the REDD+ strategy can be significant because Macondo does not have robust environmental and social safeguards.**

- World Bank/relevant safeguards will apply.
- There will be a facilitation of the formulation of the SESA regulation.

**Team 2. NGOs critical of the SESA TOR.**

**1. Forest conservation would exclude communities from the forests and constrain agriculture, affecting livelihoods negatively.**

- Are the methods realistic? Identifying key environmental and social issues?
- What if there is not existing information to support the development of SESA/ESMF?
- Are there specific requirements needed by each country to qualify for SESA/ESMF?
- Each country is unique – situations are different – how does SESA address more specific issues? (Land tenure, government systems, resources).
- Does SESA cover alternative livelihoods for communities if REDD+ program is implemented?
  - What is the basis to identify alternatives, what are the pluses and minuses of each option?

- Where are the consultants coming from to develop the SESA? Do the consultants have sufficient knowledge and background which is country specific?

**2. Only powerful people close to the government would decide on the REDD+ strategy options. Poor farmers and indigenous peoples have no chance to influence the REDD+ process.**

- No specific mechanism to ensure the voice of the poor and the Indigenous Peoples.
- How to ensure the communities voices are heard at the strategic level?
- How do you ensure the poor people come to your workshop because of limited time?
- Conflict resolution (different groups in power have different interests).

**3. Benefits of REDD+ would accrue to the government. Costs would be borne by forest-dependent people, indigenous peoples and farmers.**

- SESA does not look at other key international treaties, conventions and declarations that may guide benefits sharing design.
- NGOS/stakeholders should be involved in development of the strategy not only 'commenting' on it at the stage of the ESMF draft.
- World Bank Operational Policy 4.10 – is this aligned with ILO 169 and UNDRIP. It has to be clear if it is Free Prior and Informed Consultation or Consent?

**4. The potential social and environmental impacts of implementing the REDD+ strategy can be significant because Macondo does not have robust environmental and social safeguards.**

- Where is the resourcing to ensure ESMF is monitored and measured over time?
- If gaps identified through SESA for Regulations. How will process address this? Is there money/resources to fill/develop all needed legal gaps?

**5. Other issues/key questions you may have for the consultants to respond to?**

- Regarding the SESA process, what are the existing consultation structures? What if no good structure exists or if it is inappropriate?
- There is no method for validating who the participants are (too general at the moment) and this does not guarantee social inclusion.
- Launching of SESA: you use a national workshop – this is a narrow form of consultation and not really innovative enough. Government is doing what is easiest.

**Team 3 Consultants who support the SESA TOR**

**1. Forest conservation would exclude communities from the forests and constrain agriculture, affecting livelihoods negatively.**

- The process of SESA will consider the representatives of communities taking part.
- Assessment of stakeholders/mapping including gap analysis on roles and responsibilities.
- Circulate the draft of the TOR, Work Plan, mapping to all the relevant stakeholders including to communities.
- Validation from stakeholders regarding TOR, draft etc.
- Prioritized issues:

- Tenure clarity in the REDD+ project to ensure the rights of the community.
  - Establish safeguards mechanism to include community in the process to design the REDD+ project.
  - Without community involvement it will not proceed as a REDD+ project.
- 2. Only powerful people close to the government would decide on the REDD+ strategy options. Poor farmers and indigenous peoples have no chance to influence the REDD+ process.**
- Design Information dissemination strategy for effective REDD+ Readiness.
  - Design appropriate grievance redress mechanism.
  - Formulate REDD+ management arrangements, participatory approach will be used.
  - Formulate 3<sup>rd</sup> party mediator to monitor the process of consultation and participation.
  - Design capacity building framework/strategy for multiple stakeholders.
- 3. Benefits of REDD+ would accrue to the government. Costs would be borne by forest-dependent people, indigenous peoples and farmers.**
- Issue of benefits and costs would be considered in-depth through the consultation and participation process and analytical work leading up to the SESA and the ESMF.
  - The Environmental and Social Management Framework will provide a framework to manage the potential environmental and social impacts.
  - ESMF will set up a national Indigenous Peoples Planning Framework (IPPF) to address any effects on IPs.
  - ESMF will address involuntary resettlement and /or restriction of access to natural resources having adverse livelihood impacts.
- 4. The potential social and environmental impacts of implementing the REDD+ strategy can be significant because Macondo does not have robust environmental and social safeguards.**
- FCPF Guidance on SESA WB's Safeguards Policy Macondo's Legal and Regulatory Framework.
  - Analyze Policy, capacity gaps to identify the Environmental and Social Impacts to enhance capacity of Mocondo (NGOs, Government, Private Sector etc)
  - Workshop to receive the feedback, ideas from stakeholders – revise validate existing regulations.

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#### **Team 4. NGOs criticizing the SESA TOR**

- 1. Forest conservation would exclude communities from the forests and constrain agriculture, affecting livelihoods negatively.**

Regarding the national validation workshop:

- May be able to overrule local recommendations.
  - Unclear composition of participants increase the risk.
  - Looks like poor people will bear the burden of REDD+ interventions.
  - No commitment to FPIC
  - A bias towards biodiversity focus.
- 2. Only powerful people close to the government would decide on the REDD+ strategy options. Poor farmers and indigenous peoples have no chance to influence the REDD+ process.**

- Stakeholder mapping exercise will be externally driven.
- Separate prioritization processes (villagers and industry/government) will result in bias.
- Village representation process not clear- no commitment to self-selection so representation may not be valid.
- At provincial/regional level proportion of village versus industry/government representation is not clear.
- Validation only of top-down planning (mapping) – might not reflect realities.
- Local people excluded from decision making – only consultation.

**3. Benefits of REDD+ would accrue to the government. Costs would be borne by forest-dependent people, indigenous peoples and farmers.**

- No information on PISS – so PI will end up with government.
- World Bank safeguards weak on compensation- only for forced relocation.
- World Bank safeguards have strong focus on Indigenous Persons not on non-IP local people.

**4. The potential social and environmental impacts of implementing the REDD+ strategy can be significant because Macondo does not have robust environmental and social safeguards.**

- In the consultation and participation plan it has to be specified who has the right to make decisions.
- Timeline for the review is too long.
- No commitment for on-going process of S-E
- Role of consultants too big.
- Gender issues not addressed (also age is not considered!)
- Discussion of drivers of deforestation emphasizes fire and high population but these issues are not included in the mapping.
- No commitment to information dissemination to local people in local languages (e.g. through setting up a REDD+ network of stakeholders).

After the exercise, there was a wrap up where comments/reflections on the results of the role play exercise were provided by the Minister, who was generally satisfied by the feedback offered by both sides.

## **D. REDD+ Feedback & Grievance Redress Mechanisms**

The introductory presentation delivered by Juan Dumas, an expert consultant to the FCPF FMT, covered the following topics:

- Overview of the progression of grievances to serious conflicts and the spectrum of approaches to deal with different stages of grievance/conflict.
- Definitions of grievance-related terminology and rationale for FGRM.
- Process and principles related to FGRM as they might apply during the Readiness and strategy implementation phases of REDD+.

- Links to FCPF FGRM resource materials.

The participants were then divided into paired country teams and using an analysis framework developed what they believed to be the components of a good practice FGRM.

Just to provide a concrete issue to think about, groups were asked to either consider tenure or benefit sharing as these topics had emerged during the workshop as key areas where there were a lot of conflicts arising. Although what emerged in the group work were pretty generic FGRMs that could deal with a wide variety of issues.

