



Mid-Term Progress Report and Request for Additional Funding

World Bank FCPF Grant on REDD+ Readiness

Submitted to:

**The World Bank
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Submitted by:

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Preface

It is a great opportunity for the REDD+ Unit of Vanuatu, Department of Forests, to submit this Mid-Term Review Report (MTR) of the REDD+ Readiness Project to the Forest Carbon Partnership Facility (FCPF). This MTR also includes a request for Additional Funding to further support the key components for Vanuatu's REDD+ readiness process.

The MTR is prepared by the REDD+ Unit of Vanuatu under the guidance of Technical Committee and Department of Forests. The approach and methodology used to prepare the MTR closely follows the FCPF assessment guidelines and is also in line with Vanuatu's R-PP submission. The MTR is prepared in a participatory manner involving all concerned stakeholders, relevant Government Organizations and CSO Platform Members. The report was endorsed by the Technical Committee during its Meeting on 12th of October 2017.

The MTR is based on intensive consultations and interviews, project reports, and different study reports conducted by during REDD+ readiness, and other technical documents. Interviews and discussions were also held with various stakeholders, Government Departments concerned with REDD+ readiness preparation, as well as CSO Platform Members. Three rounds of discussions were further held with the World Bank mission members and many e-mail correspondences so that the report produced is in line with FCPF requirements.

The REDD+ Unit of Vanuatu would also like to put on record the support and guidance received from the World Bank Technical Team without their constant support and guidance it would not have been possible to achieve this success in the readiness preparation.

Finally, an affirmative decision from the FCPF Participants Committee, for Additional Funding, would enable Vanuatu to continue with the on-going readiness preparation activities and also to implement those activities which needed more financial resources to complete them to access the result based finance for emission reductions in future.

Acronyms used in the document

CITES	Convention on International Trade in Endangered Species
COP	Conference of Parties
CSO	Civil Society Organization
DOF	Department of Forests, Vanuatu
ESMF	Environmental and Social Management Framework
FCPF	Forest Carbon Partnership Facility
FGRM	Feedback and Grievance Redress Mechanism
FPIC	Free Prior and Informed Consent
FRL	Forest Reference Level
GHG	Greenhouse Gas
IAS/USP	Institute of Applied Science/University of South Pacific
IP	Indigenous People
IPCC	Inter-Governmental Panel of Climate Change
MRV	Measuring, Reporting and Verification
MTR	Mid-Term Review Report
NAB	National Advisory Board of the Government of Vanuatu
NFMS	National Forest Monitoring System
NGO	Non Governmental Organization
PC	Participant Committee
PMU	Project Management Unit
PTC	Provincial Technical Committee
REDD+	Reducing Emission from Deforestation and Forest Degradation, conservation, sustainable management of forests and enhancement of forest carbon stocks
REL/RL	Reference Emission Level/Reference Level
RFO	Regional Forest Officer
R-PP	Readiness Preparation Proposal
SESA	Strategic Environmental and Social Assessment
SOP	Standard Operating Procedure
SPC/GIZ	Secretariat of the Pacific Community/German Agency for International Cooperation.
TC	Technical Committee
TOR	Terms of Reference
UNFCCC	United Nations Framework Convention on Climate Change
USD	United State Dollar
VANRIS	Vanuatu Resources Information System
WB	World Bank
WISE	Widening Informed Stakeholders Engagement
VBTC	Vanuatu Broadcasting and Television Corporation
VANGO	Vanuatu Association of Non Government Organization

1. Introduction

1.1 Executive Summary

This Mid-Term Review Report (MTR) is for implementation of the Vanuatu's FCPF readiness grant which is supporting the Government of Vanuatu to become ready to implement REDD+ program under the United Nations Framework Convention on Climate Change (UNFCCC). The report covers the entire REDD+ process including the R-PP preparation and readiness implementation.

Vanuatu's REDD+ process covers two main components of the REDD+ readiness: They are (1) Readiness Organization and Consultation which include (a) National readiness management arrangements (b) information sharing with stakeholder groups and (c) consultation, participation and out-reach (2) Preparation of National REDD+ Strategy.

The progress made, so far, in implementing component 1 and 2 is significant however no activities could be started for component 3 and 4 because of lack of funding allocations from the FCPF and the absence of other dedicated funding prevented progress.

The REDD+ Unit will start the works for these two components by restructuring (Ref. Table 10 and write-up on Component 3 Forest Reference Level for details) the current grant support from FCPF. It is to be noted that the fund available by restructuring the current grant would not be sufficient to complete the work under component 3 and 4 therefore additional fund would be required to complete the entire works as envisioned in the TOR.

Overall, good disbursement progress has been made. Of the total FCPF grant of USD 3,600,000, a total of USD 1,828,640 has been committed and a total of USD 1,256,286 has been disbursed to date (Ref. Table 9 for details). Therefore, the total committed amount is **51%** for the total FCPF grant.

