Social Inclusion in REDD+ Readiness

Regional sharing and capacity development workshop for (mainly) Anglophone countries in Africa

Nairobi, Kenya
Thursday 13th to Sunday 16th of December, 2012

Final Workshop Report
produced by the Facilitators (January 2013)
with additions / edits from the Organizers (March-April 2013)

This Workshop Report has been mainly developed by the workshop facilitators Michael Gachanja and Peter O'Hara. It 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 obtained from lead organizer of the workshop, Mr Kennan Rapp of the FCPF FMT, email krapp@worldbank.org. The materials related to the workshop process and many of the methods used can be obtained from the lead facilitator for the workshop, Mr Peter O'Hara, email: peterohara@participatorynrm.com

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Main Acronyms Used

CC	Climate Change
C&P	Consultation and Participation
CSO	Civil Society Organisation
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
JFM	Joint Forest Management
MoA	Ministry of Agriculture
PFM	Participatory Forest Management
REDD+	Reduced Emissions from avoided Deforestation and Degradation
R-PP	REDD+ Preparedness Proposal (Strategy/plan to get a country ready for REDD+ implementation)
SEA	Strategic Environmental Assessment
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-centred approach, aimed at empowering forest stakeholders, maximizing benefits, safeguarding livelihoods and minimizing the risks of linking climate finance to avoiding deforestation and degradation. 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 harnessed and respected during REDD+ Readiness and implementation so that REDD+ goes beyond the trees to enshrine equity and inclusion. Only equitable, socially inclusive approaches to avoided deforestation and degradation can generate the broad-based support they need to be feasible to implement, resilient, and sustainable.

As REDD+ is still new, countries are on steep learning curves with regards to how to meaningfully and practically engage and consider 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 norms and practices needs to be carefully considered.

This workshop, organized by the Forest Carbon Partnership Facility (FCPF), provided an opportunity for multi-stakeholder representatives from 7 African countries (Ethiopia, Ghana, Kenya, Liberia, Mozambique, Tanzania and Uganda) involved in REDD+ Readiness to take stock, analyse and share progress and challenges with regards to social inclusion in REDD+ Readiness. It also provided an opportunity to present and digest the latest FCPF guidance on topics related to social inclusion and, based on experiences in the workshop, think about practical, country-specific measures to enhance social inclusion in REDD+ Readiness.

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 and enable cross-country sharing.
2) **Enhancement tactics development.** To combine country experiences with FCPF 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 REDD+ Readiness and social 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 Workshop Insights and Outputs

The purpose of this document is to provide key insights/outputs from each section of the workshop. Full detailed proceedings are available separately.

Preliminaries

- Opening remarks stressed the importance of forest resources as a livelihood resource for many stakeholders – particularly marginalized groups and thus the importance of ensuring that the interests and needs of these stakeholders are fully considered in REDD+ development and implementation.
- A synthesis of the needs assessment submitted by the country-based participants prior to the workshop was presented. Participants stated that their need for expertise 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 existing expertise in.
- An overview comparing and contrasting these three elements and showing how they are linked together was pointed out as being important to understand before proceeding into the three individual themes of the workshop.

Section A. Country sharing and analysis

Participants divided into country teams and collectively developed a vision of ideal social inclusion in REDD+ implementation, an analysis of the current status of social inclusion in REDD+ Readiness, and recommendations for enhancing practice to aim towards social inclusion in REDD+ implementation (the vision). Some key cross-cutting points that emerged included:

- **Consultation and Participation (C&P)** strengths to build on included some existing C&P plans, existing participatory forestry programmes and community/participatory forest management institutions as well as constitutional/legislative support for citizen participation (e.g. in Kenya and Mozambique). Weaknesses/challenges included resource and capacity constraints to fully operationalize C&P plans, as well as difficulties in identifying and reaching the most affected stakeholders.
- Cross-country **SESA/ESMF** strengths included numerous existing Environmental Impact Assessment (EIA) mechanisms/capacities in various countries, although deficiencies in strategic assessment mechanisms were common. Weaknesses/gaps included lack of resources, capacity and cross-sectoral coordination related to SESA for REDD+ as well as continued insecure community tenure and unclear benefit sharing mechanisms which were identified as a fundamental legal safeguard needed by communities potentially involved in REDD+ by many country teams.
- Regarding **FGRM,** strengths to build on included the existence of local traditional grievance resolution mechanisms as well as the existence of some legislation related to natural resource management dispute resolution. Weaknesses/gaps included insufficient development and testing of FGRM mechanisms/frameworks

specifically for REDD+ as well as lack of FGRM skills and knowledge among REDD+ facilitators. The disconnection between judicial existing systems within countries and forest resource-related disputes was also highlighted as well as lack of awareness of courts and law enforcement authorities on REDD+ -related disputes(both anticipated and current).

- General feedback on country sharing and analysis related to **lack of specificity** regarding analysis presented by participants. There was an expressed need for more specific information on Why? What and How? Who? and When?. Specific feedback included questions on how to make C&P more meaningfully participatory within constrained resources. There were several questions related to whether existing EIA mechanisms dealt with social issues and what are the specific capacity gaps to fill in existing dispute resolution mechanism so that they can be relevant to REDD+ FGRM, as this 'gap' was not clearly articulated.

Section B. REDD+ consultation and participation (C&P)

After an introductory presentation to C&P, participants were divided into multi-country teams and given different analytical frameworks to dissect different aspects of consultation and participation processes and mechanisms for REDD+. Some insights into the group outputs follow:

1. Regarding consultation, participation and communication tools for REDD+ Readiness a very wide array of tools were listed and matched to all key stakeholder groups; however the fewest suitable tools were identified for indigenous peoples and local forest dependent communities.

2. Regarding Rights, Responsibilities and Revenues it was agreed that an urgent task was to clarify forest rights, responsibilities and benefit sharing among stakeholders during REDD+ Readiness. Critical feedback on the analysis developed by the group suggested that the role/authority of government compared to communities in REDD+ decision making (e.g. regarding benefit sharing) was too strong and community role in decision making too weak. Another general criticism on the analysis was that the balance between rights, responsibilities and revenues for communities could be improved to a more equitable and attractive for communities – a better burden/benefit balance.

3. Regarding the process plan for Consultation and Participation the key generic steps developed by the group included: 1.Planning the process for participation in a national forum; 2. Preliminary visits to stakeholders to test participation approaches and understand field realities; 3. Comprehensive stakeholder mapping; 4. Selecting which participatory method for which stakeholder and then undertaking consultations with the different stakeholder groups to capture their interests; 5. Presenting the information generated to a multi-stakeholder validation workshop and finally; 6. Monitoring and evaluation – getting feedback from stakeholders on the quality of the consultation and participation process and revising the approach accordingly.

4. Regarding institutionalizing social inclusion in REDD+ enhancement of participatory facilitation skills was seen as essential within countries. With regards to institutional set-up it was agreed that as well as a national steering committee, secretariat and technical working groups there needed to be a network linking all affected and influential stakeholder groups, regular multi-stakeholder forums as well as and clear and transparent rules and procedures on

how decisions regarding REDD+ are taken and by whom (e.g. who has the right to decide on REDD+ benefit distribution and how is this decision taken?).

Section C. Strategic Environmental and Social Assessment (SESA/ESMF)

After an introductory presentation on SESA, participants were divided into multi-country teams to analyse different parts of a case study, which was a ToR for SESA in a hypothetical country. In a role play participants either presented their analysis of the TOR as 'consultants' or received and questioned the analysis delivered by the consultants as 'ministers'. Some lessons generated during the presentation, discussions and role play included the following:

- **Regarding SESA/ESMF** key issues raised included the importance of developing SESA/ESMF in a meaningfully participatory and iterative way with affected stakeholders so that their interests and concerns were fully harnessed. A key function of SESA is its potential to build consensus around priority concerns and deal with trade-offs. Critical for SESA is to address the trade-off between forest preservation and access to forest resources. SESA should provide insights into the opportunity costs of forest conservation including payments for carbon and other co-benefits. Also, SESA should be an instrument for safeguarding social and environmental risks of REDD+ Readiness but also help stakeholders to address long-term outstanding issues such as land tenure or strategic issues such as benefit sharing. By identifying key problems, risks, trade-offs and gaps, SESA will shine light on the need for wider institutional and legal reforms that are needed for promoting sustainable development as well as safeguarding forest communities.

Section D. REDD+ Feedback and Grievance (FGRM)

After an introductory presentation on FGRM, participants were divided into country teams to conduct a capacity assessment of existing FGRM competencies within their countries and develop recommendations for enhancement. Some insights from the analysis follow:

- **Regarding FGRM capacity analysis** key cross-cutting issues that are leading to disputes in REDD+ Readiness include unclear forest tenure for communities, unclear REDD+ benefit sharing, concerns about continued access to forest resources for communities, high expectations by communities for REDD+ combined with slow progress to benefits and poor and often confusing information on REDD+. **Existing capacity strengths** related to some existing forest-related FGRM experiences and community institutions in place from existing participatory forestry initiatives as well as the multi-stakeholder dialogues that have taken place with regards to REDD+ issues so far which have helped to build understanding and relationships among stakeholders. **Weaknesses/gaps** included lack of specific expertise for REDD+ FGRM, lack of cross-sectoral coordinated mechanisms in place for REDD+ FGRM as well as numerous legislative, policy and implementation gaps when it came to linking disputes to appropriate agencies to deal with them. The numerous challenges related to clarifying and securing forest tenure for forest-dependent communities and the need to develop clear and agreed benefit-sharing mechanisms was again stated

as a fundamental gap which needed to be filled to avert many REDD+-related disputes. **Recommendations for investment to build FGRM capacity** included need for specific capacity assessment and development on REDD+ FGRM skills and development of clear guidelines on REDD+ FGRM (note: the latter has been completed and is available on the FCPF website). The need to clarify approaches to tenure and benefit sharing in REDD+ was emphasised as a priority during REDD+ Readiness. A way to efficiently strengthen capacity was seen as orienting/sensitising the existing systems on REDD+ FGRM and linking them into REDD+ Readiness and implementation processes. Effective institutionalised multi-stakeholder participation and communication on REDD+ was also seen as a priority recommendation to effectively address FGRM challenges – so linked back to the C&P and the SESA mechanisms. Note that on numerous occasions during the group work in the three thematic sessions the overlap/interdependence of C&P, SESA and FGRM emerged.

Section E. Application/adaptation

A role play taking the form of a multi-stakeholder debate generated various recommendations for key strategies needed to enhance social inclusion in REDD+. Discussion around these recommendations was stimulated using an auction method for ranking, in which country teams (except for Mozambique) were paired up and asked to agree on priorities. The resultant overall collective ranking of these recommendations follow (in order):

1. Development of transparent FGRM through an iterative process.

This was followed by two recommendations that received the same prioritisation value:

2. Clarify forest tenure for forest-dependent people, and ensure REDD+ programmes provide continued access to forest resources for local people, preserving and enhancing their livelihoods.
2. Informed and inclusive SESA process (For those countries that already have a SESA, this might require the SESA being revisited and redeveloped in a more participatory way).
4. Far-reaching consultation and communication strategy – reaching most affected stakeholders – on the entire REDD+ process, which also clarifies costs and benefits of REDD+ and ensures the voice of the affected are heard.
5. Strengthened application of SESA and risk management safeguards and institutionalisation of SESA.
6. Develop cross-cutting guidelines for participatory REDD+ Readiness processes.

Drawing on lessons from the entire workshop, short action plans were developed by country teams aimed at enhancing their existing REDD+ Readiness activities and plans within the next 12 months to promote more effective social mainstreaming into REDD+. Key summary recommendations from each country team follow:

Ethiopia:

C&P: Development of a full REDD+ consultation and participation strategy. Testing the strategy in pilots and adapting it based on practical experience.

SESA: development of a detailed REDD+ SESA, build capacity on SESA and then conduct pilots to test the SESA mechanism and revise based on experience. Based on lessons from experience develop the SESA framework for REDD+ implementation.

FGRM: Need to build a sustained link between existing community based forest management groups and national level decision makers in networks/forums and to have a national level multi-stakeholder workshop to agree on the ToR for a REDD+ dispute resolution body and the mode of its operation.

Ghana:

C&P: Operationalize the C&P plan. Finalize the REDD+ communication strategy and conduct a stakeholder validation of the communication strategy and revise accordingly before implementation.

SESA: Procure consultants, who; a) initiate analysis of existing forest tenure, b) prepare a work plan for the full development of a draft SESA, c) share the draft SESA for input from affected stakeholders and revise based on inputs.

FGRM: Procure consultants who, a) conduct gap analysis, b) design a pilot to test FGRM strategy, c) conduct stakeholder validation of tested FGRM strategy and d) design FGRM mechanism. A parallel activity will be to build capacity on FGRM during all these steps.