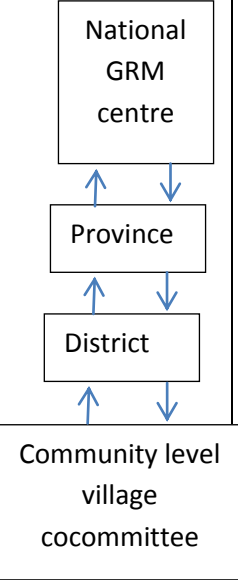
The results of the assessment were then presented in a rotating panel presentation – a similar method to the C&P presentations.

The outputs are presented in the following table:



Description of good practice REDD+ readiness FGRMs– countries were paired up to brainstorm together.

### 1. Countries: Laos and Thailand

I S S U E	Where should your GRM sit?	What would be the intake channels?	How would complaints be acknowledged and assessed?	What would the different responses it can offer be?	What happens if there is no agreement? Is there an appeals body?	How is the case closed?	How is the data collected?
L A N D  T E N U R E	 <pre> graph TD     A[National GRM centre] &lt;--&gt; B[Province]     B &lt;--&gt; C[District]     C &lt;--&gt; D[Community level village cocommittee]             </pre>	<p>TV, Radio using local language.</p> <p>Comments box</p> <p>Hotline</p> <p>Informal discussion</p>	<p>Screening mechanism.</p> <p>Define level of complexity.</p> <p>Set criteria for defining magnitude of the issues – if small solve at the local level if not report to higher level government bodies</p>	<p>Mediator</p> <p>Participatory discussion</p>	<p>Passed to an independent appeals body – ombudsman</p>	<p>Mutual agreement.</p> <p>State of satisfaction from complainant.</p> <p>Compensation for party who lost out.</p>	<p>Categorizing and grouping of data that is received from.</p> <p>Filed electronically and hardcopy.</p> <p>Officials at district, provincial and national information center.</p> <p>Shared and linked data.</p>

## 2. Nepal and Indonesia

<b>I S S U E</b>	<b>Where should your GRM sit?</b>	<b>What would be the intake channels?</b>	<b>How would complaints be acknowledged and assessed?</b>	<b>What would the different responses it can offer be?</b>	<b>What happens if there is no agreement? Is there an appeals body?</b>	<b>How is the case closed?</b>	<b>How is the data collected?</b>
<b>L A N D  T E N U R E</b>	National level.  State level.  Mail.  Legitimate by national law.  Human resource capacity building.  Operational guideline.  Recognition of customary law.	Everyone can complain.  SMS  Email  Phone  Website  Face to face.  Complaints box at all levels.  Delegation sent to hear complaints.  Public hearing.  Complaints letters.	System set up to acknowledge complaints.  Set criteria and indicators to categorize complaints.  Registration of complaint. Set limit of time to appeal the complaints.  Must set a response time for complaints of less than or equal to 15 days.  Letter of acknowledgement must be sent including time, schedule to resolve the grievances.	System for collective decision making.  Dialogue with the experts.  Site visit to understand grievance.  Invitations to a meeting for discussion on the grievance.  Organizing a public hearing.  Appointing responsible people to deal with FGRM.	Efforts to build alliances – bridge the gap.  Aggrieved people have the right to boycott REDD+ if they are not satisfied with grievance.  Community mediation. Invite mediator.  Customary law can be used to settle agreement through arbitration.  Go to court.  Go to the parliament	Written agreement.  Verbal agreement.  Compensation is distributed.  Traditional ritual.  Decision of appeal body.	Site visits and ask community grievances.  Culturally appropriate and well organized data base to store information.  Use Google map and satellite images/GIS to help in recording locations of grievances.  Setting up a classification system to store data based on type of FGRM case.

			Public announcement specifying the complaints received.				
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### 3. Vanuatu and Papua New Guinea

<b>I S S U E</b>	<b>Where should your GRM sit?</b>	<b>What would be the intake channels?</b>	<b>How would complaints be acknowledged and assessed?</b>	<b>What would the different responses it can offer be?</b>	<b>What happens if there is no agreement? Is there an appeals body?</b>	<b>How is the case closed?</b>	<b>How is the data collected?</b>
<b>B E N E F I T  S H A R I N G</b>	<p>Should be formal structure-sector specific within the lead government agency.</p> <p>There also needs to be an independent watchdog to ensure transparency and accountability</p>	<p>Formal – sector specific within lead government agencies.</p> <p>Informal – community leader/elder/councilor</p> <p>Direct walk in( e.g. a focal point in the market where people can complain)</p> <p>Consultation team outreaching in combination with local focal points.</p> <p>Local associations and land groups (existing structures) could be tapped as a</p>	<p>With regards to the direct walk in</p> <p>- Registration of all details of complaint, discussion on what feedback is required, allocation of time for follow up on complaint.</p> <p>- Phone or face to face meeting with complainant to update – commitment to give feedback should be</p>	<p>Depending on outcome of previous step.</p> <p>Revisit BSDS Agreement.</p> <p>Explain the agreement.</p> <p>Request meeting with the leader responsible for BS.</p> <p>GRM happens here.</p>	<p>If formal then the complaint must be taken to the responsible government agency.</p> <p>Disputes can be settled through an</p> <ul style="list-style-type: none"> <li>- Ombudsman Commission or if needed</li> <li>- private lawyers can be hired to represent the communities</li> </ul>	<p>A customary ceremony can be used to mark resolution( i.e. kava)</p> <p>Watchdog should act as a witness of the resolution and validate the agreement.</p>	<p>Database, minutes, survey</p>

		means to harness complaints from members.	monthly.  - Conflict mediation hearings may be a way to acknowledge and assess complaints.				
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#### Team 4. Cambodia and Viet Nam

<b>I S S U E</b>	<b>Where should your GRM sit?</b>	<b>What would be the intake channels?</b>	<b>How would complaints be acknowledged and assessed?</b>	<b>What would the different responses it can offer be?</b>	<b>What happens if there is no agreement? Is there an appeals body?</b>	<b>How is the case closed?</b>	<b>How is the data collected?</b>
<b>B E N E F I T  S H A R I N G</b>	People's committee commune level linked to district level linked to provincial linked to central government.	One door registry for face to face grievances.  A grievance and feedback website.  Email, social network.  SMS grievance mechanism.  Through making a file	One door registry –personnel trained to handle and assess complaints.  Record and filing complaints.  Specialized department for complaints (environment, agriculture etc.).	Analyze the information to identify the root cause of the complaints.  Dialogue, face to face.  Call a meeting the week after the complaint in the village concerned.  Case investigation Need fact finding study on the causes of the complaint.	Different approaches– if one fails next can be tried;  Independent third party mediator.  Arbitrator should be brought in.  Minister should call a meeting.  Civil court.  Appeals court.  Appeals committee if it is felt that decision	By reaching compromise between the parties.  By compensation.  Once complaints are satisfied.  When the fairness of the benefit sharing is agreed by parties involved.  If there is no agreement/satisfaction – send to higher level.	Statistics database ( e.g. 152 complaints – 2 not satisfied).  One door registry personnel are responsible to make records and publish them monthly, quarterly and annually.

		of complaints by affected people.  Phone number for complaints		Initiate negotiation between the parties.	is unfair.		Interactive feedback system set up.
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After the presentation the resource person gave some closing remarks, including some clarifications of issues raised during the presentations and a comment that although participants had stated that there were big gaps in understanding around FGRM, in fact a lot of mechanisms existed that could be built upon.

## E. Application and Adaptation of Workshop Lessons

### Session 21. REDD+ social inclusion role play

The role play was designed to enable participants to review outputs of the workshop and present, justify and debate priorities for enhancing social inclusion in REDD+ within a realistic scenario. It also was designed to enable participants to 'step into the shoes' of different stakeholders to better understand priorities from different perspectives.

The role play context was introduced. It should be noted that the characteristics in the hypothetical country of Shangriland were modeled on common issues that emerged in the contexts of participants' countries.