Concerning the FCPF progress under **Component 1**, all activities related to REDD+ management arrangements and key institutional elements, like Technical Committee (TC) and Ad-hoc Committee, Provincial level Technical Committees (PTC), the National level CSO Platform, Project Management Unit (PMU) have been established and are functional. At the policy level the National Advisory Board (NAB) is in place and is functioning. Information on readiness implementation are shared various media, website, reports etc.

Participation of the concerned stakeholders remained very strong and consistent. Concerns of the gender and youth were taken on board for discussion and planning through CSO Platform. Study on feedback and grievance redress mechanism is completed. The mechanism needs to be established after getting the Government endorsement.

Under **Component 2**, Four Analytical studies to inform the National REDD+ Strategy have been completed. They are: (a) drivers of deforestation and forest degradation (b) Strategy Options (c) Legal harmonization concerning carbon rights and commercial landuse and (d) benefits sharing mechanism.

The main drivers and the underlying causes is identified. Based on identified drivers the REDD+ Options are identified and prioritized. Work of SESA in under progress and the entire study is expected to be completed by March 2018.

Under **Component 3**, the work on establishment of Forest Reference Level could not be started immediately however the REDD+ Unit of Vanuatu has the plan to start work on Forest Reference Level (FRL) by restructuring the Project. The savings from other components will be reallocated to fund this component. The restructuring formalities are expected to be completed by January 2018. The Terms of Reference (TOR). has been developed and World Bank's 'NO Objection' has also been received.

Under **Component 4**, same as component 3 above.

1.2 Background

Vanuatu is a small archipelagic country having over 83 islands scattered over South Pacific Ocean. The total area of the country is approximately 12,274 square kilometers out of which the land surface is roughly 4,700¹ square kilometers. The forest of the country is customarily owned by *ni-Vanuatu* people except about 10 percent which is government-owned and not forested. In 2016, the total population of the country was estimated to be 270,402².

Vanuatu's economy is based on agriculture, fishing, tourism and offshore financial services. Much of the agriculture is subsistence farming and major exports are agricultural products *example*: copra, coconut oil, kava, beef, timber, cocoa and coffee. The country has inherent economic difficulties, because of remoteness and isolation, heavy transport costs coupled with frequent cyclone damages.

The Government of Vanuatu decided to diversify the economy by promoting low-carbon development in the productive sectors and also liberalize the trade. The main objectives were to diversify the economy and decrease the dependence on commodity exports and tourism, improve governance and public sector governance.

Forests play an important role in the lives of the local people of Vanuatu. They depend on forests for their daily requirement of timber and other non-timber forest products. The share of the forestry sector in GDP was about 1.5 percent in 2013-14.

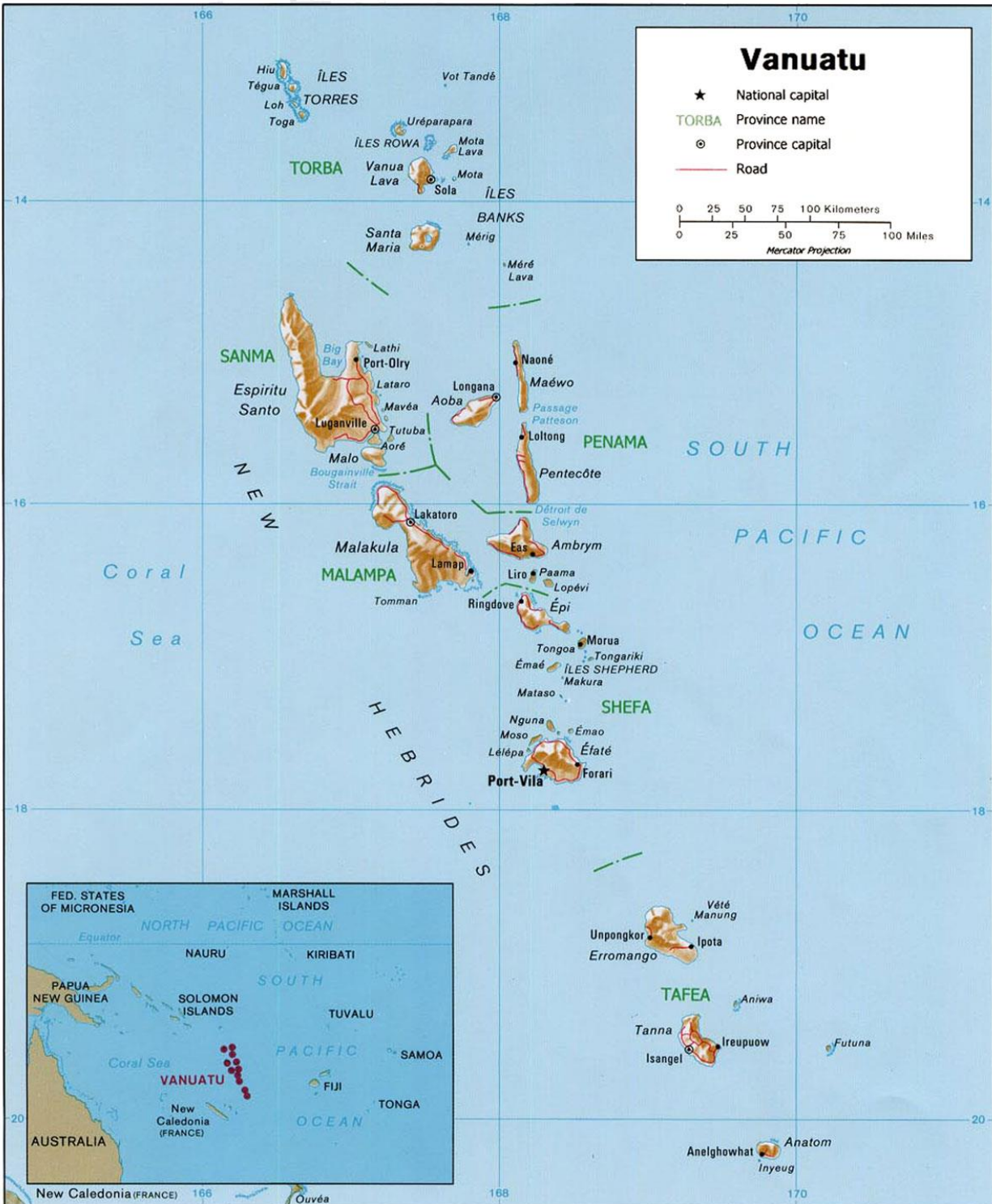
Since the role of forests is very crucial in the daily lives of *ni Vanuatu*, managing these resources sustainably, in perpetuity, is even more important. Further the *ni-Vanuatu* are the main owner of the forestland in the country and therefore their consent is required before implementing any landuse related activities in the field. Besides the revenue generating role of the sector, the ecological and the environment conservation role of the sector cannot be underestimated. The environmental and social functions of the forests are very important besides housing vast and unique biodiversity of the country. These functions are very essential for the well being of the people in sustaining their livelihood and even survival.