Kenya:

C&P: Develop a communication strategy in a consultative process and develop guidelines to support the operationalization of the C&P plan.
SESA: Finalize the SESA TOR, develop a roadmap for SESA development, convene a stakeholder consultation to develop the SESA and finalize SESA institutional management arrangements.
FGRM: Undertake a situational analysis to better understand dispute issues around REDD+ and existing capacities in FGRM – the findings are then used to feed into appropriate REDD+ FGRM development – both the content of the mechanism but also the capacity development required to execute it.

Liberia:

C&P: Review the existing C&P plan with stakeholders to address any weaknesses. After revision roll-out/operationalize the C&P plan.

SESA: Validate the existing SESA TOR with stakeholders, support a process for stakeholder input into developing a full SESA and then incorporate these stakeholder inputs to develop the national REDD+ SESA.
FGRM: Conduct a gap analysis to inform the design/redesign of a FGRM mechanism, then pilot and test the FGRM mechanism before finally integrating the lessons from the pilot into the final design of the FGRM.

Mozambique:

C&P: Translation pending.
SESA: Translation pending.
FGRM: Translation pending.

Tanzania:

C&P: Strengthening the zonal outreach plan through; a). Capacity building of zonal officials on facilitating participation and reporting, b). Identification and targeting of stakeholders not reached in the first consultations and c). broadening the variety of media used when implementing the REDD+ communication strategy.
SESA: Employing a highly participatory approach in developing REDD+ safeguards that ensure that stakeholder interests are carefully considered.
FGRM: Identifying existing FGRM capacities and gaps in a gap analysis exercise. Strengthen the capacity in FGRM to fill the gaps. Develop a cost effective, result based mechanism that will guide REDD+ FGRM implementation.

Uganda:

C&P: Utilise existing forest related institutions to implement the a) C&P plan, b) Awareness raising and communication plan and c) Conflict and grievance strategy.
SESA: Fundraise for SESA development. Include the SESA in the draft Climate Change policy. Develop institutional framework and local capacity to conduct SESA. Utilise the proposed awareness raising strategy(C&P) to spread information on the SESA.
FGRM: Improve the existing mechanisms and capacities related to FGRM and work with and through existing CSOs and media to develop and implement the FGRM.

Workshop Evaluation Results

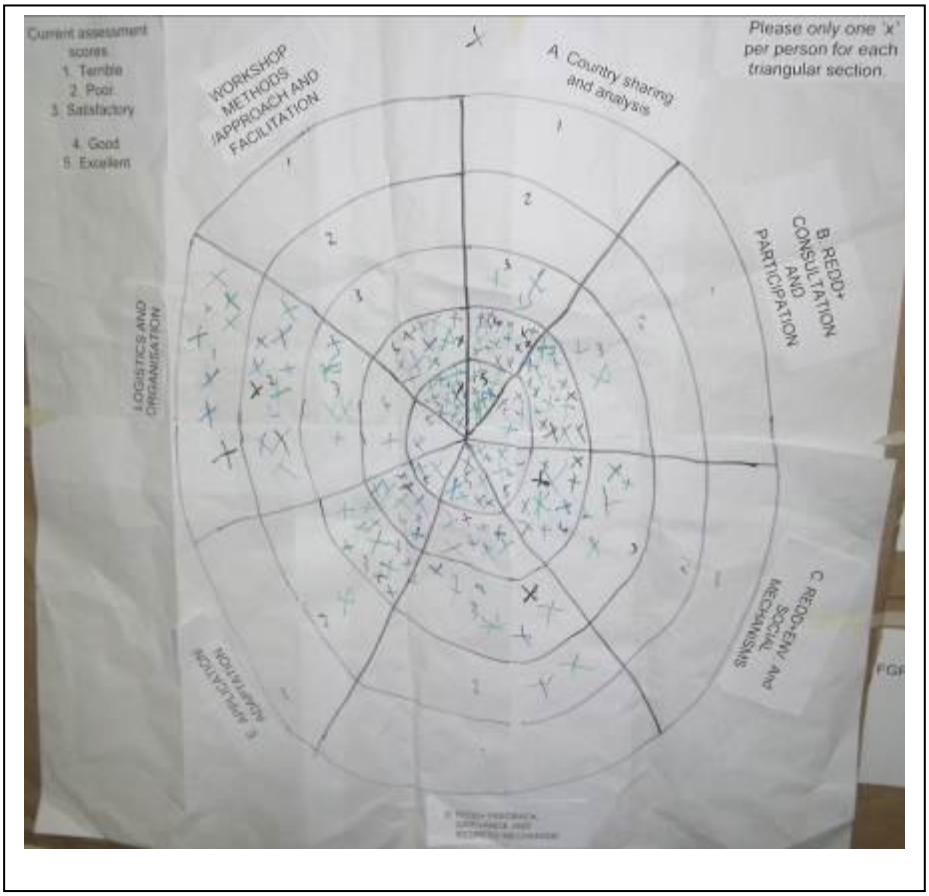

Photo: The workshop evaluation was done using a target scoring method – 'X's towards the centre of the target indicate a higher evaluation for that element of the workshop (labelled around the circumference). Resource persons and facilitators excused themselves and left the training hall during the evaluation.

The dynamic and participatory workshop facilitation, approach and methods seemed to have been generally valued by participants. The Country Sharing and Analysis, Consultation and Participation and SESA sessions were also evaluated well. Although still well above average, the weekend sessions on FGRM and Application/Adaptation fared a little less well in the evaluation.

There were very few criticisms made regarding contents of the workshops – rather the overwhelmingly stated dislikes about the workshop were organisational and timing related issues.

It was considered that the workshop was too condensed – too much in too short a period of time. Organising the workshop over a weekend was felt to be inconsiderate for participants who had to return to work directly after the workshop. The per diem was considered to be too low, especially before an upward revision in the amount was made. Participants felt that flight arrangements prior to the workshop could have been

organised in a different way, as for some flights were finalised at the last minute. Although information required from some participants to arrange their flights had also arrived quite late to the organizers, despite numerous requests.

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

Recommendations for next time

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

Logistics, organisation and timing

- **Flights and logistics.** Is it possible to make flight arrangements in a different way – by working through World Bank Country Offices, for example?
- **Per diem information.** Explanation of per diem rates prior to the workshop to avoid issues with unfulfilled expectations.
- **Lengthen training to 5 days and have it Monday to Friday.** Lengthening the workshop by one day to make it 5 days, providing a more conducive pace and ensuring that the workshop runs from a Monday to Friday to be considerate to participants. At least one of the days should finish early to allow for some relaxation and sightseeing.
- **Local organizational/administrative support.** Suggest to hire a local assistant(s) to help with pre-workshop and during workshop logistics such as photocopying, arranging materials and purchasing materials and general support to the organization team and facilitators and participants.
- **Dedicated note taker.** It is very difficult for facilitators to both facilitate and record the proceedings of this type of workshop – especially the valuable discussion and debate sessions. It is suggested that a system be worked out, or a person or persons be identified to serve as dedicated note takers.

Methodological/design aspects of the training

- **Unpacking the overfull last day.** Restructuring the workshop, limiting the last day of the workshop only to prioritisation of recommendations, action planning and presentation of action plans and moving the role play back to the second to last day. The last day of the workshop simply had too much going on this time and people were tired when they came to action planning, when it is important to dedicate sufficient time and energy to this very important final output.
- **Avoiding overlap through better integration into overall structure.** Revisions in some of the sessions/exercises to avoid overlap and to better integrate all thematic sessions into the overall structure and flow of the workshop, e.g. avoiding too much overlap in the country sharing and analysis exercise, the FGRM country level analysis and planning exercise and the final country level action planning.

- **Clarifying overarching linkages between C&P, SESA and FGRM themes.** An exercise/session should be developed to better clarify the complementary nature of these three elements, cross-cutting aspects as well as identify what activities should best fall under each. The development of such an overarching framework would help in positioning the contents of the 3 thematic sessions in relation to the other themes and minimise unnecessary overlap in group work within the three thematic sessions (e.g. listing the same C&P activities in the group work in all three thematic sessions).
- **The R-PP process timeline clarification.** This R-PP process timeline would need to be refined and clarified to minimize confusion during this session.
- **Auction ranking.** This method, if used at all next time, should begin with individual country team prioritisation of recommendations.

Next steps

- **Tweaking and improvement.** All resource persons, facilitators and organizers reflect upon their contributions, taking any negatives on the chin and constructively reworking their contributions individually and as a team to improve the workshop for next time. This reflection and revision should take place prior to the next workshop.
- **Communication 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.

Workshop Proceedings

Preliminaries

Session 1. Welcome and Opening Remarks

The welcome remarks were made by (i) Johannes Zutt, the World Bank Country Director for Kenya and other East African countries, and (ii) Gideon Gathaara, the Conservation Secretary in the Ministry of Forestry and Wildlife. In their welcome, they highlighted the following issues. That:

- Kenya has lost a lot of forests since independence. This may have contributed to the drought shock that has been experienced over the last 5 years.
- Forests are very central to lives of people within the region and at global level where over 1 billion people depend directly on them.
- Because of this importance, Kenya in particular has emphasized forest conservation in its policies including in the Constitution and Vision 2030, where it seeks to increase/raise the forest cover to 10% of its land area.
- Impacts of poor forest management are being felt in Kenya and other countries and hence the current efforts including through REDD+ that are being made to halt deforestation.
- Social inclusion in REDD+ is extremely important because of the high dependence of people on forest resources so this workshop topic is an important one.
- The World Bank is very glad to bring together key actors from 7 African countries participating in this workshop to share together efforts to strengthen social inclusion in REDD+.

Session 2. Introductions of participants, expectations

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

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

Many of the expectations were related to learning from other countries' experiences, guidance related to REDD+ SESA and REDD+ FRGM.

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.

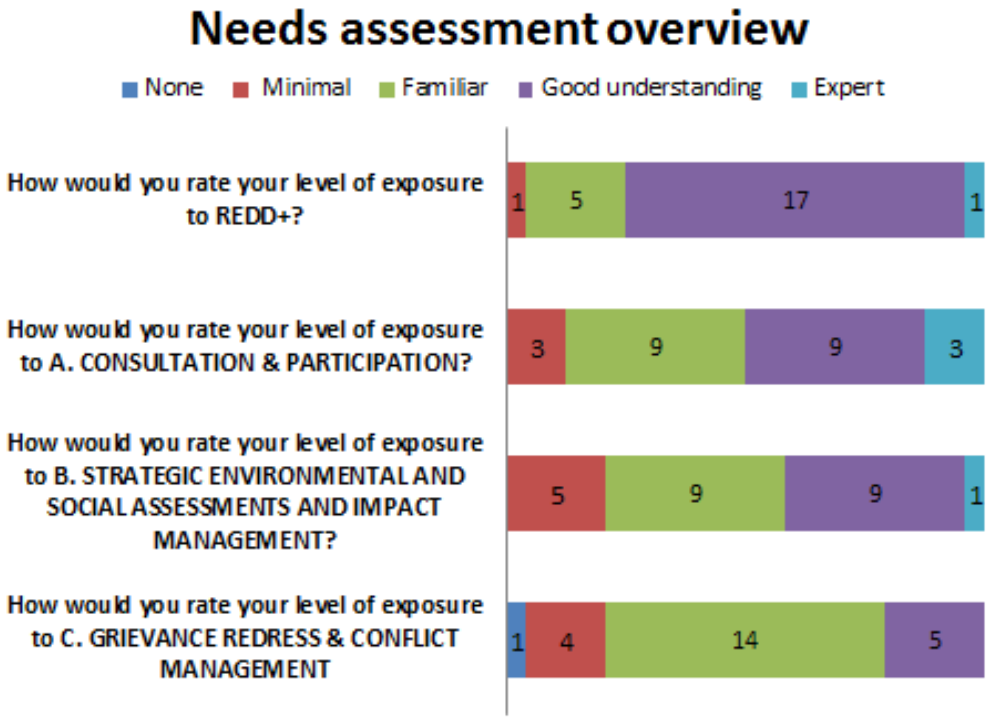

Figure. Needs assessment (Number of participants who felt they fell into each category of expertise, is listed in the bar chart).

3. Workshop norms, rationale, objectives and agenda.

After a presentation on the workshop objectives and agenda, 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).

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;

- Provided an overview of FCPF objectives, structure and governance.
- REDD+ Readiness Fund: Country participation status.
- R-PP contents.
- 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 point raised after the presentation was that the end of the presentation was a little rushed (due to short time allocation) and more time should be spent understanding the inter-linkages between the three elements (C&P, SESA and FGRM) more, before moving on to examine the individual elements themselves.