#### Hypothetical role play in Shangriland country:

- **R-PP done.** Shangriland has completed its REDD+ Preparedness Proposal but has not got much further than that.
- **C&P plan drafted but no follow on.** A C&P Plan was drafted, but there has been no participatory processes after R-PP drafting.
- **SESA TOR looks nice but not owned.** The SESA TOR has been drawn up by consultants, looks nice with fancy words but not 'owned' by national stakeholders. Some say it was done as a 'tick box' exercise.
- **No FGRM for REDD+.** No formal REDD+ 'FGRM' exists, but one is badly needed as there are numerous grievances emerging.
- **High expectations, weak consultations lead to 'community support'.** After radio programmes about millions of carbon dollars a few random community members were invited to 'consultation workshops' and made big promises about REDD+. NGOs were also in the workshop 'representing community members'. Community members in those workshops said they supported REDD+ and the NGOs were very excited.
- **High forest dependency.** About 50% of rural communities in Shangriland rely on forest products for their livelihood to a moderate to high degree. In the past they had strong traditions of forest management.
- **NGOs and government say poverty causes deforestation.** Deforestation is high but the root cause of deforestation is disputed, many NGOs and government say that the cause of deforestation is poverty and fuel wood collection.
- **Privately communities say lack of tenure leads to land grabbing and forest clearance.** Privately community members say that it is their lack of secure tenure, leading to 'open access' mentality and rich and corrupt people grabbing and clearing the forest that are the root cause of deforestation.
- **Publicly in REDD+ R-PP workshops communities said poverty causes deforestation.** Although privately the communities know that insecure tenure and corruption cause deforestation in Shangriland, in the R-PP consultation workshops, because so much money was promised, they stated that their poverty was the cause of deforestation.
- **Now tenure clarity and benefit sharing a pressing issue.** Now as REDD+ implementation is approaching in a couple of years, communities have become much more concerned about clarifying tenure and on clarifying benefit sharing before REDD+ implementation. It is not clear yet how the money will be dispersed and who will get it.

- **Government and NGOs say communities can't be trusted with the full forest ownership or with cash.** Government and NGOs say they have to be careful not to hand over large sums of money to communities as they can't handle money; rather alternative livelihood projects should be developed. Also if communities get full forest tenure they will destroy or sell the forest. They say that it is better that government and NGOs administer the funds on behalf of communities.

### **Role play scenario:**

1. The World Bank and UNDP have conducted a four-day workshop in Shangriland on social inclusion in REDD+ Readiness, and have invited different stakeholder groups together so that they can share their concerns on social inclusion in the REDD+ readiness process so far, and identify priority mechanisms to rectify any problems.
2. If the strategies are fully justified and cost effective within the REDD+ readiness phase then the World Bank/UNDP is prepared to offer up to US\$600K to fund those strategies.
3. Various ideas have been generated over the last three days for strategies to enhance social inclusion – related to Consultation and Participation, SESA and FGRM – and now stakeholders have been asked to prioritise what mechanism this grant should be spent on to effectively improve social inclusion.
4. But the World Bank/UNDP has still not decided if they will fund any strategy or which strategy to fund – because they are not strongly convinced about the justification. They need to be convinced during the multi-stakeholder debate. The World Bank/UNDP will take full part in the debate and even present their ideas.

Participants were divided to 'step into the shoes' of 4 stakeholder groups to discuss and make recommendations with justifications from the perceived perspective of the stakeholder group they are assigned.

1. Forest communities
2. NGOs
3. Forest Department.
4. Donors/World Bank.

**Stakeholder group presentations on key recommendations for priority strategies to enhance social inclusion in REDD+ and justifications were made in a debate and are highlighted in the following table:**

Stakeholder group	Recommendation	Justification
Forest communities	Meaningful inclusion of communities in all steps of REDD+ Readiness is essential –1) Design, 2) Implementation, 3) Benefit decisions, 4) Responsibility for decision making 5) Monitoring and evaluation.	As forest communities are the most directly affected by REDD+ they must have a great role in all aspects.
NGOs	NGOs should provide capacity building and technical assistance to the government and local communities.	<ul style="list-style-type: none"> <li>• Technical studies by consultants are long, complicated and expensive – better to use NGOs.</li> <li>• Communities and government lack of capacity on REDD+ NGOs have good experience.</li> <li>• NGOs can be the perfect bridge between the World Bank, communities and government.</li> <li>• Need for monitoring and evaluation of REDD+ NGOs are well placed for this.</li> </ul>
Ministry of Forestry	Provide US\$600k to the Ministry of Forestry to implement the existing Consultation and Participation plan.	<ul style="list-style-type: none"> <li>• It is premature for stakeholders to complain about the REDD+ Readiness process, as we have not begun yet, we simply need money now to implement the Readiness Process.</li> <li>• Our Consultation and Participation Plan is great – just give us the money to let us implement.</li> <li>• We have a secretariat of stakeholder consultation and existing policies and laws in place.</li> <li>• We need a study tour to Macondo for more exposure.</li> </ul>
UNDP/World Bank	Enhance stakeholder engagement processes, review and revise SESA TOR so that it reflects all the stakeholders' views and concerns	<ul style="list-style-type: none"> <li>• We have spent a lot of money, now you must keep moving – safeguards need to be put in place.</li> </ul>



The presentations and discussions were made using a 'fishbowl' debate method which is a free flowing but structured open debate method that provides equal opportunity but also equal time allocation for all participants and stakeholders to take part.

Some excerpts from the debate follow:

**Community recommendation: Meaningful inclusion of communities in all steps of REDD+ Readiness.**

- **NGO:** NGOs are here to help people like yourselves (communities) who don't have the capacities.
- **Community:** Communities have been here before NGOs and they hold centuries of local knowledge perhaps NGOs could learn a thing or two from communities.
- **NGOs:** Communities do not have the capacities to manage World Bank fund that is why they need NGOs to help them manage the funds.
- **Community:** NGOs have their hidden agenda – to help themselves not only communities.
- **Government:** Ministry of Forestry has already developed a very nice plan that should be funded; more funds are required. The ministry will work with communities to develop this REDD+ process but we need more funds to do this.
- **NGO:** NGOs have excellent relationship with communities, government and World Bank so could play an intermediary role.
- **Community:** These are our lands, our forests and our rights, so it should be our REDD+. Please give trust to the communities, we have our customary law and can do everything, just involve us in all the steps in the REDD+ process.

**NGOs recommendation: NGOs should provide capacity building and technical assistance to the government and local communities.**

- **Communities:** Communities do not trust NGOs.
- **NGOs:** NGOs have a lot of experience helping communities to ensure they get rights over their resources and have also linkages with Government. We asked for the support of the WB and the UNDP directly to NGOs.
- **World Bank:** NGOs could access some funds but only for program expenses; money for overheads will not be available.
- **NGOs:** We need money and salaries as well. We have the same expertise as the WB consultants but are cheaper.
- **Communities:** I am a resource owner. My ancestors lived in this forest. NGOs might have the experience but the resources are ours so you deal with us directly. We want to know more about your salaries, overheads. What in the end, after all those are paid, will be the benefit that would reach us?
- **Communities:** You NGOs are always trying to represent us, but we know how to represent ourselves, don't come in between talking on our behalf, only we can talk on our behalf!
- **Government:** Communities, you don't need the NGOs. We the government, have the capacity and technical expertise you need, though some areas may need strengthening. We would need extra funds to strengthen our capacities and continue to work with you communities.
- **NGO:** Our government is not effective delivering the services, which is why NGOs are needed. We are here to support communities.
- **Government:** Consultation and Participation Plan is already approved and the WB is ready to provide the money. Why are you (NGOs) coming between the government and the communities?