Land is very important to the *ni-Vanuatu* people and it is governed by the customary law which has great influence on Vanuatu's legal system. Vast majority of the land is owned by the *ni-Vanuatu* communities and individuals based on 1980 Constitution which vested all land to the *ni-Vanuatu* people. Vanuatu land law requires customary owners to be consulted and have to consent to all matters relating to the use of the land and its resources. The participation and support of the local people will be very important for the success of any landsue related activities including the implementation of all REDD+ related activities.

¹https://www.google.com/search?client=firefox-b&q=Total+land+area+of+Vanuatu&oq=Total+land+area+of+Vanuatu&gs_l=psy-ab.3..0i22i30k1l2.212966.220901.0.221868.28.22.0.0.0.740.4394.4-4j3j1.8.0....0...1.1.64.psy-ab..20.8.4380...0j0i67k1j0i131k1j0i10k1.0.KF13AJCl6Hg

²<https://www.google.com/search?q=population+of+vanuatu&ie=utf-8&oe=utf-8&client=firefox-b>

Figure 1: Map of Vanuatu



1.3 REDD+ Context

As per the IPCC fifth Assessment Report the deforestation and forest degradation contribute approximately 11% of the global anthropogenic GHG emissions. This finding was instrumental in the introduction of a global mitigation initiative – the REDD+ to address deforestation and forest degradation including the other three “plus” activities *i.e.* enhancement of forest carbon stocks, sustainable management of forests and conservation of forests in developing countries. Based on these initiatives, Vanuatu also decided take part in the REDD+ Program and sought financial assistance to prepare the R-PP which was the basis for initiating the program in the country.

The REDD+ process, in Vanuatu, began in 2006 with the support of Vanuatu Carbon Credits Project (VCCP) that enabled the country to implement demonstration activities and launched its participation in the FCPF initiatives. The Project also helped Vanuatu in developing the Readiness Preparation Idea (R-PIN). The R-PIN provided an initial overview of Vanuatu’s landuse pattern and the causes of deforestation as well as stakeholder consultation process and institutional arrangements for REDD+ readiness.

Based on the R-PIN, the Government of Vanuatu was awarded USD 200,000 grant by WB in 2008 to support establishment of REDD+ Technical Committee and to formulate Readiness Preparation Proposal (R-PP). The Technical Committee led the drafting of R-PP with assistance from SPC/GIZ. The R-PP was reviewed thoroughly by the World Bank Task Team, Facility Management Team and other independent reviews by individual on behalf of the FCPF Technical Advisory Panel and FCPF’s Participants Committee.