A. Country Sharing and Analysis

Session 5. Country team fit on REDD+ readiness process line

As a way to stimulate discussion within country teams as well as to orient all participants on the progress of each country team, country teams were asked to organize themselves along an R-PP spectrum placed on the wall. Where the country teams located themselves is indicated on the figure that follows.

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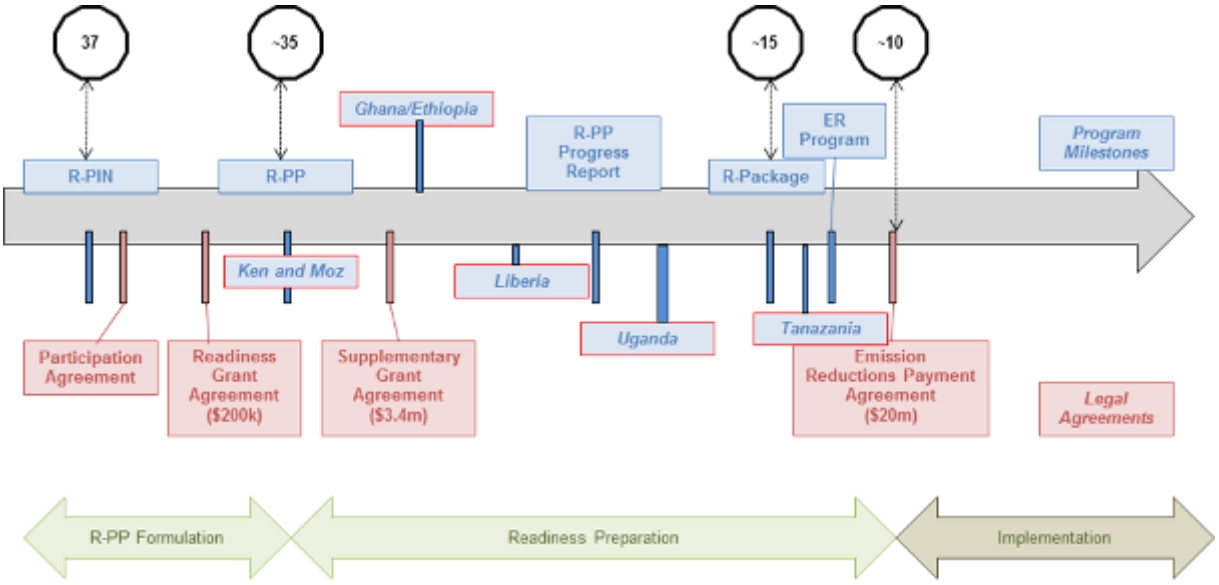


After locating themselves, country team representatives then had to explain what they have completed in the R-PP process and what is coming next. See the notes below on the perceptions of where the teams believe they are in the process.

Ethiopia

- Is selecting REDD+ pilot initiatives
- Grant agreement signed in September 2012.
- SESA plan yet to be developed.

Ghana

- R-PP approved.
- Readiness grant in place.
- ToRs for various activities (SESA, FGRM) ready and consultants to undertake the work are being sought.
- Seven pilots being implemented.
- Waiting to do a mid-term report in order to get supplementary agreement.

Kenya

- R-PP approved,
- SESA ToR developed.
- Waiting for the signing of the Readiness grant agreement.

Liberia

- Grant agreement signed
- ToR for REDD pilot projects being prepared.

Mozambique

- Mozambique has completed the R-PP document.
- The R-PP has not been implemented yet until funds received from the World Bank.

Tanzania

- R-PP approved in 2010 and under implementation.
- Have been making annual reports and are in between annual reporting and R-packaging.
- Currently preparing MRV.
- Piloting of REDD+ on-going.
- A regional safeguards [study] being prepared.

Uganda

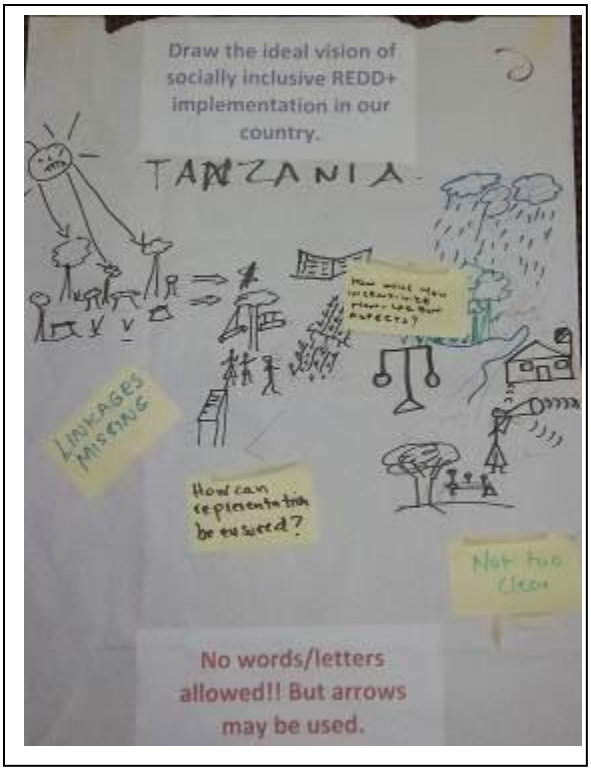
- R-PP has been prepared and approved.
- Implementation framework, MRV and reference scenario has been developed.
- Resource mobilization plan has been done to supplement World Bank funding.
- Waiting to sign the supplementary grant agreement.

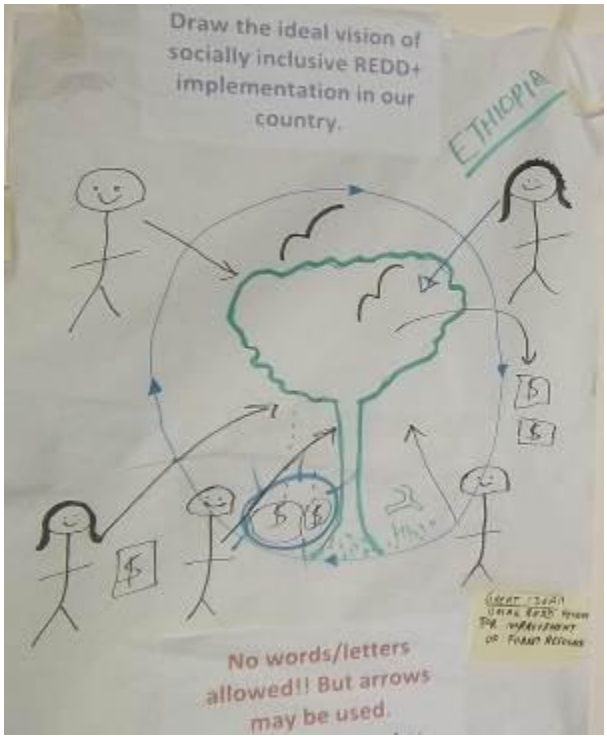
Although the exercise did stimulate a lot of discussion within country teams as intended, the labeling also did create some unnecessary confusion, especially around the term 'R-PP progress report', which created confusion as there are different kinds of progress report (annual and mid-term). Some revisions on the terminology and adding arrows to the spectrum on the wall to signify different phases in the process was recommended.

5. Country social inclusion in REDD+ visioning and Strength Weaknesses and Recommendations Analysis.

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

Teams first drew a vision of an ideal scenario with regards to social inclusion in REDD+, using no words (See photos on next page). They then conducted the Strengths, Weaknesses and Recommendations analysis.





Photos. Two visions of 'ideal socially inclusive REDD+' developed by the Tanzania and Ethiopian country teams. These visions were then explained and comments/questions provided on yellow post-its by other participants.

After developing their vision, the country teams then conducted an analysis of the strengths and weaknesses of existing mechanisms for social inclusion (C&P, SESA and FGRM) and developed recommendations that tackled the weaknesses and/or built on the strengths. As with the visions, after presentation comments and questions were provided by other participants on post-its.

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

Current strengths, weaknesses and recommendations with regards to social inclusion mechanisms.

Ethiopia

	Current strengths	Challenges and gaps	Recommendations
C+P	• Good consultation process through the R-PP process • Existing modalities PFM-participatory forest management.	• Limited capacity (technical and financial). Explain who would need what capacity developed? • Lack of public awareness	• Capacity building all levels • Awareness raising – all levels
SESA	• EIA proclamation guidelines • ESMF experience through PSNP. Please explain about land tenure – are there any issues with insecure tenure? Do women have access to land tenure?	• No practical experiences in SESA • Lack of technical/resource capacity What about tapping and building from the existing capacities of current Environmental Impact Assessment Practitioners?	• Develop SESA plan – implementation and monitoring system • Capacity building
FGRM	• Presence of Federal ombudsman. • Mainstreamed regional experience in PFM	• Implementation gaps Please specify which gaps and what would be needed to fill them? Are there any procedures that exist that could be adapted to FGRM for REDD+? • Limited guidelines for NRM/forestry.	• Develop guidelines for FGRM. • Capacity building

Ghana

	Current strengths	Challenges and gaps	Recommendations
C+P	• Existence of C+P plan. • Stakeholder self-selection. Is there some type of monitoring system to ensure that all stakeholders participate?	• Feedback mechanism. • C&P plan not operational Explain why the C&P plan is not operationalized.	• Operationalize the C&P plan • Establish feedback mechanisms
SESA	• Well established SEA/EIA frameworks and experience. Do the authorities responsible for environmental assessment also carry out social assessment? • SESA TOR is in place	• Unclear tenure arrangement. Explain how SESA will deal with the unclear tenure arrangements? What are the gaps in the tenure legislation? What is the plan to set out clear land tenure? (This should be specified in the recommendation) • Cross- sector nature of REDD+.	• In consultation design the prescription for SESA. • Strengthen inter-sectoral coordination? Explain how this will be done?
FGRM	• Alternative (customary) dispute mechanism in place. Explain how will this and the traditional community mechanisms be used in REDD+ FGRM? • Strong traditional institutions	• Inadequate financial and technical resources. • Weak monitoring culture Is there experience with community forestry monitoring to build from?	• Improve generation and management of internationally generated funding related to REDD+. • Streamline and strengthen traditional systems to include monitoring and feedback mechanisms. Please explain what this means?

Kenya

	Current strengths	Challenges and gaps	Recommendations
C+P	• Constitution provision includes participation. Do constitutional provisions for participation have to now be enacted through legislation? • Existing structures to work through – Community Forest Associations etc.	Disjointed – uncoordinated REDD+ processes. What practically can be done to join the REDD+ processes up? How are you ensuring national ownership of the REDD+ strategies? High community expectations for REDD+ How can these expectations be addressed in the communities?	Develop Guidelines on REDD+ C&P. Don't you have a detailed C&P plan already? Capacity development for all actors. What kind of capacity development for which actor? Please always be specific.
SESA	• SEA/EIA Regulation in place. Are there any issues with community land tenure? Are carbon rights clear in the legal framework?	• Conflict of interest Explain what you mean by conflict of interest? What can a SESA do about a conflict of interest? • Uncertainty • M&E of ESMF	• FGRM can help tackle weaknesses related to SESA. • Strengthen existing M&E systems. What needs to be changed to strengthen existing M&E system? Please provide an example of what needs to be strengthened and why?
FGRM	Community access to media. Do communities have control over media? How can the media be used to address specific grievances? How has access to media helped C&P processes to date? Is access to media sufficient to resolve disputes?	• Community apathy Why are communities apathetic and what can be done about this? • Communication barriers(language) What can be done about this barrier?	Community education. Please explain how this will relate to FGRM? Simplify FGRM information packages. Please explain how you intend to do this?

Liberia

	Current strengths	Challenges and gaps	Recommendations
C+P	• Community level institutions existing, such as rural women structures, Community Forest Development committee, traditional and religious leaders. • Legal framework in place Which legislation/procedures are exactly in place	Inadequate consultation at community level due to insufficient resources. Verify this statement – please explain the inadequacies in the process.	Use the lessons learned from the voluntary partnership agreement to strengthen consultation and participation.
SESA	Lessons learned from R-PP preparation process. Too general a statement – please define what the lessons are and how they can be applied. What is the state of community tenure and carbon rights?	Poor inter-sectoral coordination including data management in natural resources. Please explain why inter-sectoral communication does not work.	Improve inter-sectoral coordination. General statement – please be specific how to improve this?
FGRM	FRGM is existing on paper only, not implemented. Please explain what this mechanism is?	FGRM is not tested. Is the FGRM accessible, transparent, effective and affordable?	Establish a single FGRM for the natural resource sector. How feasible is it to have a single system? Explain how this will be operationalized?