- **World Bank:** We cannot give funds to NGOs directly. It has to be through the Government.
- **NGOs:** Ministries are very corrupt. Why is the WB giving funds to governments?
- **World Bank:** Why did you stress NGOs had the same skills as WB consultants? Consultants are for profit but I understand NGOs are not. Please explain what you mean by this.
- **NGOs.** We need to eat!

**Ministry of Forestry (MoF)/Government recommendation: Provide US\$600k to the Ministry of Forestry to implement the existing Consultation and Participation Plan.**

- **MoF:** We've held a transparent process to develop the C&P Plan and support a multi-stakeholder working group.
- **Communities:** I have no education and I walked for 5 days to see you. There is no development in the middle of the forest, just some basic school and health infrastructure. How do I trust you will implement Free Prior and Informed Consultation? What have the government people ever done for us before?
- **UNDP:** Letters have been sent to the UN Secretary General stating that communities have not been participating in these consultations.
- **MoF:** We have announced it in the national newspaper but maybe just for one day so maybe many people did not get the information.
- **NGOs:** Ministry, your staff does not have the capacity to do consultation and participation. We the NGOs can help you out.

**WB & UNDP Recommendation: Enhance stakeholder engagement processes, review and revise SESA TOR so that it reflects all the stakeholders' views and concerns.**

- **Communities:** Before the WB has given funds for concessions that took the forest away and impacted livelihoods. What will happen with REDD+?
- **WB:** That was before. Now we have changed and we can talk directly to communities, as we are doing now to make sure REDD+ is positive for communities.
- **Ministry of Forestry (to the WB):** (Have prepared a contract for additional funding and present it to the WB/UNDP): Please sign here, our proposal is ready.
- **NGOs:** That Minister will use the funds for his political campaign, so it's better to work with NGOs.
- **Communities:** We have our system, that person from the government doesn't represent us.
- **WB/UNDP:** We hope that the Ministry will address the questions and that it will respect WB regulations about the use of funding in a transparent way.
- **Ministry of Forestry:** We also have our own laws, we have laws for everything, so don't worry all will be in order. Once we get the money we will move along quickly to implement your recommendation and enhance participation...please sign here.

At the end of the debate participants voted for the recommendation they favored. The communities' recommendation came out on top (23 votes) and the Ministry of Forestry recommendation (3 votes) came out on bottom in terms of priorities.

There was then an opportunity for reflections on the role play/debate. Some of these follow:

- When communities have an opportunity when the playing field is level, as was the case with this method, they are able to convince other stakeholders.

- As soon as money was mentioned, the interest was more to get the money rather than on how to genuinely improve the REDD+ program.
- Stepping into the shoes of the Ministry of Forestry made me feel important, powerful.
- NGOs have their own interests. All stakeholders have their own interests. They should only speak on their own behalf not on behalf of communities. Communities should be enabled to speak for themselves

## **Country Team Action Plans**

The country teams were asked to review outputs from the workshop and then develop an action plan aimed at the enhancement of the REDD+ readiness process to make REDD+ readiness more socially inclusive. The action plans were developed on pre-prepared matrices that follow. Again comments were placed on post-its. Some of these comments are included in 'red' within the matrices that follow.

**Action Plans for peer review (comments/questions on post-its in red)**

Country name: Cambodia	Priority needed mechanism to enhance social inclusion (1 key enhancement per topic) in REDD+ readiness in your country. Must be specific –how and what.	Justification. What gap is it addressing or strengths to build on?	Key stakeholder groups that must be engaged (think influential and affected)	When?	Who is responsible to coordinate/facilitate?
<b>C&amp;P</b>	<p>Continue to support</p> <ul style="list-style-type: none"> <li>• Set up consultation groups at national level</li> <li>• Set-up technical teams at national level</li> </ul> <p>Use existing REDD+ Task Force</p> <p>National REDD+ Office is needed</p> <p>Comments</p>	<p>Strengthen the link between national and local level.</p> <p>Continue support to existing networks at provincial and local level</p>	<p>CG members represent</p> <ul style="list-style-type: none"> <li>• Academic institutions</li> <li>• Indigenous Peoples</li> <li>• Local and International</li> <li>• Community Forest, Cfi, CPA networks</li> <li>• Private sector</li> </ul> <p>How do you engage Trade Unions (forest) and private sector in C&amp;P and SESA? It is</p>	As soon as possible	<p>REDD+ Taskforce Secretariat</p> <p>Consultation group members</p>

			not clear.		
<b>SESA/ESMF</b>	<p>Set up information flow mechanism</p> <p>Use existing REDD+ Task Force</p> <p>Who are sitting in the Task Force? Is this a good government agency?</p> <p>Where is it embedded?</p> <p>How many IPs representatives are in the Task Force?</p>	<p>Build capacity of REDD+ task force.</p> <p>Assessments of trade-offs (opportunity costs of forest conservation)</p> <p>Develop national safeguards guidelines</p> <p>Develop REDD+ strategy policy options.</p>	<p>Members of REDD+ task force from line ministries.</p> <p>Do you think only the involvement of line Ministries is enough for SESA process to be complete? What about the local community where REDD+ is implemented?</p> <p>You mentioned that REDD+ Task Force is responsible of coordinating all three components. How do you include other right-holders and stakeholders?</p>	<p>Ongoing</p> <p>Need to specify where the current SESA ToRs fits in. Will there be a validation step?</p>	<p>UNDP(DP), REDD taskforce secretariat</p> <p>UNDP can assist, coordinate, facilitate, but Government must take leading role.</p> <p>Setting up technical teams at national and regional level does not address district and village level, making it difficult to coordinate different initiatives and improve them.</p>
<b>FGRM</b>	<p>Use existing REDD+ taskforce.</p> <p>Using existing mechanisms – local authority Cadastral Commission</p>	<p>Strengthen existing mechanisms</p>	<p>Member of REDD+ task force from line ministries.</p> <p>No clarity on lead government agency to strengthen law enforcement</p>	<p>Ongoing</p> <p>Suggestion: Use tool to evaluate existing GRM and identify gaps. It can be done in one</p>	<p>( delivery partners) UNDP and REDD+ taskforce secretariat.</p> <p>Why do you put UNDP as responsible</p>

	How the mechanism will fulfill the 7 principal requirements: legitimate, accessible, right-compatible, transparent, etc.		mechanism?	month.	for coordinating?
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Country name: Indonesia	Priority needed mechanism to enhance social inclusion (1 key enhancement per topic) in REDD+ readiness in your country. Must be specific –how and what.	Justification. What gap is it addressing or strengths to build on?	Key stakeholder groups that must be engaged (think influential and affected)	When?	Who is responsible to coordinate/facilitate?
C&P	Public consultation in the regions.	<p>REDD+ will only be legitimate if forest stakeholders from regions are engaged.</p> <p>There is a budget constraint to do effective and widespread consultation and participation.</p> <p>Is it realistic to do C&amp;P if there are no or inadequate resources?</p>	<p>Target Indigenous People and communities in 7 regions.</p> <p>Why only IPs? How about other stakeholders?</p> <p>Key stakeholders should include government agencies.</p> <p>Regarding stakeholders and multi- stakeholder mechanisms, you did not mention about private sector and trade unions (forest</p>	Start June 2013.	DKN – National forestry authority? This would include DKN in 10 regions.