Thereafter in April 2015, the FCPF Participants Committee (PC) approved a grant of USD 3.6 million to prepare the Vanuatu to engage in and get benefits from a future performance-based system from the REDD+ readiness. The grant was designed to fund the following key components and subset of activities envisioned in the R-PP roadmap of the Government of Vanuatu. These included three main components as described in the Assessment Note:(i) strengthening the existing institutions for REDD+ at the national and sub-national level through the establishment and operation of Vanuatu REDD+ Unit, support to Technical Committee, support to National Advisory Board on Climate Change and Disaster Risk Reduction(NAB) and its Project Management Unit(PMU) and set up of Provincial REDD+ Committees (ii) strengthening decentralization structures for the stakeholders’ engagement, including the assessment and improving existing FGRM for REDD+ (iii) development of national REDD+ strategy, its implementation framework, and the ESMF and its validation by the national stakeholders. These activities are also expected to strengthen the existing forest policy and management, data and information, improvement of human and institutional capacity building to strengthen the management of Vanuatu forests.

1.4 The Mid-Term Review Process and Methodology

This Mid-Term Report (MTR) is prepared in a participatory manner by the REDD+ Unit and the Department of Forests of Vanuatu. The Report has been endorsed by the Technical Committee (TC) on 12th of October 2017. Many rounds of discussions were held with the officials of Forest Department including the CSO Platform Members and Project Management Unit (PMU) during the course of preparation of this report. The Report summarizes the progress of the REDD+ readiness implementation in line with the FCPF Readiness Assessment Framework. The Report

covers the period from April 2015 till date which is the period for R-PP readiness implementation in Vanuatu.

The REDD+ Unit, Department of Forests, Government of Vanuatu undertook this Mid-Term Review to provide an overview of the progress made in the implementation of the Readiness activities of the REDD+ Program in the country. The Department of Forests, Government of Vanuatu plans to submit the MTR with a request for Additional Funding to the FCPF to ensure continuity and satisfactory completion of the Project. Preparation of this MTR was undertaken with due consultation with all concerned stakeholders. A specific group discussion was also held on 14th September 2017 with the Technical Committee Members (TC) and officials of the Forest Department to identify areas that required intervention if Additional Funding was approved by the FCPF. However, the main thrust of this MTR will be to review and present the overall progress achieved, component-wise, that were implemented during readiness implementation phase of the project.

1.5 Vanuatu REED+ Program

As an initiative to implement REDD+ program in Vanuatu, a Readiness Preparation Proposal (R-PP) was developed after consultation with stakeholders at various levels. The R-PP provided Vanuatu's roadmap for developing and implementing the REDD+ Strategy. It encompasses all readiness preparation activities planned for year 2015 to 2020 and is sub-divided into four major components which include (a) organization and consultation (b) development of a national REDD+ Strategy, (c) development of reference scenario (d) design a forest monitoring system which includes multiple benefits and safeguards.

Total budget estimate for R-PP implementation was estimated USD 7.186 million. Out of the total estimated budget, USD 3.6 was funded by FCPF as Grant and the remaining fund was to be mobilized either through national government funding or through other donor funding. Despite several attempts made by the Department of Forests Vanuatu the funding could not be materialized. It is to be noted that the Fund for implementing two components (a) development of Forest Reference Level and (b) National Forest Monitoring system was not supported by the FCPF grant. As a result the activity under these components could not be started. Table 1 gives the details of budget by components and sub-components.

Table 1: Components/Sub-components vis a vis the FCPF budget

Comp/Sub-comp	SUPPORT FOR REDD+ READINESS FUNDED BY FCPC, WORLD BANK	USD (million)
1	Institutional Strengthening for REDD+ Management Arrangement at the National and decentralized level	1.30
1.1	Set up of Vanuatu National REDD+ Unit and support to REDD+ Technical Committee	0.80
1.2	Support to NAB and its PMU	0.42
1.3	Support to Provincial REDD+ Committees	0.08
2	Strengthening of the stakeholders engagement process at the decentralized level	0.98

2.1	Strengthening of the decentralization structures for stakeholders engagement	0.78
2.2	Assessment and strengthening of existing FGRMs for REDD+	0.20
3	Development of REDD+ Strategy for Vanuatu	1.32
3.1	Analytical Studies to inform REDD+ Strategy Options	0.27
3.2	SESA process and ESMF development	0.25
3.3	Consultation and participation activities	0.80
	TOTAL Grant from FCPF World Bank	3.60

1.6 Project Development Goal

The Development Goal of the REDD+ Project is to prepare Vanuatu to engage in and derive benefits from a future performance based incentive system.

Project specific objectives are as follows:

REDD+ is a framework through which the developing countries are rewarded financially for any emission reduction achieved associated with a decrease in conversion of forest to alternate landuses. As such the main specific objectives of the REDD+ Project are to:

1. Provide unique opportunity to achieve large scale emission reductions at comparatively low abatement cost,
2. Assess the main drivers of deforestation and forest degradation and identify the Strategic Options for best landuse balance,
3. Promote sustainable economic growth through sustainable landuse options,
4. Practice socially and environmentally appropriate measures to mitigate climate change in Vanuatu.