Mozambique

	Current strengths	Challenges and gaps	Recommendations
C+P	• Legislation. Any issues regarding forest tenure legislation? • Political will for participation	• Lack of resources and implementation	• Awareness raising about REED+ process across all stakeholders. How will this be done?
SESA	• Rich forestry resources. • Community based natural resource management committees. Do community organizations have a legal status?	• Lack of benefit sharing framework • Weak law enforcement (environmental law). • High deforestation rate?	• Introduce technologies for alternative (to forests) income generation. What kind of technologies? • Greater empowerment of communities. Specifically how will this be done?
FGRM	• Government support through community based organisations. • Legislation is there. Explain what legislation there is for FGRM in REDD+	• Insufficient harmonization of the legislation.	• Harmonize the legislation related to REDD+ to minimise conflicts.

Tanzania

	Current strengths	Challenges and gaps	Recommendations
C+P	• REDD+ information and communication strategy(RICS) • Participatory Forest Management (PFM) and Joint Forest Management (JFM). How will benefits from REDD+ be shared in JFM? • National Strategy and action plan for piloting REDD+ Stakeholder networking. Is there real ownership among the REDD+ plan amongst stakeholders?	• Size and geography of the country not easy to reach all the stakeholders. How will you ensure that groups left out will not miss out on REDD+ money? • Relying on representatives of stakeholders might mean vulnerable are not reached. Why are you not ensuring that the interests of marginalised stakeholders are included?	• Decentralization of communication and information strategies to districts and zones • Dialogue with media houses to disseminate information at national and local level
SESA	• Existence of environmental laws supporting SESA. e.g. EIA Does the current framework cover social safeguards and assessments? • Initial process for crafting national REDD+ Safeguards Do communities have rights when it comes to their lands?	• Lack optimal integration of existing national and international safeguards. How are lessons from pilots feeding back into REDD+ strategy discussions – any social issues – lessons being generated by the pilots? • Ensuring that all interests of stakeholders are achieved and taken on board	• Use of participatory approaches in planning, implementation, monitoring and reporting related to the SESA.
FGRM	• Village land act 1999. • Existence of governance structure at local level such as land tribunals and bylaws at village, ward and district levels. How independent and reliable are the existing systems for dispute resolution? How are you going to safeguard their land rights?	• Inadequate resources for village level land use plans	• Review existing legal framework and development of guidelines for redressing grievances. What existing guidelines and procedures can you use and build from? Since you placed the village land act as a strength, why is a review of this act a recommendation?

Uganda

	Current strengths	Challenges and gaps	Recommendations
C+P	• Existing laws and policies. Explain specifically what aspects of C&P does the legislation cover? • Existing institutional framework. Specify what institutions and how they promote C&P? Do these institutions consider gender?	• Stakeholder diversity Explain how it can be ensured that stakeholders are well represented as not all people can be consulted? • Domesticating REDD+	• Stakeholder mapping. • Stakeholder engagement. How are you going to do the mapping? Are you planning of engaging all stakeholders nationally? What about stakeholder representation, how will representation be decided?
SESA	• Existing institutional framework/expertise. Is gender dimension considered? • Legal provisions Give examples. Are there formal or statutory limitations to women's access to land tenure? Are there legal issues when it comes to land tenure rights of communities?	• Inadequate resources • Lack of definite policy for SESA. Give an example of such a SESA policy?	• Develop a plan for resource mobilization for SESA. • Develop detailed principles, guidelines and framework for SESA.
FGRM	• Existence of CSO and existence of media. What protocols will you put in place to get feedback?	• Weak feed mechanisms. • Lack of understanding of REDD+ issues by media professionals	• Develop FGRM framework. Explain specifically how you will strengthen your FGRMs? • Integrate feedback mechanisms into on-going pilots.

After the comments were placed, country teams were given an opportunity to review the comments, digest them and then give responses.

Photo. Country teams have time to digest comments before responding, one of the benefits of the poster with post-it method over direct verbal questions.

At the end of section A. country teams were reminded to consider lessons of relevance in the subsequent sessions that could meet challenges identified in their country analysis.

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.

The presentation included the following:

- The purpose and goal of consultation in REDD+ readiness.
- Guidance on conducting consultations including the need to be adaptive and responsive.
- The distinction between consultation and communication.
- Need for documentation and feedback.
- Overview of the REDD+ C&P process building blocks, inputs, activities and outcomes.
- Testimony- quotations of positive impact of C&P on REDD+ in different countries.

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

Four 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 four 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+.
3) Process plan preparing for meaningful participation, consultation and communication in REDD+.
4) Institutionalisation of Consultation and Participation

Group Presentations

Group 1: Participation, Consultation and Communication Methods

This group identified 10 forest stakeholders (restriction to 10 was made for the sake of the exercise) and using arrows matched them with appropriate participation, consultation and communication measures. They were tasked with finding appropriate means of communication and participation and consultation for each stakeholder group. The table below provides a list of participation, consultation and communication measures and categories of stakeholders identified. The photograph that follows shows the many connections identified between tools/methods and stakeholders.

Participation and Consultation tools/measures	Categories of stakeholders involved in consultation and communication measures	Communication tools/measures
• Participatory mapping • Round table meeting • Visioning (3Rs – Rights, responsibilities and Revenues) • Interview • Surveys • Training session • Focus group discussions • Consultative workshops • Field excursions	• Policy makers • Women group • Media • Private sector • Academic research institutions Civil society/Religious groups • Key government sector agencies • Community leaders • Indigenous people and local communities	• Meeting • Posters • Video • Documentaries • Fliers • Community radio discussions • Television documentaries Websites • Policy briefs • Process briefing • Music, Dance and Drama • T-shirts

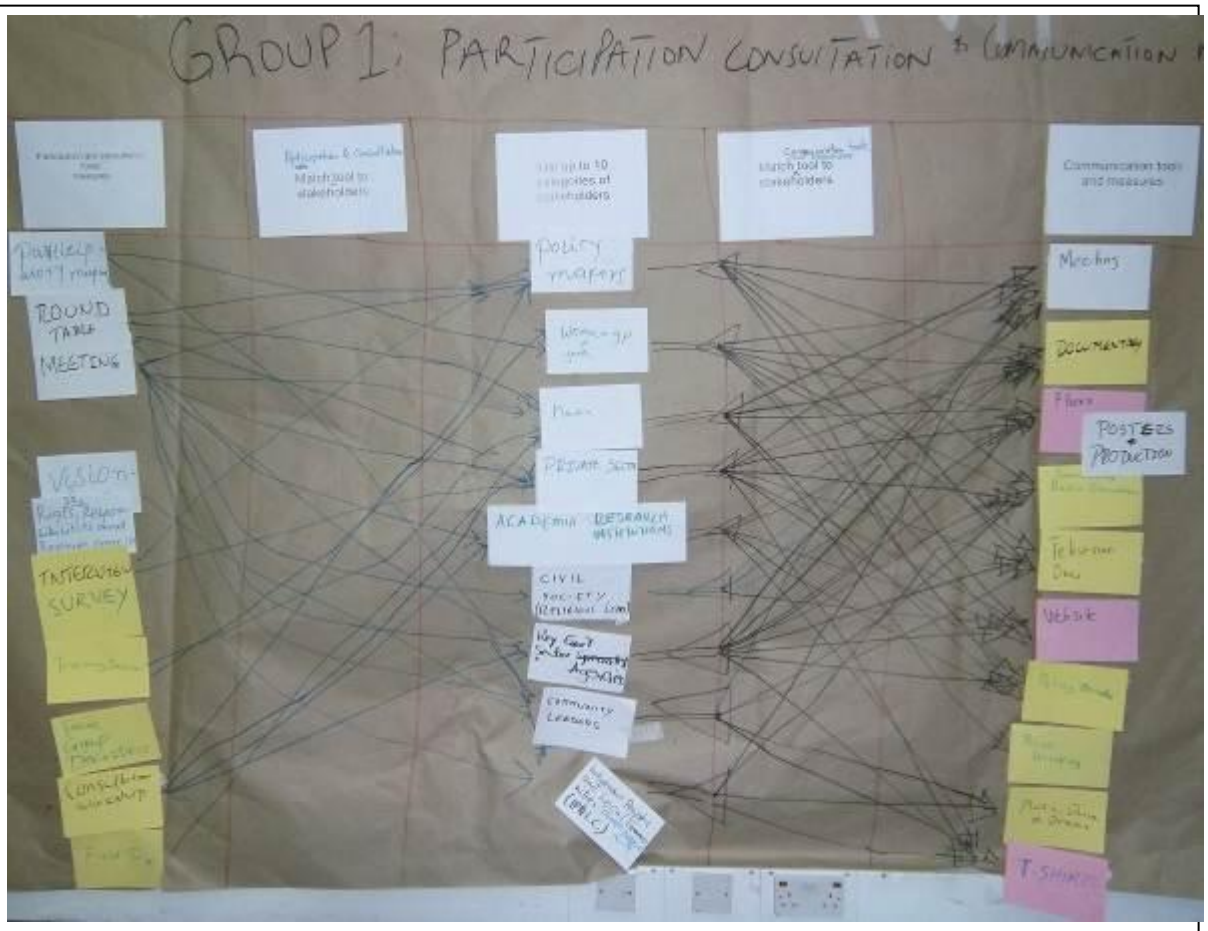


Photo: Linking appropriate participation, consultation and communication tools to specific stakeholders.

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 stakeholders during REDD+ implementation then worked back 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**
For Governments	• Rights to information on the on-going REDD+ initiatives and progress in the country • Government in consultation with	• Ensure rights of the communities are respected • Enter into, comply with, share information on international	• Tax revenue • Sustainable forest management including conservation of forests and biodiversity

	stakeholders can approve or revoke REDD+ implementation • The Government has a right to monitor REDD+ planning and implementation • Government can lead in the drafting of REDD+ policies	climate change agreements • Enhance political goodwill for climate change initiatives • Capacity building for stakeholders. • Supervise, regulate, oversight, monitor, evaluate REDD+ implementation	• Government has a right to consult with stakeholders and regulate benefit sharing
For Communities	• Participation in decision making • Rights to customary lands and territories • Access to Information/education on REDD+ • Access to forest products and services. • Rights to retain revenues from climate finance. • Rights to Free Prior Informed Consent (FPIC)	• Carry out activities as per agreements • Set aside land for REDD+ • Protection and monitoring of forest revenue and MRV • Act as custodians of their land and forest biodiversity	• Capacity building and strengthening of local institutions and improved governance • Maintaining livelihood from forest.
For NGOs	• Rights to information • NGOs to monitor • To be involved in consultation process To be part of the national governance structure of REDD+ process in the country	• Support community participation in REDD+ process including monitoring and evaluation • Carry out pilot projects that feed into REDD process • Participate in the REDD+ process • Awareness creation and information dissemination	• Building knowledge and resource capacity • Increased capacity, profile and recognition

	Recommendations regarding rights during REDD+ readiness	Recommendations regarding responsibilities during REDD+ readiness	Recommendations reading revenues/benefits during REDD+ readiness
	• Clear definition of rights for different stakeholders is necessary • There is need to analyze all the stakeholders and their level of relevance in REDD+ and allocate rights accordingly. • Need of clear communication mechanism to ensure all are aware of their rights.	• There is need to define roles of the stakeholders and putting in place of a monitoring system for compliance of roles and responsibilities. • Development of specific legislation tools to formalize and enforce responsibilities.	• Development of national guidelines that promote levels of transparency, involvement and accountability on benefit sharing. • Ensure disclosure to benefits for stakeholders. • Benefits to be determined by Government.

Group 3: Planning the process of participation

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

Ideal Key Process steps	Purpose of steps – what do you want to achieve by this step? The result of participation	Which stakeholders should be involved
Planning the process for participation during a national dialogue to discuss REDD+ readiness issues	• Get Government to be committed to undertake REDD+ mechanisms including C&P. • Gender mainstreaming	• Expert groups • Government • Forest dependent communities • Civil Society Organizations
Preliminary visits to reach marginalized stakeholders	• Targeted C & P • Involvement of IPs and local communities • Gender mainstreaming	• Charcoal producers • Farmers
Stakeholder mapping	• To help improve the participatory process • Sustainability and ownership • Gender mainstreaming	• Research institutions • Youth and women groups • Private sector • NGOs • Farmers

Consultative meetings, training needs assessment and choice of participation methods	• Gender mainstreaming • Free, Prior and Informed Consent (FPIC) • Capacity building • Use of appropriate participatory methods • Legitimacy	• Vulnerable groups • Religious and cultural leaders • Media • Marginalized groups • Politicians • Consultants • IPs and local communities
Stakeholder validation workshop	• Women engagement • Policy engagement	
Monitoring and evaluation	• Feedback from stakeholders	

Group 4: Institutionalizing Social Inclusion in REDD+

This analytical framework was designed to develop measures to ensure that participation and consultation were not just one-off activities, a tick-box exercise only related to REDD+ but rather that they become engrained within the institutions and policy processes related to the forest sector. This multi-country group started by describing what institutionalization of consultation and participation would look like in REDD+ implementation and then developed recommendations on how to reach this during the REDD+ readiness phase.