			workers). Do you think those are also important stakeholders in your country?		
<b>SESA/ESMF</b>	<p>Existing standards for SESA will be tested in community forestry.</p> <p>Including small islands- revised standards will be legalized nationally and locally.</p> <p>Readiness is not only funded by the WB.</p> <p>What process is used to develop SESA standard?</p>	<p>Strengths.</p> <p>Filling the gap of existing standards.</p> <p>Fit the FGMR with existing needs – make it realistic not only jargon.</p> <p>Gap: Should properly address the needs in 34 provinces, with more than 160 districts and 33,000 villages in and around the forest area.</p> <p>Budget constraint.</p> <p>How applicable is SESA given the Indonesia is already implementing its REDD+ Strategy?</p>	<p>Many local communities are in remote areas( IPs in small islands for example)</p> <p>Prioritize as much as you can. Base it on spatial analysis and results of the public consultations.</p>	July 2013	<p>Multi-stakeholder coordination.</p> <p>Please specify exactly who is the “multi stakeholder coordination”?</p> <p>Not sure if I understood correctly what form the SESA Plan will have going forward. Will it be a MoU between MoF and DKN? A Work Plan agreed by multiple agencies / bodies? Something else?</p>



<b>FGRM</b>	<p>At the national level: legalize existing FGRM by government regulation.</p> <p>At different levels ensure the regulation is applied down to district/local)</p> <p>There is a need to manage expectations from the recipients / communities, especially if there is a delay in legalization</p>	<p>Gap: need to reach out to stakeholders to get real support from them to establish the FGRM.</p> <p>Existing strengths: A lot of models of FGRM have already been designed.</p>	<p>NGOS that are working for FGRM.</p> <p>Selected local government.</p> <p>Community- level institutions – particularly the specific bodies set up for FGRM.</p>	<p>Local level-work on FGRM from end of 2012 until present time.</p> <p>National level FGRM from 2014.</p>	
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Country name: Lao PDR	Priority needed mechanism to enhance social inclusion (1 key enhancement per topic) in REDD+ readiness in your country. Must be specific –how and what.	Justification. What gap is it addressing or strengths to build on?	Key stakeholder groups that must be engaged (think influential and affected)	When?	Who is responsible to coordinate/facilitate?
<b>C&amp;P</b>	To establish a National REDD+ Office  Centralized and business as usual approach?	To identify the main role and responsible agencies/bodies	Government agencies  Local authorities  Foundations, associations, centers, etc.  Communities, IPs.	Y 1/2013	REDD+ Office (MoNRE)  Technical Working Group
<b>SESA/ESMF</b>	To review existing policies and guidelines for SESA  Please link the work you think is needed for SESA with a specific instrument or plan, e.g. SESA	Identification on SIA, CIA  Could you please elaborate that by reviewing the existing policy SIA and CIA can be accomplished? And the collection and analysis of social and	Government agencies: MICT, etc  Local authorities  Foundations, associations, centers, etc.	2014	REDD+ Office (MoNRE)  Technical Working Group

	workplan, SESA ToR	<p>environmental data?</p> <p>Differentiate between assessment at the project level from those at the policy/strategy level.</p> <p>According to the discussions with Lao friends, there are a number of forest-based workers involved in the forestry related work. How do you engage them in this process?</p>	Communities, IPs.		
<b>FGRM</b>	Strengthening ESC at all levels	Law enforcement			<p>REDD+ Office (MoNRE)</p> <p>Technical Working Group</p>

Country name: Nepal	Priority needed mechanism to enhance social inclusion (1 key enhancement per topic) in REDD+ readiness in your country. Must be specific –how and what.	Justification. What gap is it addressing or strengths to build on?	Key stakeholder groups that must be engaged (think influential and affected)	When?	Who is responsible to coordinate/facilitate?
<b>C&amp;P</b>	Legitimized multi stakeholder mechanism at national, district and local levels	Government domination in capacity-building  Lack of equitable participation	Government  Women  IPs  Dalit  Madhesi  Forestry Federation  Private Sector  Donors  Trade Union  Forest workers  <i>Are IPs represented in the multi stakeholder forum?</i>  <i>Who leads the consultation</i>	Readiness phase	Coordination:  Government   Facilitation:  Government  Non-government  <i>There should be a lead government agency facilitating and coordinating. There is no ownership and demonstration of improved capacity if FCPF takes the lead.</i>

			<p>process?</p> <p>Are IPs traditional decision-making processes being used to inform decisions?</p> <p>Are consultations conducted with IPs to develop strategies for REDD+?</p>		
<b>SESA/ESMF</b>	<p>Multi stakeholder platform / mechanism at national, district and local levels</p> <p>Pilot on SESA</p>	<p>Superficial ownership</p> <p>Discuss how ownership of SESA will be achieved.</p> <p>Would the coordination of the SESA process by a consulting firm cause any problem with ownership in the team's view?</p>	<p>Government, International community</p> <p>Concerned local communities and stakeholders</p>	Readiness phase	<p>Coordination:</p> <p>Government</p> <p>Facilitation:</p> <p>Government</p> <p>Non-government</p> <p>FCPF cannot be assigned as a coordinating body. It must be an institution from the government itself.</p>
<b>FGRM</b>	<p>3 tier mechanism:</p> <ul style="list-style-type: none"> <li>National &amp; district: multi stakeholder and</li> </ul>	No recognition of traditional customary law and practices	Customary leaders and community	Readiness phase	<p>National coordination:</p> <p>Government</p>

	<p>appeal court</p> <ul style="list-style-type: none"> <li>Local: customary practice and community mediation</li> </ul> <p>Pilot on FGRM</p> <p>Suggestion: Ask stakeholders what the GRM should look like</p>	Activate mechanisms in place	<p>Mediation centers</p> <p>Government stakeholders</p>		<p>National facilitation:</p> <p>Government</p> <p>Non-government</p> <p>District coordination:</p> <p>Government</p> <p>District facilitation:</p> <p>Government</p> <p>Non-government</p> <p>Local coordination:</p> <p>Government</p> <p>Community</p> <p>Local facilitation:</p> <p>Community</p> <p>Government</p>
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Country name: Papua New Guinea	Priority needed mechanism to enhance social inclusion (1 key enhancement per topic) in REDD+ readiness in your country. Must be specific –how and what.	Justification. What gap is it addressing or strengths to build on?	Key stakeholder groups that must be engaged (think influential and affected)	When?	Who is responsible to coordinate/facilitate?
<b>C&amp;P</b>	<p>Carry out a survey to assess the effectiveness of current consultation and participation mechanisms.</p> <p>Have a proper feedback mechanism to assess how effective the consultation and participation</p>	<p>There is an existing national consultation process – but its effectiveness needs to be assessed.</p> <p>Prepare awareness and advocacy materials.</p> <p>Develop capacity in Consultation and Participation at provincial and community level e.g. have a volunteer system</p>	<p>All stakeholders</p> <p>Who are these stakeholders? Government, department, NGOs, CSOs?</p> <p>Are trade unions working in forestry included?</p>		<p>Office of climate change and development</p> <p>Why Office of Climate Change?</p>

	<p>process is.</p> <p>You do expect to work with UNDP as Delivery Partner and not the World Bank, right? It would be important to establish this from the start.</p> <p>Mechanism is not clear, should be identified.</p>				
<b>SESA/ESMF</b>	<p>Sub-working group should develop the work plan for SESA development.</p> <p>There are already FPCF Guidelines on how to conduct a SESA. Is there a need to develop a country-level guideline?</p>	<p>The following is existing or being developed;</p> <ul style="list-style-type: none"> <li>• FPIC</li> <li>• BSDS</li> <li>• REDD+ Project Guidelines</li> <li>• Draft policy on REDD+</li> </ul> <p>There is a need to address the social vulnerability of communities.</p>	OCCD / PNGFA / CSOs through Technical Working Groups		