1.7 R-PP Components supported by FCPF Grant

The following Table shows the components and sub-components of the R-PP that are either supported or not supported by FCPF Grant.

Table 2: Components and sub-components supported by FCPF Grant

Component	Sub-component	Support from FCPF to date (yes/No)
1. Organize and Consult	1a: National Readiness Management Arrangement	Yes
	1b: Information sharing and early dialogue with key stakeholders Groups	Yes

	1c: Consultation and Participation process	Yes
2. Preparation of the REDD+ Strategy	2a: Assessment of landuse, landuse change drivers, Forest Law, Policy and governance	Yes
	2b: REDD+ Strategy Options	Yes
	2c: REDD+ Implementation Framework	Yes
	2d: Social and Environmental impacts during the readiness preparation	Yes
3. Forest Reference Level		No
4. National Forest Monitoring and Information on Safeguards	4a: National Forest Monitoring system	No
	4b: Designing information System for multiple benefits, other impacts, Governance and Safeguards	No

2. Progress made in the implementation of the R-PP

Significant progress has been made on overall implementation of the REDD+ Readiness in Vanuatu following the Government's decision to participate in the REDD+ process under the FCPF grant which was signed in April 2015.

It is important to note that the progress on all components/sub components of the Vanuatu REDD+ program has not been achieved equally since REDD+ is a multifaceted and multi-sectoral process. Further there was also no financial support to implement two main components (i) design and establishment of forest reference level and (ii) design and establishment of national forest monitoring system including MRV and safeguard information system. Now efforts are being made by REDD+ Unit to implement these two components by restructuring the REDD+ Project grant and from the savings of other components the activities under component 3 and 4 will be implemented. (Refer Section on FRL under component 3 on Restructuring of grant and Table 10 for details).

A broad overview of the progress made till October 2017 is presented in the following sections.

Progress with institutional arrangements - Implementation of the REDD+ readiness activities in Vanuatu is progressing well, with significant evidence of government commitment and ownership. Vanuatu's REDD+ process which covers four main components of the REDD+ readiness: They are (1) Readiness Organization and Consultation which include (a) National readiness management arrangements (b) information sharing with stakeholder groups and (c) consultation, participation and out-reach (2) preparation of National REDD+ Strategy (3) development of reference scenario against which performance will be measured (4) development of national forest monitoring system for measurement, reporting and verification (MRV) for emissions reduction.

The institutional arrangements which would be required to implement the REDD+ activities have been established at the national as well as at the province level. The Department of Forests is the lead agency for implementing the REDD+ activities in the field. At the national level, the REDD+ Unit is coordinating all the activities and at the local level multi-sectoral Provincial Technical Committee (PTC) serve as lead agencies for implementing REDD+ activities in the field. The Members of the PTC represent Forest, Agriculture, Fishery, Horticulture, Livestock and Environment Departments. There are also representatives from women groups, youth groups, church and Provincial Administration. However, the existing capacities of these institutions need to be developed further so that the implementation of the REDD+ activities progresses well.

In terms of policy context, the Government of Vanuatu has endorsed the new National Forest Policy in 2013 and the Forest Act has also been reviewed and regulations have been drafted and guide implementation of forestry programs. These legislations, policies and regulations will provide supportive framework for implementing of REDD+ initiatives. Based on the analytical work conducted, it was determined that an (a) overarching land-use plan, a (b) forestry business plan and a (c) plan to operationalize National REDD+ Strategy need to be developed which will also help to with harmonization of policy statements.

Consultation and Participation– Consultations, trainings and workshops were carried out in all five REDD+ islands. These works were carried out through the (a) Regional Forest Officers and (b) the CSOs representatives in the Provinces (Ref. Table 4). The consultation process was very effective because there was active participation of the local people including the participation of the Government Departments’ representatives like Forest, Agriculture, Livestock, Fishery, Horticulture, Environment, Provincial Government, CSOs/NGOs, youth organizations, women group organizations. During the second year of the Project, the consultations were tied-up with studies like drivers of deforestation and forest degradation, Strategy Options, legal harmonization concerning carbon rights and commercial landuse, benefit sharing mechanism and FGRM studies.

Preparation of National REDD+ Strategy and Options–The required studies to inform the National REDD+ Strategy has been completed (Ref. Table 8). The studies are drivers and agents including the underlying causes of deforestation and forest degradation, Strategy Options, legal harmonization concerning carbon rights and commercial landuse and benefits sharing mechanism. The outputs from these studies will form major inputs for developing the National REDD+ Strategy. The study has identified the main drivers of deforestation and forest degradation and prioritized them and appropriate Strategy Options are recommended for addressing the drivers as well as the agents responsible for deforestation and forest degradation. Detailed analysis has also been carried out on legal issues pertaining to land leasing and designing best options that are suitable based land tenure categories.