Ideal skills needed for social inclusion in REDD+ implementation	**Ideal institutional arrangements to ensure meaningful participation in REDD+ implementation.**	**Ideal policy and legislation in REDD+ implementation**
• Communication • Facilitation • Interpersonal skills • Openness • Inclusiveness • Technical skills • Legal and policy analysis skills • Cultural sensitivity • Knowledge on participatory forest management • Negotiation skills including mediation	• Focal institutions for REDD+ • Networks • National steering committee • Secretariat • Technical working group • Clear institutional rules on participation and how decisions are going to be adopted • Working group systems • Gender groups	• Good participatory forest management legal framework • Clear organizational structure established through appropriate policy/law • Clear implementation policy and guidelines for REDD+
Recommendations for steps during REDD+ readiness to do with skills.	**Recommendations for steps during REDD+ readiness to do with institutions.**	**Recommendations for steps during REDD+ readiness to do with policy and legislation.**
• Capacity development at all levels on facilitation,	• Support to capacity building and representation processes of	• Analyze how customary and formal government community land

participation, consultation, negotiation and mediation. • Bio-cultural community protocols for indigenous people developed. • Establish teams with required skills to facilitate stakeholder processes	communities and CSOs so that they can be a strong institution themselves. • Build feedback mechanisms into institutional arrangements • Financial and technical resources to establish appropriate institutions • ToRs for institutions and procedures for inter-institutional communication. • Cross institutional representative arrangements • Communication and information strategy prepared	tenure interact develop recommendations to feed into policy and legislation that clarifies tenure. • Draft legal and policy framework for community tenure over forests. • Develop policy and guidelines for all aspects of REDD+ implementation including ensuring ongoing consultation and participation.

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.

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. This presentation covered some of the following;

- 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.
- Guidance on form of SESA; including legal regulatory and policy regime within which the strategy will be implemented, potential environment and social impacts, management arrangements and the importance of ensuring SESA development in a consultative and iterative process.

Session 15. 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;

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 and by mid-2012 completed the preparation of the 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. It was explained that after the analysis some of the groups would be playing the role of a government minister to listen to the results of the analysis and recommendations regarding the TOR, the other groups would play the role of consultants advising the minister. Which group would play which role would not be decided until after the case study analysis.
.

- Groups 1 and 3 addressed the following questions focusing on the "launching" and "scoping" sections of the Macondo SESA ToR.
    - Will benefits and costs of alternative land uses be assessed in the SESA to decide in a participatory way whether or not is convenient for Macondo to establish forest carbon stocks?

- How will the SESA process ensure ownership of the SESA results by all key stakeholders?
- What are the two major analytical and participatory strengths of the proposed SESA?
- Are there some major weaknesses in the proposed ToR or they are good enough for Macondo to go ahead with this proposal?
- Two specific recommendations to the Minister for his meeting with the President

- Groups 2 and 4 addressed the following questions focusing on the "assessment" and "ESMF" sections of the Macondo SESA ToR.
    - Does the SESA process help in selecting and refining the REDD+ strategy options of Macondo?
    - Does the SESA process contribute to establish an equitable distribution of benefits among forest users, landowners, investors and the government?
    - Is the SESA providing enough information to strengthen Macondo's management of environmental and social impacts from the implementation of the REDD+ Strategy?
    - Are there some major weaknesses in the proposed ToR or they are good enough for Macondo to go ahead with this proposal?
    - Two specific recommendations to the Minister for his meeting with the President

Presentation of the analysis

The Minister is concerned about the REDD+ readiness process of Macondo and wants to be briefed by consultants on an analysis of the SESA TOR.

Roles were decided by tossing a coin where the 2 rapporteurs played the role of consultant and another for the role of minister. Members of the group supported their rapporteurs. The discussion that followed during the role play, allowed the participants to interrogate each other's understanding and analysis of the ToRs further – posing questions and answers to each other in a role play set up where the minister sat at one desk with the consultants at an opposing desk.

Some of the specific points raised about the Macondo SESA TOR to the 'minister' and recommendations include;

- A good SESA will be important to ensure the sustainability of REDD+ project considering the social and environmental aspects.
- The SESA process will be useful in addressing the opportunity cost of establishing carbon stock.
- This SESA TOR does seem to propose a cost effective set of safeguards for the country to be part of the global Climate Change agenda.
- The TOR may be OK to adopt as a working document – that should be improved upon –recommendations for improvement are listed in the following points.
- Ensure that the Macondo community benefit from REDD+ this should be strengthened in the TOR
- Point out the essence of social inclusion within readiness process within the TOR.
- The TOR also needs to be strengthened by including provision for SESA capacity building and specific reference to gender.

After the exercise, there was a wrap up where comments/reflections on the results of the role play exercise were provided.

D. REDD+ Feedback & Grievance Redress Mechanism

This section, delivered by Amar Inamdar and Marie Brown of the World Bank, began with an introductory presentation followed by an open discussion. Some of the key topics covered in the presentation included;

- Recap of the issues/gaps regarding FGRM identified by participants.
- Advice on risks and anticipation of grievances.
- Common process steps in developing a REDD+ grievance mechanism.
- Integration of FGRM into other REDD+ mechanisms.
- Tools for identifying and managing risk of conflict, for FGRM capacity assessment and for evaluating FGRM (contained in handouts).
- A case study of a GRM evaluation in Mexico was presented.

The participants were then divided into their country teams and using an analysis framework conducted an FGRM capacity assessment within their own countries. The results of the assessment were then presented in plenary. The analysis is presented in the following matrices.

Capacity assessment of REDD+ readiness FGRM mechanisms in the participating countries.

1. **Country : Uganda**

REDD+ Stage	Causes of community level REDD+ related grievances	REDD+ Focal Institution	Existing capacity strengths to deal with FGRM	Weakness - gaps	Rate Capacity 0 – No capacity to address 1 – Weak capacity to address 3 – Adequate/strong capacity to address	How to efficiently use USD 200,000 allocated to Grievance Redress
REDD+ Readiness	1. Demand for land tenure clarity 2. Will women benefit? 3. Expectations regarding REDD+ incentives. 4. Delayed long process for REDD+ 5. Worries about continued access to forest resources in REDD+ 6. Confusion on tree tenure and carbon rights 7. Legitimate stakeholder representation issues need to be sorted. 8. REDD+ avoided deforestation versus other land uses(e.g. conversion to agriculture) 9. Contention on approved	FSSD (Ministry of Water and Environment)	1. Capacity to coordinate and communicate 2. Presence of technical staff 3. Legitimate body 4. Mandated with forest management (benefit sharing through Community forest management already) 5. Clients charter	1. No mandate over land tenure issues- which is a problem as this issue is at root of many disputes. 2. Focal point not an implementing agency 3. Specific expertise on FGRM	1	1. Identify and train key existing staff to handle REDD+ related grievances. 2. May require recruiting personnel with additional skills. 3. Constitute a cross sectoral mechanism to handle issues beyond the mandate of Ministry of water and Environment. E.g. land tenure

	strategies 10. Opportunity costs for REDD+ - what people expect to lose. 11. Unclear communication of the REDD+ process 12. Concerns about equity 13. Technology/methodology used not appropriate			missing		
REDD+ Implementation	1. Benefit sharing will be big cause of grievance. 2. Inappropriate technology 3. Contention on approved strategies for avoided deforestation 4. Issues of opportunity and transaction costs being considered too heavy or inequitable.		1. Capacity to handle emerging REDD+ disputes 2. Gender strategy under ENR sector. 3. Existence of a performance agreement with other related sectoral institutions on REDD+ dispute resolution.			

2. Country : Mozambique

REDD+ Stage	Causes of community level REDD+ related grievances	REDD+ Focal Institution	Existing capacity strengths to deal with FGRM	Weakness - gaps	Rate Capacity 0 – No capacity to address 1 – Weak capacity to address 3 – Adequate/strong capacity to address	How to efficiently use USD 200,000 allocated to Grievance Redress
REDD+ Readiness	1. Lack of prior information on REDD+ a cause of misunderstanding and grievances 2. Heavy bureaucracy which is slow to deliver benefits 3. Benefit sharing disputes 4. Land tenure disputes 5. Lack of alternatives to forest and wildlife extraction 6. Insufficient care given to who will be involved in the REDD+ process	Ministry for coordination of forestry affairs Ministry of Agriculture	1. Human resources available 2. Legal framework for REDD+ in place 3. National strategy for climate change approved 1. Ministry has established Community Based Organizations in some places - Community based natural resources	1. Lack of specific capacity on FGRM 2. Lack of specific legislation in FGRM 3. Lengthy process/time to establish REDD+ technical team The above weaknesses also apply to the Ministry of Agriculture	1	1. Review and dissemination of legal framework at all levels 2. Training on grievance management 3. Improved coordination of FGRM actions among organizations 4. Establishment of REDD+ network and guiding operational framework which clarifies.

			management committees formed			
REDD+ Implementation	If the above grievances are not solved, they will continue into REDD+ implementation					

3. Country : Liberia

REDD+ Stage	Causes of community level REDD+ related grievances	REDD+ Focal Institution	Existing capacity strengths to deal with FGRM	Weakness - gaps	Rate Capacity 0 – No capacity to address 1 – Weak capacity to address 3 – Adequate/strong capacity to address	How to efficiently use USD 200,000 allocated to Grievance Redress
REDD+ Readiness	1. Limited funds/benefits 2. Lack of inclusiveness 3. Mis-interpretation of REDD+ 4. Disagreement over direction of REDD+, carbon trading and integrated rural development 5. Grievances related to whether local people will have access to forest	Forestry Development Authority, EPA, CSO and others	1. Establishment of multi-stakeholder platform for REDD+ 2. Clear legal mandate to include all citizens 3. Stakeholder involvement in policy/regulation development 4. Lead institutions present on the ground	1. Poor implementation of its mandate in terms of inclusiveness and access to information 2. Limited technical capacity – human resources 3. Forestry department has not adequately operationalized FPIC 4. Limited understanding of gaps/limitations	0	1. Gap analysis on policy and practice, and existing institutions related to REDD+ FGRM 2. Integration and harmonization of existing mechanisms 3. Pilot/test agreed FGRM mechanisms and learn lessons to develop an effective FGRM system 4. Capacity building on FGRM 5. Ensure inclusiveness in the process of rolling out and implementing FGRM.

	resources			in REDD+ readiness		
REDD+ Implementation	1. Climate finance benefit sharing disputes 2. Equity (access to forests and distribution of benefits from the forest) 3. Disregard for existing community land and user rights 4. Who buys credit (ethical issues) could cause disputes 5. Benefits and costs not balancing could cause disputes. 6. Technology transfers that are inappropriate. 7. Internal grievances related to communities not agreeing on priorities for spending money on. 8. Community		-	-	1	

	might feel cheated if their high expectations are not met in REDD+ implementation leading to grievance with those that had pushed REDD+					

4. Country : Ethiopia

REDD+ Stage	Causes of community level REDD+ related grievances	REDD+ Focal Institution	Existing capacity strengths to deal with FGRM	Weakness - gaps	Rate Capacity 0 – No capacity to address 1 – Weak capacity to address 3 – Adequate/strong capacity to address	How to efficiently use USD 200,000 allocated to Grievance Redress
REDD+ Readiness	Unclear tenure, Benefit sharing arrangement unclear, Slow pace of process.	Ministry of Agriculture	1. Presence of NRM directorate 2. Political will existing for REDD+ 3. Good policy environment (CRGE) 4. Skilled manpower 5. Presence of NRM	1. No formal structure to hear grievances related to NRM 2. Poor coordination between institutions that	1	1. Development of bylaws and guidelines on REDD+ FGRM 2. Development of communication strategy for FGRM and REDD+ 3. Capacity building on FGRM

	High expectations		related CBOs 6. PFM being mainstreamed in MoA 7. Have started a platform between community and government through PFM 8. Experience from Clean Development mechanism project (climate finance to communities for afforestation/reforestation)	need to cooperate to solve disputes 3. Lack of capacity 4. Limited manpower		4. Link social courts with the various regional Bureau of Agricultures so that REDD+ disputes can be referred to court if need be. 5. Raising of awareness in all levels from communities up to high office on all aspects of REDD+ 6. Give bylaws that communities have in PFM official government recognition. 7. High level government/community platform to ensure voices from communities are heard at high level. 8. Transparent financial management is essential to minimize conflicts on REDD+ benefit sharing. 9. Consultation, inclusion and participation in all REDD+ processes will be the key strategy to avoid, minimize and deal with disputes.
REDD+ Implementation	Benefits not what were expected. Inequities. Lack of access to forest resources.		-	-	-	