		<p>Strengthening rights( land owners)</p> <p>Include analysis of trade-offs in relation to:</p> <ul style="list-style-type: none"> <li>- conservation of forests vs. alternative use of lands</li> <li>- environmental issues associated with drivers of deforestation</li> </ul>			
<b>FGRM</b>	<p>Sub-working group (SESA) should also develop the work plan for the development of the FGRM.</p> <p>Within this work plan would be activities aimed at reviewing the current FGRMs and identifying how to make them more effective.</p> <p>Suggestion: Make this a topic for the C&amp;P process: ask people how GRM can be improved.</p>	<p>Database in place to record clients issues, this can be improved/adapted so that it can deal with FGRM.</p> <p>The availability of the database needs to be widely communicated.</p>	OCCD / PNGFA / CSOs through TWGs		<p>Office of climate change and development</p> <p>Lack of participation from different stakeholders. The design of GRM may be biased by the government.</p>

Country name: Thailand	Priority needed mechanism to enhance social inclusion (1 key enhancement per topic) in REDD+ readiness in your country. Must be specific –how and what.	Justification. What gap is it addressing or strengths to build on?	Key stakeholder groups that must be engaged (think influential and affected)	When?	Who is responsible to coordinate/facilitate?
<b>C&amp;P</b>	Design and planning	Lack or inadequate participation of involved stakeholders	All relevant stakeholders, e.g. communities, NGOs, government, academia	By the 1 <sup>st</sup> year of Readiness stage	National REDD+ Focal Point  Working Group on C&P
<b>SESA/ESMF</b>	Enhance knowledge and skills  Well done!	Less understanding on the issue and its applications  Capacity-building on SESA application  What is the linkage between the WG on C&P, WG on SESA and the National CSO Platform for REDD+ coordinated by	All relevant stakeholders, e.g. communities, NGOs, government, academia  In C&P and SESA: Forest workers and key stakeholders in the REDD+ process. How do you engage them in the process?  Is it possible to	Y 1-3	National REDD+ Focal Point  Working Group on SESA

		RECOFTC?	engage trade unions in this process (if you have)?		
<b>FGRM</b>	<p>Review existing structure, institution and process</p> <p>Design and establish an appropriate FGRM</p>	<p>No holistic approach of FGRM</p> <p>Strengthen existing FGRM</p> <p>Suggestion: Make this a topic for the consultation process. It's the users who can best tell which mechanisms they trust the most!</p> <p>Why not a policy and regulatory review?</p>	<p>Government</p> <p>NGOs</p> <p>Industrial and private sectors</p> <p>Local communities</p> <p>In C&amp;P and SESA: Forest workers and key stakeholders in the REDD+ process. How do you engage them in the process?</p>	Starting Y1	<p>National REDD+ Focal Point</p> <p>Working Group on FGRM</p>

Country name: Vanuatu	Priority needed mechanism to enhance social inclusion (1 key enhancement per topic) in REDD+ readiness in your country. Must be specific – how and what.	Justification. What gap is it addressing or strengths to build on?	Key stakeholder groups that must be engaged (think influential and affected)	When?	Who is responsible to coordinate/facilitate?
<b>C&amp;P</b>	Find a way to increase engagement of CSOs and government stakeholders  participatory toolbox	Strong network but REDD+ too complicated  Consultation fatigue	Private sector  Networks of CSOs, NGOs  Agriculture, fisheries, finance, State Law Office	Early in E&O Program	E&O Manager NGO  Government
<b>SESA/ESMF</b>	Research prior to engagement of consultant  What type of research do you think is necessary at the time of SESA process? SESA itself is not a process of analysis of environmental and social issues?  Great idea. Build the SESA as much as possible on existing priorities	Addresses a key criticism that outputs are produced in an uncoordinated manner (working in isolation)  Start SESA process with ownership – make the process something to be proud of	DEPC  VCAN & VHT  Private sector involvement in three components  What about trade unions' engagement –if your country has?	When possible (ASAP)	National REDD+ Coordinator and TWG

<b>FGRM</b>	Establish data collection and storage	Mitigate the risk of complaints being a reason for stalling	Provincial government	Prior to establishment of E&O Team	Same as above	
		Cannot determine task until we start to analyze current grievances	Department forests			
			CC network			
		Powerful sign of respect (trust building)	NAB PMU			
			TV, VKS, USP			

Country name: Viet Nam	Priority needed mechanism to enhance social inclusion (1 key enhancement per topic) in REDD+ readiness in your country. Must be specific –how and what.	Justification. What gap is it addressing or strengths to build on?	Key stakeholder groups that must be engaged (think influential and affected)	When?	Who is responsible to coordinate/facilitate?
C&P	<p>FPIC</p> <p>Manual/guideline on FPIC implementation.</p> <p>Conduct trainings for facilitators</p> <p>Proper allocation of time and budget for FPIC implementation.</p> <p>UN-REDD Program has commissioned the work to develop national FPIC guidelines. It has just started and it is expected to be completed by October</p>	<p>Lots of terminology to understand.</p> <p>Limited knowledge/qualifications necessary to facilitate.</p>	<p>Government (at local level)</p> <p>NGOs</p> <p>Local communities (IP,...)</p>	<p>Please consider adding timetable.</p>	<p>Provincial authority</p> <p>How to link provincial to national and community levels?</p>

	2013. There will be national and sub-national consultations.				
<b>SESA/ESMF</b>	<p>Working group on safeguards and SESA</p> <p>Capacity building and awareness raising on SESA.</p> <p>Support for Working Group's activities.</p>	<p>Need knowledge on SESA, ESMF.</p> <p>Develop a toolbox for SESA implementation</p> <p>Would be helpful to specify the extent to which SESA consultants will contribute to the development of this toolbox.</p>	<p>Government</p> <p>NGOs</p> <p>Private companies</p> <p>National and International experts.</p> <p>Local communities.</p> <p>Identify environmental and social priorities and compare them against the REDD+ strategy.</p> <p>Trade unions (forest workers) are important stakeholders. How do you engage them in C&amp;P, SESA and FGRM in Viet Nam?</p>		<p>Central and local government</p> <p>Just by stating provincial, central and local level it is not clear who will be held accountable for the implementation of these activities.</p>
<b>FGRM</b>	One door registry/feedback	Need to improve transparency.	<p>Communities.</p> <p>Private companies</p>		Ministry of Nature and environment. Ministry of Agriculture and

	<p>system</p> <p>Develop other means of receiving complaints.</p> <p>Create a feedback system – but enable people to assess effectiveness of the system and adjust accordingly.</p> <p>Make this a topic for the C&amp;P process.</p>	<p>Need to save time by providing access to FGRM for people living in remote areas.</p> <p>Need to encourage participation of people, including those who are afraid/shy to come forward and complain.</p>	Government, authorized entities.		<p>Rural Development.</p> <p>Suggestion: Use the “Evaluating your GRM” handout from FCPF to assess your existing mechanism &amp; identify gaps. 1<sup>st</sup> month.</p>
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## **Parking lot feedback responses**

During the workshop there was a mechanism for capturing contentious issues on a parking lot sheet. These issues were then responded to by resource persons on the last day of the workshop. There was not enough time to present the responses in the workshop itself, so they are listed here.

### **REDD+ 'Carbon rights', essential issue or waste of time?**

Together with:

#### **What if a market mechanism for carbon trading will not materialize? What are the alternatives?**

- Dealing with 'carbon rights' is not a waste of time. It is possible to define 'carbon rights' in a way that is separate from underlying rights to land/resources.
- What we are after is an approach to REDD+ Readiness where the activities/outputs are valuable in and of themselves, whether a market materializes for carbon credits or not.

#### **What level of land use planning should be carried out in the context of REDD+**

- 'Level' and 'Type' both useful to consider.
- 'Level' depends on national development planning approach, availability of good data etc.
- Should work at a level that allows for prioritization in relation to opportunity costs of alternative land uses.
- Importance of working in a participatory way at the local level.