Benefits sharing mechanism has been recommended based on land categories and leasing arrangements and also the arrangements to be followed for implementing the REDD+ Strategy Options; *example*: activity-based or area-based. Various options have been suggested including the pros and cons of each option. For any program to be successful in the field, the required policies, measures, legislations and guidelines including the institutional arrangement would be very important. The report has made recommendations on this subject but more thorough analysis and proposals are required.

Feedback and Grievance Redress Mechanism- The study on feedback and grievance redress mechanism (FGRM) has been completed (Ref. Table 8). A practical insight has been provided on both formal and informal FGRM at the national and local level including the use of traditional and customary grievances and conflicts resolution. The mechanism suggested should be established after having thorough policy level dialogues and consultations with senior officials of the Government of Vanuatu. The mechanism suggested through the study needs to be endorsed by the Government therefore further workshops/meetings will be hold to apprise the officials at the policy level.

Strategic Environmental and Social Assessments- Another very important study which is required to be implemented under the REDD+ readiness activity is the study on Strategic Social and Environmental Assessment (SESA). The work has been awarded to the IAS/USP Fiji. The consultants have developed the work plan and the inception report including the budget required to implement the activity. Based on the work plan and budget, the consultants have started the work in the islands. The consultation including the baseline study for preparation of Situational Analysis on key environmental and social issues relevant for REDD+ has been completed. The report is due by end of November 2017. The remaining works on SESA is progressing well and the entire SESA works including the ESMF and will be completed by March 2018 (Ref. Table 7 and 8).

Forest Reference Level (FRL) and National Forest Monitoring System –The works on FRL and Forest Monitoring System has not been started because no budget was allocated, from FCPF grant, to implement this activity. It was assumed that the fund for implementing these components would be mobilized from other donors or financed internally. However, since fund mobilization did not materialized, the REDD+ Unit, with the approval of the Ministry of Finance of Vanuatu requested the FCPF, WB, for restructuring the REDD+ Project and out of the savings from other components of the Project the activity will be implemented. At this stage, all the formalities pertaining to the restructuring of the Project has been completed. The work will be advertized in November 2017. The evaluation and selection of consultants will take place in December 2017 (Ref. Section on FRL under component 3 and Table 8, 10 and Table 12 for activities under additional funding).

2.1 Overview of the progress made in R-PP implementation

The following Table gives the summary overview of the progress made so far.

Table 3: Summary Overview of the progress made.

Components	Criteria of assessment	Progress
1. Organization and consultations		
1a. National REDD+ management arrangements	1) Accountability and transparency	
	2) Operational mandate and budget	
	3) Mechanisms for multi-sector coordination and cross-sector collaboration	

	4) Technical supervision capacity	
	5) Fund management capacity	
	6) Mechanism for feedback and appeals	
1b. Consultation, participation, and outreach	7) Participation and commitment of major stakeholders	
	8) Consultation process	
	9) Information sharing and access to information	
	10) Implementation and public disclosure of consultation outcomes	
2. Preparation of the REDD+ strategy		
2a. Assessment of land use, land use change drivers, forest laws, policy, and governance	11) Assessment and analysis	
	12) Prioritization of direct and indirect drivers/barriers to forest carbon stock enhancement	
	13) Links between drivers/barriers and REDD+ activities	
	14) Action plans to address right to natural resources, land tenure, and governance	
	15) Implications for forest law and policy	
2b. REDD+ strategy options	16) Selection and prioritization of strategic options for REDD+	
	17) Feasibility assessment	
	18) Implications of strategic options on existing sectoral policies	
2c. Implementation framework	19) Adoption and implementation of legislation/regulations	
	20) Guidelines for implementation	
	21) Benefit-sharing mechanism	
	22) National REDD+ registry and system monitoring REDD+ activities	

2d. Social and environmental impacts	23) Analysis of social and environmental safeguard issues	Yellow
	24) REDD+ strategy design with respect to impacts	Yellow
	25) Environmental and Social Management Framework	Orange
3. Reference emission level/reference levels		
	26) Demonstration of the methodology	Red
	27) Use of historical data and adjusted national circumstances	Red
	28) Technical feasibility of the methodological approach and consistency with UNFCCC/IPCC guidance and guidelines	Red
4. Monitoring systems for forests, and safeguards		
4a. National forest monitoring system	29) Documentation of the monitoring approach	Red
	30) Demonstration of early system implementation	Red
	31) Institutional arrangements and capacity	Red
4b. Information system for multiple benefits, other impacts, governance and safeguards	32) Identification of relevant non-carbon aspects, and social and environmental issues	Red
	33) Monitoring, reporting, and information sharing	Red
	34) Institutional arrangements and capacities	Red

Green	'Significant progress.'
Yellow	'Progressing well, further, development required.'
Orange	'Further development required.'
Red	'not yet demonstrating progress.'