5. Country : Tanzania

REDD+ Stage	Causes of community level REDD+ related grievances	REDD+ Focal Institution	Existing capacity strengths to deal with FGRM	Weakness - gaps	Rate Capacity 0 – No capacity to address 1 – Weak capacity to address 3 – Adequate/strong capacity to address	How to efficiently use USD 200,000 allocated to Grievance Redress
REDD+ Readiness	1. Capacity to measure forest carbon limited 2. Knowledge on what is REDD+ and how it works is limited	Vice President Office (VPO) – Division of Environment	1. Good coordination and policy direction 2. Focal institution negotiating country position on REDD+ 3. REDD+ information and communication strategy in place (RICS) 4. Coordinate REDD+ governance institutions and climate change issues	1. Existing GRM mechanisms are not adequate to address REDD+ issues 2. VPO is not a forest implementing agency and does not have the capacity to do so.	1	1. Community empowerment 2. Environmental awareness and capacity building on REDD+ 3. Development of a FGRM mechanism 4. Devolvement of REDD+ issues in the forest sector implementing institutions 5. Implementation of the communication strategy on REDD+ 6. Training on FGRM
REDD+ Implementation			1. REDD+ Strategy to guide implementation 2. Establishment of national carbon	1. Limited staff 2. Uncertainty of funding 3. Coordinating the forest sector	1	

			monitoring centre 3. Establishment of REDD+ focal point	is weak at the ground due to lack of capacity		

6. Country: Ghana

REDD+ Stage	Causes of community level REDD+ related grievances	REDD+ Focal Institution	Existing capacity strengths to deal with FGRM	Weakness - gaps	Rate Capacity 0 – No capacity to address 1 – Weak capacity to address 3 – Adequate/strong capacity to address	How to efficiently use USD 200,000 allocated to Grievance Redress
REDD+ Readiness	1. Livelihood marginalization – not considering needs of people. 2. Selection of REDD+ pilot sites can causes disputes. 3. Confusion as to whether there will be a fund or a market based mechanism? 4. Lack of clarity on roles and responsibilities in REDD+ can lead to disputes. 5. Who owns the land? Lack of forest land tenure clarity key cause of disputes.	Forestry Commissio n (FC)	1. Some strengths based on experience from other relevant projects(e.g. community based forestry) 2. FC has experience in some livelihood related projects (e.g. NRMP, GSBA) 3. FC has experience in demarcation of forest boundaries and has technical	1. Lack of socio economic baseline survey for REDD+ pilot areas to understand livelihood needs. 2. Bureaucracy too heavy. 3. No consultation or national discussion on the subject of REDD+ 4. Absence of national land use plan 5. No database on land ownership	-	1. Assessment of existing capacity in FGRM 2. Capacity development in FGRM for FC (collaborative Forestry Unit) 3. Develop database on land and land owners 4. Carry out socio economic baseline survey around the pilot areas to understand livelihoods of people.

			knowhow related to forestry inventories etc. 4. There is a good initiative to register trees on land therefore clarifying tree ownership 5. IUCN is attempting to clearly define roles and responsibilities of different actors in REDD+			
REDD+ Implementation	1. Disputes over land tenure arrangements 2. Livelihood marginalizatio n – due to REDD+ 3. Lack of effective equitable and adequate benefit sharing mechanism.		-	-		

7. Country: Kenya

REDD+ Stage	Causes of community level REDD+ related grievances	REDD+ Focal Institution	Existing capacity strengths to deal with FGRM	Weakness - gaps	Rate Capacity 0 – No capacity to address 1 – Weak capacity to address 3 – Adequate/strong capacity to address	How to efficiently use USD 200,000 allocated to Grievance Redress
REDD+ Readiness	1. Family representation (Man or Wife?) 2. Information mis-interpretation 3. Carbon rights not clear 4. Poor information relay and feedback regarding REDD+ 5. Land ownership rights not clear	Ministry of Forestry and Wildlife	1. Technical capacity available 2. Policy mandate in place 3. Proper devolved infrastructure in place 4. Political goodwill available for REDD+ 5. Constitution of Kenya 2010 supports citizen participation.	1. Lack of resources 2. Political interference 3. Policy gaps	1	1. Capacity development on FGRM 2. Develop clear cost/benefit guidelines for REDD+ 3. Publicity/sensitization on REDD+ FGRM issues including engaging courts
REDD+	1. Institutional		1. Lack of	1. Devolution	1	

Implementation	mandates not clear. 2. Inadequate capacity to integrate FPIC 3. Unclear carbon right issues persists 4. Inefficiency and ineffectiveness in implementation of REDD+ - slow etc. 5. Boundary issues on which communities and individuals have rights over which forest land 6. Lack of capacity to develop MRV 7. Benefit sharing not clear 8. Tenure still		clarity of mandate	yet to take place		

	not clarified. 9. Lack of knowledge to come up with effective REDD+ projects 10. Distribution of benefits inequitable 11. Cultural rights and cultural beliefs clashing with REDD+ 12. National land commission and REDD+ implementation not harmonious.					

After the presentation of outputs, participants and resource persons continued an open discussion--in the open air, under a tree, on emerging key issues regarding FGRM development, guidance and country experience sharing on causes of disputes and FGRM mechanisms.

3. Application and Adaptation of Workshop Lessons

Session 20. 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+ in a more 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 (note that the characteristics in the hypothetical country of Gambezi were modeled on common issues that emerged in the contexts of participants' countries)

Hypothetical role play country: Gambezi

- Gambezi is a typical African country that has similarities regarding many of the REDD+ readiness issues raised in the workshop.
- Land tenure is very unclear – forest communities have traditional rights over the forest, but officially all forest is government owned.
- Gambezi has finished its R-PP and a C&P plan and SESA/ESMF ToR – but they haven't been implemented yet, they are only on paper.
- NGOs in Gambezi state that they provide a voice for communities and thus have been key in developing the R-PP along with government.
- The main criticism is that whilst developing the R-PP and C&P and SESA framework, so called community representatives were selected in a chaotic way by a technical working group and invited to conventional workshops. These 'representatives' were presented technical information but were not meaningfully engaged. As a result REDD+ options and pilot strategies did not match the real underlying drivers identified by communities – and especially the most affected marginalized groups within them.
- These consultations were a one-off exercises to develop the R-PP. There has been little in the way of community stakeholder involvement so far in R-PP implementation.
- The SESA ToR was developed by consultants – looks very nice but not 'owned' or institutionalised in the country – some say it was done as a 'tick box' exercise so that the government could secure the funds from the World Bank.
- The FRGM has not yet been developed – but is badly needed!

Role play scenario:

The World Bank has organized a multi-stakeholder workshop so that stakeholders can analyze, present and debate strategies for enhancing their existing REDD+ preparedness in a way that will make REDD+ implementation more socially inclusive and just.

If the strategies are meaningful, specific, logical, timebound (1 year) and cost effective then the World Bank is prepared to offer up to US$600K to fund those strategies.

It is the last day of the workshop – and various ideas (see outputs on the walls) have been generated over the last three days for strategies to enhance social inclusion – related to Consultation and Participation, SESA and FGRM. But the World Bank has still not decided if they will fund any strategy or which strategy to fund – because they are not strongly

convinced about the justification, cost effectiveness and specifics (lots of vague terms like ‘capacity building’ – not saying why, how, or who in the strategies).

Participants were divided into 4 stakeholder groups to discuss and make recommendations with justifications for Gambezi – but had to step into the ‘shoes’ of the stakeholder group they were assigned to, present recommendations from the perspective of that group.

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
Local Communities	They need to be fully engaged, they need to know more about REDD+ and know what the costs and benefits really are for them.	Local communities have the right to be fully engaged as it is their forest, they will be the most affected. NGOs do not speak for communities, they have their own interests in REDD+, communities can speak on their own behalf. Donors should work more directly with community organizations and not ‘middle men’ NGOS.
	Continued access to forest and resources and services. REDD+ needs to preserve and enhance livelihoods including forest based livelihoods.	The communities have ancestral rights to the forest, their livelihoods depend on the forest and they are guardians of the forest. Cutting communities off from the forest in REDD+ would be a big mistake as would conserving the forest at the expense of the livelihoods of the local people.
NGOs	Develop standard guidelines for participatory REDD+ readiness process at all levels that will promote high level of involvement, transparency and accountability during implementation.	When standardized, it promotes cost effectiveness, transparency and accountability. Clear MRV protocols for MRV promotes social benefits.

Government –Forestry department	Informed and inclusive SESA process revisited	• Feedback received and lessons learnt • SESA gives opportunities to address gaps in stakeholder engagement • Refine REDD+ strategy options • Decision making on strategy options is well informed by good analysis, opportunity costs and benefits.
	Develop inclusive and transparent FGRM through an interactive process (gap analysis, consult, develop specific pilots and refine)	• Mitigate risks • Ensure acceptability • There is an opportunity to improve and implement FGRM • Keep stakeholders happy • Transparency on which grievances can be addressed.
Donor	Enhance stakeholder engagement	• Gender must be mainstreamed • Cultural issues have to be respected • Insufficient ownership of the REDD+ process has to be rectified • We have to avoid the disenfranchisement of vulnerable stakeholders who often rely most on the forest but who's voice is last to be heard.
	Strengthen application of safeguards and risk management beyond safeguards	• Land tenure issues have to be sorted out • Benefit sharing must be equitable and clear • Transparent process is essential for governance of REDD+ • Need to include IPs/community rights into REDD+

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 to take part. See photo below.

Photo: The use of the fishbowl debate in this session was also designed to illustrate the suitability of the method for a multi-stakeholder debate.

As well as the recommendations and justifications being presented and debated, the debate widened to include various contentious topics including criticisms of NGOs from communities capturing the benefits in REDD+ readiness.

Session 21. Priority ranking of strategies to meaningfully enhance social inclusion in REDD+

To encourage country teams to digest the key outputs of the workshop, provoke discussion on prioritization and internalize which REDD+ social inclusion strategies were of most priority for them an ‘auction ranking’ method was used.

Firstly key recommendations for social inclusion were synthesized from the previous role play. Country teams (except Mozambique) were paired up to discuss the priority of the recommendations. Secondly an auction was held where each team was allocated a fixed number of credits (100). Each team was asked to buy as the recommendations for social inclusion that they felt was the highest priority, with the recommendation going to the highest bidder. As the amount paid was deducted from the credits, teams had to think very carefully about how much they would be prepared to pay, to ensure they had sufficient credit left over to purchase other recommendations.

Auctions provide a general indication of the collective value of ‘products’ in this case how high a priority the recommendations for social inclusion in REDD+ were.

The following is the collective outcome of the auction – and provides some indication of what the collective priorities are according to the country teams present in the workshop. It is worth noting, however, that no hard and fast conclusions can be drawn from the outcomes of

this exercise. Although the pairing countries up during the auction ranking exercise certainly provoked lots of discussion, it also led to indecisiveness during the auction which could well have affected the accuracy of the prioritization.

Recommendation	Credit paid in the auction	Ranking
1. Develop inclusive and transparent FGRM through an interactive process (gap analysis, consult, develop specific pilots and refine)	51	1
2. Continued access to forest and resources and services. REDD+ needs to preserve and enhance livelihoods	50	2
3. Informed and inclusive SESA process needed(revisit this if previously developed)	50	2
4. Consultation and communication strategies for entire process and benefits	43	4
5. Strengthen application of safeguards and risk management beyond only safeguards	34	5
6. Develop standard guidelines for participatory REDD+ readiness process at all levels that will promote high level of involvement, transparency and accountability during implementation	30	6

Country Team Action Plans

The country teams were again 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, please note that some comments were undecipherable in the photographs of the outputs that were taken for documentation, so not all comments/questions are included.

Session 23. And 24. Country team application of relevant lessons into action plans for presentation for peer review.