#### **How will the World Bank and other relevant agencies monitor and evaluate SESA and its safeguards in the actual implementation of SESA? SESA must go beyond development of the two documents (SESA versus ESMF). What are the criteria and indicators of with regards to the expected outcome of SESA?**

- SESA is not a document but a process.
- R-Package Assessment Framework includes criteria/indicators for SESA process.
- Other ways of doing this: Monitoring framework in the ESMF/Safeguard Information system (SIS).
- During SESA implementation there should be supervision/quality assurance.

#### **The aim should not only be 'consultation' but meaningful engagement. Indigenous peoples issues are somehow not covered – SESA, social inclusion etc. has to effectively deal with Indigenous Peoples' issues.**

- 'Meaningful engagement' is what we are aiming for always – central focus of this workshop.
- Indigenous issues are covered – there is a safeguard policy specifically for this.
- Issues/practices/needs/rights are covered even if peoples in question aren't recognized by the government.

**There are competing processes among the REDD+ Readiness preparation initiatives (e.g. UN-REDD and FCPF). There needs to be steps to harmonize initiatives to avoid conflicting programs and unnecessary repetition of activities?**

- The UN-REDD Programme and FCPF recognize this as an issue and are working on harmonizing.
- Everyone has expressed the desire that we harmonize better – which we are trying to do in the following ways:
  - Joint products and joint missions – also with aid agencies, bilaterals etc.
  - Joint governance efforts.
  - Joint work with IP/CSO observers
  - Implementation of the Common Approach to Environmental and Social Safeguards for Multiple Delivery Partners (for UN agencies that are serving as FCPF Delivery Partners, not for 'UN-REDD' as such)

**What about involuntary resettlement in REDD+?**

- We need to define what 'involuntary resettlement' is.
- Typically involuntary resettlement is not linked to REDD+-related activities.
- However in REDD+ there could be restrictions placed on communities regarding access to natural resources.
- In the case of any restrictions/cost on communities there should be a compensating standard set.

# Workshop Evaluation

The workshop evaluation in the following provides direct feedback and evaluation from participants. Comments were collected throughout the workshop using the feedback sheets, these comments are listed in section A. below. The end of workshop evaluation scores and comments can be found in the following Section B.

## A. Feedback sheets.

### What I like? 😊

- I like that the workshop uses participatory tools itself for the discussions, feedback, rating etc.
- Role playing is a great tool to learn new concepts.
- I like the process of involving all participants by using many tools.
- Participatory methods in the workshop are great! But can we finish early tomorrow.
- Participatory methods are highly effective in interacting with each other and making everyone more active. I like😊!
- Insightful presentations on Participation, consultation and communication and on FGRM.
- I like the facilitator, the way he keeps things going is wonderful.
- Location of the workshop is wonderful, hotel and environment.

### What I don't like? ☹

#### More time needed for and examples in resource person sessions.

- The presentations of the 3 main themes should be more detailed – longer time than that of participants.
- Need more time for resource persons.
- Presentations are being rushed due to limited time, many issues need to be elaborated and clarified.
- Not enough specific examples for each topic.

#### More time needed for country experience sharing.

- Too many countries, not enough time to go into depth with them all.
- Not enough time for country experience sharing.

#### More time and energy required for the final planning exercise.

- The enhancement/planning exercise at the end should have been allocated most of the last day of the workshop, from the morning onwards when people had fresh minds.

#### Food problems, air-conditioning, no field trip.

- Something is wrong with the food in the hotel, too many people getting sick.
- Are we in Bangkok or in Europe? I'm freezing because of this air conditioning.
- Next time it would be great if the workshop is near by the forest to have a field trip.

## Workshop final evaluation.

This was done with a target scoring method – the results are presented in two formats as follows:

### Workshop Evaluation Scores

	Workshop facilitation and approach	A. Country Sharing and analysis section	B. Consultation and participation	C. SESA/ESMF	D. FGRM	E. Application/Adaptation	Organization and logistics
<b>Excellent</b>	24		3	1	7		13
<b>Good</b>	8	11	21	16	14	15	7
<b>Satisfactory</b>		22	12	17	14	17	11
<b>Poor</b>		4	3	4	2	4	6
<b>Terrible</b>							

**Table:** Numbers indicate how many people evaluated the workshop elements according to a specific grade from excellent to terrible.

### Comments on the evaluation:

#### Participatory/interactive approach:

- Participatory method is excellent with few power point presentations is very good.
- Very well structured workshop with comprehensive presentations from facilitators. Very helpful – keep it up.
- Overall the workshop was great in the sense that it was very interactive. I liked the technique of learning through participation.
- The overall workshop was a fantastic experience in terms of participation, learning activities and presentations.
- Group discussion methods and role play are fantastic but should provide more information for participants to understand the context.
- Well done facilitators (mentioned twice).

#### Time stress:

- Spend too much time on unnecessary tasks, should spend more time on particular issue to present.
- Some of the activities did not bring out the complexity of the issues. Some predictable outcomes.
- Less time for the explanation in detail of each lesson.
- Didn't have time for participants to relax. That is the reason some participants felt sick.
- A bit long session 😊
- During workshop too tight schedule, exhausted
- Very stressful time.
- Should arrange to finish at 4pm.

**Other:**

- Should provide more documents (handouts) on technical guidelines of SESA criteria and indicators.
- Should take a video during the workshop.
- Field trip to pilot activities is important to compare directly how things are going.
- Should have follow up to this training.
- Logistics excellent except for Per diems.

**Recommendations for next time****Less packed schedule – include cultural night/ field trip.**

- Allocate more time for lunch so people feel refreshed.
- Good, bit of a tight schedule. Need one day in middle for excursion or sight/cultural visits.
- No time for communication with other participants.
- Should adjust time for some rest and lunch time (too tired)
- I would recommend that more time is given for the workshop/training like this in the future. An important learning experience should not be too rushed.
- Should be time for participant rest.
- Should be day for field visit (study or observation)
- Allocate more time so people feel refreshed.
- Should have had a cultural night.
- Having a real trip to a real forest.
- Field trip.
- One day field trip.

**Better seats/room.**

- The seats in the workshop were not comfortable.
- Next time find place for more open space not in the room (closed space) like this.

**Other.**

- Training should have insurance for participants.
- Select only participants who work directly with REDD+.
- Logistics management should be improved.
- Translation for next time.
- Invite resource person on gender issue.
- More country experiences of how they deal with difficult REDD+ issues.
- How to convince politicians – provide more publications we can use for this.
- A key lesson is to keep communities engaged throughout REDD+
- Should spend more time on the theories presentation (SESA, ESMF, FGRM)
- Better to invite private sector and trade representatives as workshop participants.

## **Closing Remarks and Next Steps**

Closing remarks were made provided by Mr. Kenn Rapp of the FCPF who acknowledged the contribution of all who took part in and organized the workshop, emphasized that the organizers would be responsive to the useful feedback in the evaluation in improving the workshop for next time and finally stated the importance of proper follow up after the workshop. It is essential that country teams, together with their colleagues (REDD+ technical working groups, etc.), develop more detailed enhancement plans for social inclusion in REDD+ readiness, for sharing with the relevant World Bank- or UNDP-based teams after the workshop.

## Annex 1. Workshop Agenda

### ***Social Inclusion in REDD+ Readiness***

#### ***Capacity Building Workshop for FCPF Countries in the Asia-Pacific Region***

***Tuesday the 30<sup>th</sup> of April to Friday the 3<sup>rd</sup> of May  
Shangri-La Hotel - Bangkok, Thailand***

#### **I. Background and rationale for the workshop**

Reducing Emissions from Deforestation and Forest Degradation (REDD+) is (or should be) a people-centered approach, aimed at empowering relevant stakeholders, maximizing benefits, and minimizing the risks for people and forests.