3. Component 1: Readiness Organization and Consultation

3.1 Sub-component 1a: National REDD+ Management Arrangements

The process of national REDD+ management arrangements started immediately after the signing of grant agreement on April 2015 between the Government of Vanuatu and the World Bank. In particular the following activities were undertaken related to national REDD+ arrangement (i) establishment of technical Committee (ii) establishment of national CSO Platform (ii) establishment of Provincial Technical Committee.

1. Accountability and Transparency

At the National Level

Establishment of Technical Committee: At the national level, the REDD+ Unit, Vanuatu, has made significant achievement in establishing the (i) Technical Committee which comprises of representatives from Agriculture, Livestock, Horticulture, Fishery, Forestry and Environment Departments including the CSOs. The main responsibilities of the TC are to oversee the implementation of the REDD+ readiness activities and also to advice on issues related to project management and any other important issues pertaining to REDD+ readiness as and when need arises. They are also responsible for development of framework for the integration of environmental and social safeguards into the National REDD+ Scheme.

Ad-hoc Working Committee: Besides the Technical Committee, *Ad-hoc* Working Groups have also been established to review technically on certain topics related to REDD+ readiness implementation. The members of Ad-hoc committees are subject matter experts who also represent their organizations. Meetings are convened when issues on certain issue/topic needs to be discussed and resolved.

Establishment of CSO Platform: National level CSO Platform has been established at Port Vila. They function under the National NGO called VANGO. There are 12 Members in the Platform. Presently the VANGO is housed in Forest Department's building which liaisons the functioning of the CSO Platform. Their main responsibilities are to: (i) continually inform CSOs with information on REDD+ and report back to CSO coordinator (ii) commit for developing working knowledge about REDD+ (iii) act as advocacy body for Technical Committee on issues relating to civil society and REDD+ (iv) liaise between CSO Platform and REDD+ Unit (v) support in developing CSO Platform annual work plan (vi) Help develop appropriate strategies for effective participation at decentralized level.

Overall coordination for REDD+ Activities: The National REDD+ Unit of Vanuatu is responsible for overall coordination of the implementation of REDD+ readiness in Vanuatu like (a) developing the Terms of Reference for the Consultants (b) supervision of the works of the Consultants (c) coordination with various institutions and organizations (d) reporting to Technical committee and Forest Department and FCPF/World Bank (e) For effective and efficient coordination of the activities, an office building is constructed for the REDD+ Unit in Port Vila.

At the top of the Organization is the National Advisory Body (NAB) which is a governing body and is responsible for the overall coordination of REDD+ activities. NAB is equivalent to Steering

Committee for the REDD+ Project in Vanuatu. For better transparency, efforts were made to involve private sectors, and CSOs also in the TC besides the representation from the Government Departments and Organizations.

At the Provincial Level

Establishment Provincial Technical Committee: At the Province level, each REDD+ island have CSOs which are formed with representatives from Women Groups, Youth Groups, Church and Farmers' Association including people from Government Organizations. They support the implementation of readiness activities and consultations with the local *ni-Vanuatu* people. The CSOs, in the Provinces, report to the National CSO Coordinator who reports to the REDD+ Coordinator.

2. Operating mandate and budget

The Vanuatu National REDD+ Unit under the Department of Forests is responsible for implementing the REDD+ readiness program. It has the mandates to implement the following activities which are financed by the FCPF. They are to (i) strengthen existing institutions for REDD+ at the national and decentralized level through the establishment and operation of Vanuatu REDD+ Unit (ii) establish and support Technical Committee (iii) support the National Advisory Board and its PMU (iv) set up the Provincial REDD+ Committee (v) strengthen the stakeholder engagement at the decentralized level (vi) assessment and strengthening of existing FGRM for REDD+ and (vii) develop a national REDD+ Strategy and its implementation framework and (viii) ESMF development validated through SESA.

FCPF is the sole funding agency for implementing the REDD+ readiness activities in Vanuatu. Nonetheless the Department of Forests supported the construction of REDD+ Office building in Port Vila by contributing the cost of labour. Total amount borne by the Department was USD 26,190. The materials cost was supported through FCPF grant. GIZ Fiji supported in conducting three days awareness workshops in July 2017³. Funding from other donors could not be mobilized. As a result the activities under Component 3 and 4 of the R-PP could not be started on time.

The PMU is responsible for managing and allocating the budget and disbursing the expenditure in close collaboration with the Ministry of Finance of Vanuatu.

3. Multi-sector Coordination mechanisms and cross-sector collaboration

In Vanuatu the responsibilities of multi-sectoral coordination and cross-sectoral collaboration is carried out by the REDD+ Unit with the support of the Forest Department and Technical Committee. The REDD+ program has many activities which are cross-cutting among other Departments' and Organizations' plans and policies. Therefore the coordination with other Departments and Institutions is very important. The TC and CSO Platform are helping to fulfill these responsibilities. Therefore through these Committee and Platform, not only the oversight responsibility is fulfilled but also the cross-sectoral or multi-sectoral coordination is achieved.