Ethiopia

	Feasible concrete measures/tactics to enhance social inclusion	Justification- what gap is it addressing/strength is it building on?	When by- latest?	Who responsible?
Consultation and Participation	1. Develop the full Consultation and Participation strategy – beyond the TOR in the R-PP. 2. Test in pilots and adapt to the regions as necessary.	1. It will build on already existing Participatory Forest Management Guidelines which are aimed to address the concerns of most affected stakeholders. 2. There is no C&P guideline specifically addressing REDD+	Aim to complete between June 2013 and December 2013	MoA/REDD Sec. REDD+ technical working group.
SESA/ESMF	1. SESA/ESMF development along with the necessary capacity building. 2. Piloting SESA/ESMF in pilot projects. How will you actually deal with lack of capacities? What will you actually and specifically do about it?	1. Need to develop practical experience in REDD+ SESA to ensure the SESA/ESMF is rooted in practical experience. 2. Need to fill capacity gap.	By August 2013	MoA/REDD Sec. REDD+ technical working group.
FGRM	1. Link existing local level Natural Resource Management related platforms to higher levels. 2. National level workshop to	1. Need to link community voice with high level decision makers. 2. Buildings from and on already existing	By December 2013	MoA/REDD Sec. REDD+ technical working group.

	agree on composition and Terms of Reference of the dispute resolving body and mode of implementation.	mechanism and experiences related to FGRM. 3. To create an enabling institutional environment and appropriate mandated and widely acceptable institution to carry out FGRM in REDD+		

Ghana

	Feasible concrete measures/tactics to enhance social inclusion in REDD+ readiness	Justification- what gap is it addressing/strength is it building on?	When by- latest?	Who responsible?
Consultation and Participation	1. Continue to engage CBOs/NGOs to do stakeholder specific consultations on REDD+ readiness issues. 2. Operationalize the Consultation and Participation plan. 3. Finalize the communication strategy. 4. Conduct a stakeholder validation for the communication strategy. What evidence informed you that you need a communication strategy?	1. To broaden social inclusion. 2. To clarify roles and responsibilities and to monitor performance. 3. To ensure well coordinated, inclusive and effective communication. 4. To create ownership and acceptance of communication strategy.	On-going- aim to finish by April 2013	REDD+ Secretariat and Forestry Commission (REDD Secretariat) consultant.
SESA/ESMF	1. Complete the procurement process for consultants. 2. Initiate analysis of existing tenure systems. 3. Consultants prepare workplan. Is this workplan an updated version of the one contained in the R-PP? 4. Stakeholder discussion on	1. To get competent and capable consultants to implement SESA. 2. To confirm ability to deliver on TOR.	By April 2013. By June 2013	Forestry Commission. SESA consultant

	report/SESA/plan framework prepared by consultants.	3. Serve as a basis for M&E of SESA/ESMF.		
FGRM Build capacity	1. Procurement process. 2. Gap analysis. 3. Design pilot to test FGRM strategy 4. Stakeholder validation 5. Design FGRM mechanism.	To identify existing relevant structures and mandates. To assess feasibility of FGRM strategy and refine.	May 2013(4 months after release of funds) July 2013(6 months after the release of the funds)	Forestry Commission.

Kenya

	Feasible concrete measures/tactics to enhance social inclusion in REDD+ readiness	Justification- what gap is it addressing/strength is it building on?	When by- latest?	Who responsible?
Consultation and Participation	1. A communication strategy developed in a consultative process. 2. Develop guidelines to support the implementation of the C&P plan.	1. Need to support a coordinated and consultative REDD+ readiness process. 2. A strength to build on is the constitution which supports participation.	June 30th, 2013	NRCO(National REDD+ Coordination Office)
SESA/ESMF	1. Finalize the draft TORs for SESA. 2. Develop the implementation roadmap for SESA. 3. Convene stakeholder consultation on SESA to develop/finalize the SESA framework and plan. 4. Finalize SESA institutional management arrangements	We need a coherent SESA approach in REDD+.	June 30th 2013	SESA working group.

FGRM	Undertake a situational analysis to inform the FGRM, livelihood issues, social safeguards needed opportunity costs, FGRM capacities etc. etc.	1. To inform the benefit distribution mechanism. 2. Need for situational analysis to inform/support the development of FGRM strategy and guidelines.	By June 30th, 2013	NRCO (National REDD+ Coordination Office)

Liberia

	Feasible concrete measures/tactics to enhance social inclusion in REDD+ readiness	Justification- what gap is it addressing/strength is it building on?	When by- latest?	Who responsible?
Consultation and Participation	1. Review C&P plan with stakeholders. 2. Address weaknesses related to SESA/ESMF C&P and roll out implementation of the C&P plan. How will you address these weaknesses? Review of the SESA/ESMF C&P plan should be done under SESA activities below?	1. To address weaknesses that were not evident during the drafting of the C&P plan. 2. Ensure stakeholders are fully aware of the plan. 3. Strengthen local ownership or sense of ownership over the C&P plan.	September 2013	REDD+ working group and NGO collation for Liberia and other stakeholder groups.
SESA/ESMF	1. Validate SESA with stakeholders. You mean validation of existing plan? Your SESA planning and design is unclear for me. Please clarify condition status and steps. What are you going to do about the lack of inter-sectoral coordination? 2. Support stakeholders to develop inputs related to SESA process and procedures. 3. Incorporate stakeholder inputs into national plan	1. To make SESA design and implementation more inclusive. 2. To address gap in stakeholders' knowledge of SESA. 3. To strengthen the SESA.	September 2013	REDD+ working group and NGO coalition for Liberia + other stakeholders
FGRM	1. Conduct gap analysis to inform design/reform of FGRM	1. Identify weaknesses in the implementation of	June 2013	REDD+ working group and NGO coalition for

	2. Pilot/test the agreed FGRM mechanism. 3. Integrate lessons from the pilot into the final design of the FGRM.	existing 'FGRM' 2. To test effectiveness, accessibility, responsiveness of the FGRM. 3. To inform the design of a robust FGRM	September 2013	Liberia + other stakeholders

Mozambique

	Feasible concrete measures/tactics to enhance social inclusion in REDD+ readiness	Justification- what gap is it addressing/strength is it building on?	When by- latest?	Who responsible?
Consultation and Participation	**Needs filling out based on translation, which is pending.**			
SESA/ESMF				
FGRM				

Tanzania

	Feasible concrete measures/tactics to enhance social inclusion in REDD+ readiness	Justification- what gap is it addressing/strength is it building on?	When by- latest?	Who responsible?
Consultation and Participation	Strengthen zonal outreach consultation plan in each of the 8 zones of Tanzania and Zanzibar through; 1. Capacity building of zonal representatives in communication, feedback, monitoring and reporting on consultation initiatives. 2. Identification of more stakeholders who were missed out in the earlier participatory processes. 3. Effective and appropriate use of local and national media for public awareness and social inclusion such as local radio, local newsletters,	Need to increase the possibility of reaching more relevant stakeholders in various parts of the country.	2013-2014	National REDD+ taskforce. Technical working groups. Pilot projects/CSOS.

	documentaries etc. 4. Enhanced communication through implementation of the REDD+ communication strategy. 3 comments received – but unable to make them out due to light coloured ink.			
SESA/ESMF	Employing a highly participatory approach in developing the national REDD+ safeguards in order to ensure interests of relevant stakeholders are incorporated. Do you mean that you will be developing REDD+ safeguards and incorporation them into the REDD+ strategy? How will you integrate existing institutional safeguards?	Need of mitigating the social and environmental impacts related to REDD+ implementation.	2013	National REDD+ taskforce/CSOs. Are CSOs not a member of the task force?
FGRM	1. Identify existing local and national grievance mechanisms and institutional capacities that are	Need of managing risks and expectations arising from REDD+ implementation	2013-2014	National REDD+ task force. Technical working group. Regional administrative authority. PMO-RALG

	relevant to REDD+ implementation. 2. Strengthen the identified institutions' capacity related to grievance and redress mechanisms through training and follow up support. 3. Develop a cost effective and result based mechanism that will guide FGRM in REDD+ implementation			

Uganda

	Feasible concrete measures/tactics to enhance social inclusion	**Justification- what gap is it addressing/strength is it building on?**	**When by- latest?**	**Who responsible?**
Consultation and Participation	1. Utilize existing institutional framework (national and sub-national). 2. Utilize/implement the Consultation and Participation plan. 3. Utilize/implement the awareness raising and communication plan. 4. Utilize/implement the conflict	(Data missing—needs to be filled out by the Uganda country team)	(Data missing)	(Data missing)

	and grievance mechanism strategy.			
SESA/ESMF	1. Include the SESA in the draft CC policy 2. Fundraising for SESA. 3. Develop institutional coordination framework and local capacity to conduct SESA. 4. Utilize/implement proposed awareness raising framework			
FGRM	1. Improve existing FGRM. 2. Work with existing CSOs and media in strengthening capacity to avoid, identify and deal with disputes.			

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.

These sheets (see photo below) were placed on the wall for continuous feedback during the workshop.

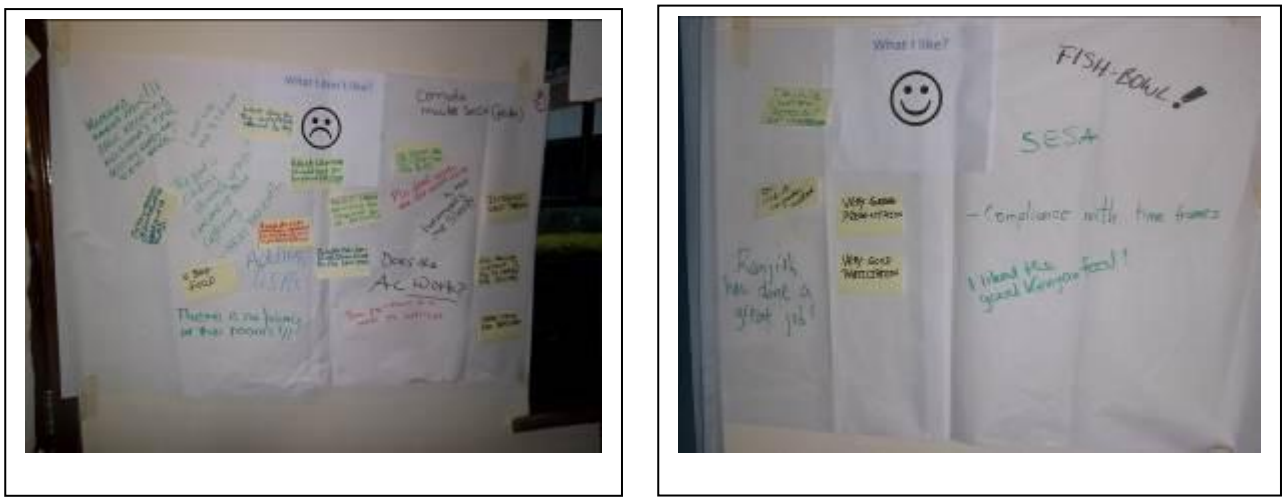


Photo: Feedback sheets – What I like? What I dislike?

What I like?

- Course content is good, but course too compressed.
- Very good presentations.
- Very good participation.
- Ranjith has done a great job!
- I like the post-it on poster method.
- I liked the Fish Bowl method!
- SESA
- Compliance with time frames.
- I liked the good Kenyan food!

What I don't like?

Dissatisfaction with Daily Subsistence Rate

- I don't like the DSA rate
- Address the DSA
- Please deal with the Per Diem issue.

- Insignificant Per Diem.
- The Per Diem is an insult – please address it
- Though the DSA rate was doubled, the participants are still not satisfied.

Holding workshop over weekend not convenient

- Weekend taken over!!! Free weekend is necessary to get ready for the weekend work ahead.
- Organization of the workshop over the weekend is bad.
- Next workshop should not go beyond Friday.
- Last day on a workshop should be a half day.

Workshop too compact

- Adult workshop should not be too compact.
- Adult learning – needs space for recreation.
- Full agenda with no time to enjoy the country.
- Short time for discussion.

Complaints about poor food and warn training room.

- The food is causing stomach upsets!
- Very bad food.
- The training room is too hot, it makes me sleepy.
- Does the Air Conditioning work?
- Need a room for recreation

Workshop final evaluation.

This was done with a target scoring method – the results are presented in two formats in the following.