As REDD+ is still new, countries are on steep learning curves with regards to how to meaningfully and practically engage stakeholders in REDD+ readiness and implementation. Relevant tools and approaches continue to evolve rapidly, and their interaction with program-specific requirements, UNFCCC guidance, international obligations, and country-specific policies and practices needs to be carefully considered.

This workshop, will provide an opportunity for representatives working with REDD+ readiness from different Asian countries to take stock, analyze and share progress and challenges with regards to social inclusion in REDD+ Readiness. It will also provide an opportunity to digest the latest FCPF and UNDP guidance on topics related to social inclusion and, based on experiences in the workshop, think about practical, country-specific measures to enhance these aspects of REDD readiness.

#### **II. Objectives of the workshop**

**Overall Goal: Participants develop relevant and practical enhanced social inclusion measures and actions for REDD+ Readiness for their own countries.**

The workshop has 3 main interconnected objectives to achieve the goal:

- 4) **Country context analysis.** To conduct country context analysis on progress and challenges related to social inclusion in REDD+ Readiness and enable cross-country sharing.
- 5) **Enhancement tactics development.** To combine country experiences with FCPF guidance to develop enhanced strategies, skills, tactics and tools and actions for social inclusion in REDD+ Readiness.
- 6) **Application/adaptation of tactics for country contexts:** Application and adaptation of relevant and practical tactics and strategies to enhance social inclusion in REDD+ Readiness to country contexts.

Within the overall umbrella of social inclusion the workshop will focus on three specific interrelated themes that are central to REDD+ Readiness as supported by the FCPF: (i) Consultation and Participation processes (C&P); (ii) Strategic Environmental and Social Assessment (SESA); and (iii) Feedback and Grievance Redress Mechanisms (FGRM).

### III. Approach and necessary pre-workshop preparations

This workshop will be extremely participatory – with participants in the driving seat in terms of conducting analysis, developing tactics and applying and adapting lessons. All parts of the workshop are interconnected so participants must be in attendance for the entirety – **arriving at the latest Monday the 29<sup>th</sup> of April and departing at the earliest Saturday the 4<sup>th</sup> of May.**

It is also essential that participants prepare prior to the workshop so that they can make an informed contribution. Reviewing all documents related to social inclusion in REDD+ Readiness in their countries is a pre-requisite of attending. The main document requiring review would be the national REDD+ Readiness Preparation Proposals (R-PPs), and any plans, activity reports, TORs and guidelines related to (ii) Strategic Environmental and Social Assessment (SESA); and (iii) Feedback and Grievance Redress Mechanisms (FGRM). Documents can be accessed by clicking on the relevant country on the FCPF website:

<http://www.forestcarbonpartnership.org/>

It is recognized and expected that country teams will be at different stages in the REDD+ readiness process and that participants will have different needs. To enable the organizers to tailor the workshop to these different stages and needs, **it is a requirement that all participants individually fill out the short two -page needs assessment and expectation form that is sent along with this draft agenda. Send this back to the contacts listed on the form by latest Wednesday the 24th of April.**

### IV. Eligibility requirements and logistics.

***Experience and influence in REDD+ readiness.*** All participants must have been involved in REDD+ readiness processes to a high degree and must be in a position to influence REDD+ readiness after the workshop. We particularly require a mix of government, NGOs, community representatives and where possible the private sector, as well as men and women.

***English requirement:*** The medium of this workshop will be English, so English proficiency; speaking, reading and writing is an essential eligibility requirement.

***Per Diem of pocket money level only:*** As travel costs, accommodations and most food costs will be covered, the per diem provided will only be a modest sum, so please be aware of this.

***Full attendance from Tuesday to Friday each day:*** Note that the workshop will be a compact 4 full days, from 8.30 am to 5.30 pm on Tuesday through to Friday. As the workshop sessions are all interconnected, it is not possible to miss any session. There will unfortunately not be any time available for shopping and sightseeing during the 4 days of the workshop itself; therefore, such activities will have to take place in the evenings, on the day before the workshop, or the day after if flights allow, on the participants' own time.

**Please note that to attend this training workshop you must agree that you meet and are OK with all four criteria.**



## V. Structure and process for workshop



Note that the colors of the components are reflected in the colors in the following agenda.

## VI. Agenda overview

29		Tuesday the 30 <sup>th</sup> of April	Wednesday the 1 <sup>st</sup> of May	Thursday the 2 <sup>nd</sup> of May	Friday the 3 <sup>rd</sup> of May	4
A M	p a r t i c i p a n t s	<b>Preliminaries</b> <b>8.30 sharp –registration</b> 1. Welcome and opening remarks. <i>Presentation.</i> 2. Introductions of participants. <i>Exercise.</i> 3. Workshop overview. <i>Presentation. Q&amp;A.</i> 4. Overview of REDD+ Readiness, links between C&P, SESA and FGRM. <i>Presentation, Q&amp;A.</i>	<b>9.00 am sharp start</b> 9. Recap by lesson team. <i>Participant presentation.</i> <b>B. REDD+ CONSULTATION AND PARTICIPATION (C&amp;P).</b> 10. Guidance/insights on C&P rationale and principles. <i>Presentation Q&amp;A.</i>	<b>9.00 am sharp start</b> 15. Recap by lesson team. <i>Participant presentation.</i> 16. Role play presentation of TOR analysis. <i>Exercise.</i>	<b>9.00 am sharp start</b> 20. Recap by lesson team. <i>Participant presentation</i> <b>E. APPLICATION</b> 21. Debate. Examining REDD+ social inclusion issues from the perspective of different stakeholders.	P a r t i c i p a n t s  D E P A R T
		<b>Break: 10.30 – 11.00</b>	<b>Break</b>	<b>Break</b>	<b>Break</b>	
		<b>A. COUNTRY SHARING &amp; ASSESSMENT</b> 5. Country team fit on REDD+ readiness time line. <i>Exercise.</i> 6. Country team REDD+ social inclusion analysis. <i>Exercise.</i>	11. Multi-country group work; REDD+ C&P tactics and tools. <i>Exercise</i>	<b>D. REDD+ FEEDBACK GRIEVANCE REDRESS MECHANISM (FGRM).</b> 17. Guidance/insights on FGRM Rationale and Principles. <i>Presentation, Q&amp;A.</i>	22. Review of key workshop outputs. <i>Presentation.</i> 23. Country team REDD+ social inclusion enhancement plan development. <i>Exercise.</i>	
		<b>Lunch: 12.30 to 13.30</b>	<b>Lunch</b>	<b>Lunch</b>	<b>Lunch</b>	
P M		Session 6. continues	12. Presentation of C&P tactics and tools for peer review. <i>Exercise.</i> <b>C. STRATEGIC ENVIRONMENTAL AND SOCIAL ASSESSMENT (SESA/ESMF)</b> 13. Guidance/insights on SESA rationale and principles. <i>Presentation</i>	18. Multi-country group work – developing effective and feasible FGRM tactics and tools for common REDD+ grievances/conflict topics.	23. Session continued.	
		<b>Break 15.00 to 15.30</b>	<b>Break</b>	<b>Break</b>	<b>Break</b>	
		7. Presentation of country team analysis. <i>Exercise.</i> 8. Overall multi-country synthesis. <i>Exercise</i>	14. Multi-country group work, SESA TOR case study analysis. <i>Exercise.</i>	19 Presentation FGRM tactics and tools in plenary for critical peer review and discussion.	24. Rapid pitching of enhancement plans. <i>Exercise</i>	
		<i>Lesson team reflection.</i> <b>Close: 17.30</b>	<i>Lesson team reflection</i> <b>Close: 17.00</b>	<i>Lesson team reflection</i> <b>Close: 17.30</b>	<b>Wrap up.</b> 25. Next steps – after workshop. <i>Presentation</i> 26. Evaluation and closing remarks. <b>Close: 17.30 to 18.00</b>	