Workshop Evaluation Scores

	Workshop facilitation, approaches and methods	A. Country Sharing and analysis section	B. Consultation and participation	C. SESA/ ESMF	D. FGRM	E. Application/ Adaptation	F. Organization and logistics
Excellent	12	7	4	6	6	2	1
Good	12	15	18	10	7	8	1
Satisfactory		3	2	5	8	11	5
Poor					2	1	11
Terrible							8

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

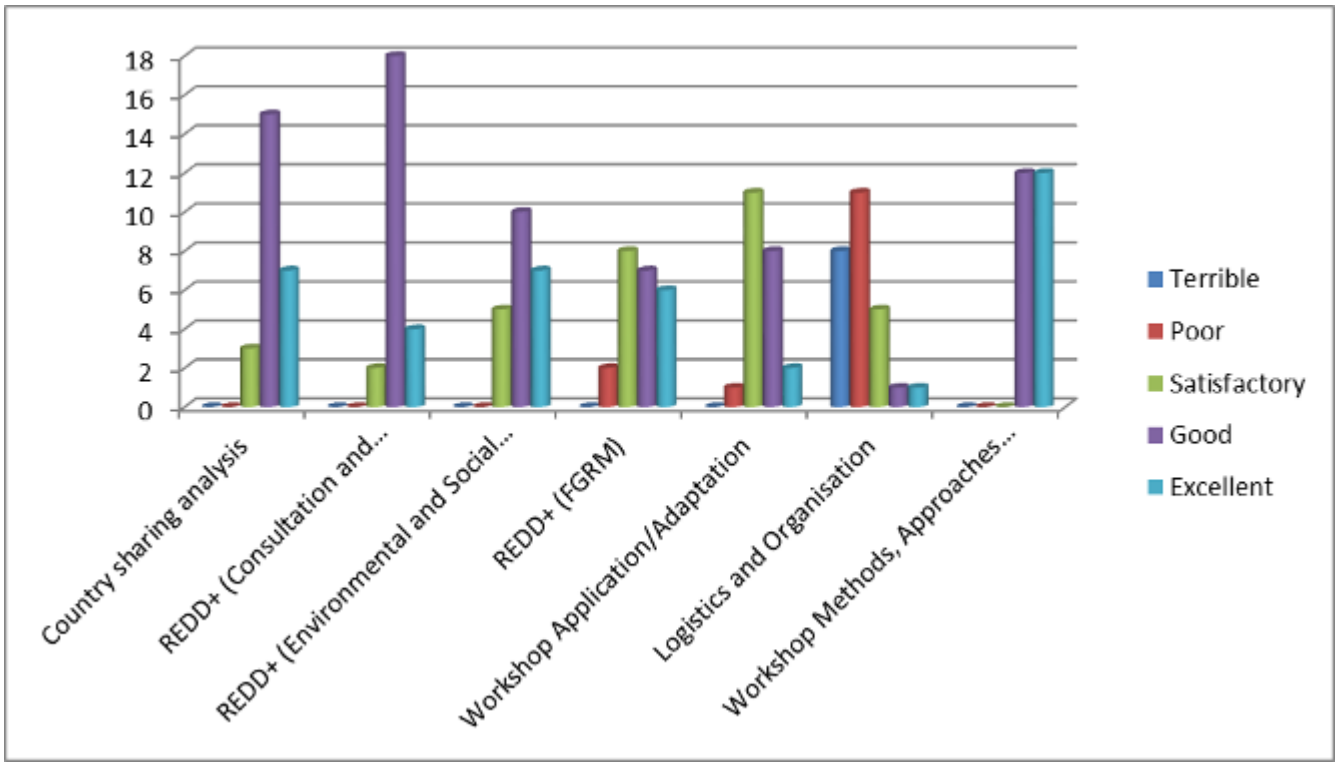


Figure: Workshop evaluation scores compiled on a bar chart

What the participants thought was the best aspect of the workshop was the workshop facilitation, methods and approach, followed by the country sharing and analysis section of the workshop, the consultation and participation session, the SESA/ESMF session, the FGRM session, the application and adaption session and finally the workshop organization and logistics.

Comments on the evaluation are presented in the following;

Final workshop evaluation - comments

Positive aspects

- Facilitation methods were good for allowing all to engage
- Excellent tools were used in the workshop itself, and these tools can be practically applied after the workshop for social inclusion.
- Good flow of presentations/exercises
- Having Mozambique in one language group during the workshop was good to allow flow and interaction

Negative aspects

- Working over weekends not good
- Too much work load for each day
- Too much in too little time
- The workshop was too long
- Any productive workshop should end at a reasonable time
- Participants were unduly stressed as the programme was too tight
- Tight schedule which was tiring

- Per DM should be improved in future workshops
- Improve on transparency in Per DM
- Ticketing for the flights was not good was not good

Recommendations for next time

Timing issues

- Have more days for the workshop
- Spread things out more
- Give people enough time to digest information
- More time and attention should be given to country specific presentations – they should be enabled to provide more detail
- The last day of the workshop should be a half day
- Do not have workshop on weekend

Per Diem improvement

- Per DM should be based on international standards
- Diversify food options and give people per DM for dinner as opposed to paying full board
- Good motivation (Per Diem) next time.
- There should be sharing of much information as possible(on Per Diems) to avoid raising expectations and speculation

Ticketing/transport

- Provide clear and timely logistical information before the workshop.
- Logistical arrangements such as transportation and invitation should be made ahead of time
- Devolve responsibility for flight arrangements to WB country offices.
- Per-inform participants on logistics(transport)

Content issues

- Use of practical examples is important
- Training language/terminology should be simple

Other

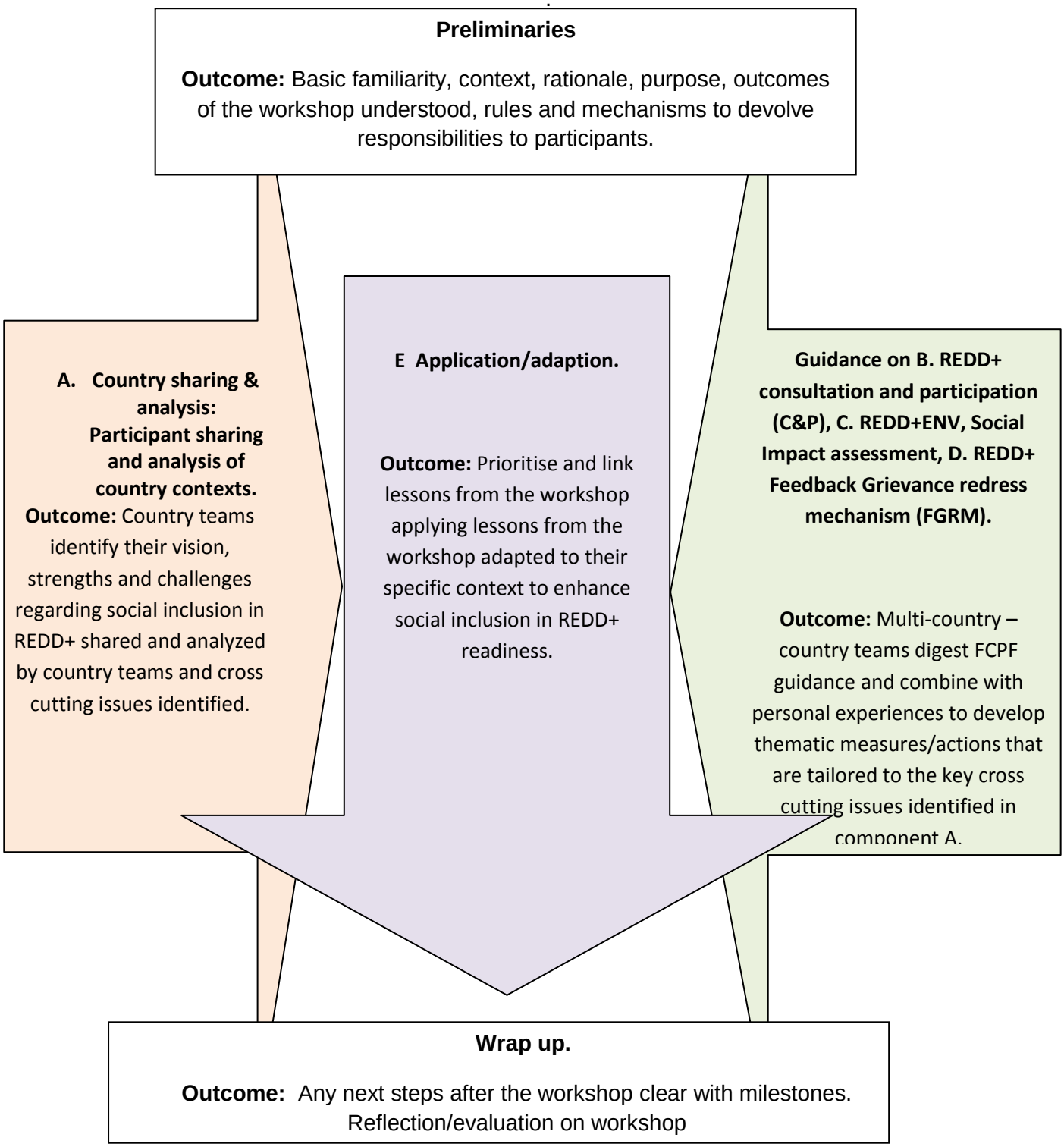
- Initiate a continuous communication with all participants after the workshop
- Pre-reading documents should be continued
- A lot of paper was wasted, there is need to be climate smart and use emails more
- Inclusion of an excursion to a relevant site
- Venue should not be very isolated and should be near the city
- Give participants certificates.

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 the follow up task after the workshop. This task is that it is essential that country teams with their colleagues (REDD+ technical working groups, etc.) develop more detailed enhancement plans for Social inclusion in REDD+ readiness and share with the FCPF after the workshop.

Representatives from all the country teams then gave final closing remarks and reiterated some of the points made in the evaluation, particularly that they found the workshop very participatory and dynamic, the contents were generally good but that the schedule was too compact and consideration for participants should be made with regards to avoiding having the training workshop over a weekend. Generally everyone was happy with the training – main issues to be remedied included the Per Diem issue and the timing issues.

Annex 1. Structure and agenda for the workshop



Agenda overview

	12	Thursday 13th Dec	Friday 14th Dec	Saturday 15th Dec	Sunday 16th Dec	17
AM	Participants arrive	**Preliminaries** **8.30 sharp – start** 1. Welcome and opening remarks. *Presentation.* 2. Introductions of participants, expectations. *Exercise.* 3. Workshop norms, rationale, objectives + agenda. *Presentation. Q&A.* 4. Overview of REDD+ and FCPF – links between workshop themes. *Presentation, Q&A.*	**9.00 am sharp start** 9. Recap by selected country teams. *Participant presentation.* **B. REDD+ CONSULTATION AND PARTICIPATION (C&P).** 10. Guidance/insights on C&P. *Presentation Q&A.*	**9.00 am sharp start** 14. Recap by selected country teams. *Participant presentation.* 15. Multi-country group work; REDD+ SESA/ESMF case study analysis clinic. *Exercise.* 16. Presentation of enhancement tactics SESA/ESMF enhancement tactics for critical peer review l. *Exercise.*	**9.00 am sharp start** 19. Recap by selected country teams. *Participant presentation* **E. APPLICATION/ ADAPTATION** 20. REDD+ social inclusion role play – participants divided according to stakeholder. Application of lessons from workshop to realistic REDD+ scenario. Multi-stakeholder debate on social inclusion priorities – drawing lessons from workshop. *Exercise.*	Participants depart
		Break: 10.30 – 11.00	**Break**	**Break**	**Break**	
		A. COUNTRY SHARING & ANALYSIS 5. REDD+ readiness country team fit on process line. *Exercise.* 6. Country social inclusion in REDD+ visioning and SWR analysis. *Exercise in country groups.*	11. Presentation of C&P enhancement tactics for critical peer review in plenary with a 'rotating' participant panel. *Exercise.*	**D. REDD+ Feedback Grievance Redress Mechanism.** 17. FCPF guidance/insights on GRM – including case study highlighted. *Presentation, Q&A.*	Session 20. Continues. 21. County team priority ranking exercise of key tactics to enhance social inclusion – identifying which tactics are most relevant for which country as well as cross cutting priorities. *Exercise.*	
		Lunch: 13.00 to 14.00	**Lunch**	**Lunch**	**Lunch**	
PM		Session 6. continues.	12. Multi-country group work; REDD+ C&P enhancement tactics. *Exercise.*	18. 3 step – multi-country group work; a) Existing FGRM identification. b) FGRM evaluation – identify gaps and recommendations.	22. Recap of all outputs from the workshop. *Presentation.* 23. Country team concrete application of relevant lessons . *Exercise.*	
		Break 15.00 to 15.30	**Break**	**Break**	**Break**	
		7. Presentation of country social inclusion in REDD+ in plenary for peer review comments. *Exercise – using poster with post-it method.* 8. Overall country synthesis. *Collective assessment exercise.* *Country team reflection.* **Close: 17.30 to 18.00**	**C. REDD+ ENV. AND SOCIAL IMPACT (SESA/ESMF)** 13. FCPF guidance/insights on SESA. *Presentation, Q&A* *Country team reflection* **Close: 17.30 to 18.00**	c) Presentation back in plenary for peer review. Discussion on key FGRM issues *Country team reflection* **Close: 17.30 to 18.00** **Optional debate /social**	24. Rapid presentation of country team presentations for peer review and comments. *Exercise.* **Wrap up.** 25. Next steps 26. Evaluation and closing remarks – reflection on workshop **Close: 17.00**	