³ Total cost incurred by GIZ for the workshops is not known.

This mechanism has helped coordinate with organizations that are involved in reporting to the international Treaties and Agreements. Through such coordination mechanism the consistency in reporting is also maintained. Even though the co-ordination mechanism is supported through workshops and Technical Committee meetings, there is still a need to strengthen the multi-sectoral coordination in the coming years because at the moment the coordination mechanism is relatively weak. Further work in this direction is required.

4. Technical Supervision Capacity

Technical supervision is provided by the Technical Committee and the REDD+ Unit. UN-REDD provided one week training on Forest Inventory to the Forest Department officials in April 2016. The knowledge and skills gained through this training will help the officials of Vanuatu Forest Department to supervise the field inventory works when REDD+ Unit will start the national forest inventory works. At the moment, the technical supervision capacity of the Forest Department's officials is weak especially in national forest inventory, MRV, Forest Reference Level. Therefore, during the current readiness implementation phase a detailed capacity assessment will be carried out and capacity development program will be developed. The implementation would be done if additional funding would be available.

5. Fund Management Capacity

The FCPF grant is managed by the Ministry of Finance, Government of Vanuatu in accordance with the rules and regulations of the World Bank and the Government of Vanuatu in vogue from time to time. Adequate capacity for managing the FCPF fund exists both within the Ministry of Finance and the Project management Unit.

The Financial officials at the PMU ensure adequate internal controls as required by the Government financial manual and the Project Operational Manual. The Grant follows the national Government financial processes and procedures as such the finance personnel of the PMU also refer to the Government Financial Manual whenever necessary in addition to the Project Operational Manual. Procurement of goods and services (required for implementing the readiness activities) are done by the PMU in consultation with the REDD+ Unit. The PMU is adequately equipped with the human resources for managing the works.

The REDD+ Unit is responsible for preparing the list of the goods/equipment to be purchased with detail specifications. The list is then submitted to the PMU for detail scrutiny and also checking the availability of budget and updating the Procurement Plan. The PMU will be responsible for procuring the goods, as requested by the REDD+ Project Office. Most of the equipment/goods are, usually, readily available in the market in Port Vila.

6. Feedback and grievance redress mechanism

The REDD+ Unit of Vanuatu had commissioned a study on Feedback and Grievance Redress Mechanism (FGRM) with the objective to assess the Feedback and Grievance Redress Mechanism including the capacity of the implementing institutions receiving the grievances that are likely to emerge in future and establish the grievance redress mechanism. The study was conducted by an individual/independent consultant starting January 30, 2017 and completed on April 30, 2017 (Ref. Table 8).The consultant has also submitted the report and it was reviewed

and accepted for implementation. However the report still needs to be endorsed by the Government of Vanuatu for implementation.

The study methodology included (i) conducting extensive literature review (ii) discussion with all the stakeholders to get broad first hand information on FGRM and also to determine the areas of conflicts and possible disputes (iii) consultations, meetings with concerned stakeholders in all five REDD+ islands and (iv) Identification of the key primary and secondary stakeholders from the national and provincial governments local people and CSOs/NGOs. The FGRM was intended to complement and not for replacing the formal legal channels for managing the grievances. The study has done detailed assessment on the existing formal and informal FGRMs at local and national levels including the use of traditional and customary grievance and conflicts resolution and management.

3.2 Sub-Component 1b: Consultation, Participation and Out-reach

7. Participation and engagement of key stakeholders

The Government of Vanuatu is taking all possible measures to ensure that all concerned and relevant stakeholders are engaged in all aspects of the decision making process about the REDD+ Program. The purpose of this sub-component is to inform the people and make aware about the REDD+ process its objectives and its implications on the environment and the societies.

The key messages developed by the REDD+ Unit, for the purpose, were explained to the people. Besides the consultations with the local people in the islands, the other capacity building, awareness raising, management and governance related workshops were also conducted. Table 4 gives the details of different categories of development, capacity building, and awareness raising workshops held by the REDD+ Unit with FCPF support.

Table 4: Summary of capacity building and stakeholder activities (2015 to 2017)

Year	Awareness Raising	Capacity building	Stakeholders engagement	Management	Governance	Total Events	Participants	
							Male	Female
2015	1	4	3	1	0	8	267	139
2016	3	9	6	4	5	26	128	52
2017	9	5	5	2	6	28	1994	1585

8. Consultation Process

To make the consultation process very clear and understandable to the local *ni-Vanuatu*, the language used was Bislama, chart papers were widely used by the people to write what they think and perceived about the topic being discussed. Groups were formed and the participants were encouraged to have in-depth discussion within the group. Various methods were adopted to make the discussion understandable and lively. Female participants were specifically encouraged to take active part in the discussion.

The bases for consultation with the stakeholders are the FCPF's Guidelines for stakeholder engagement and the communication strategy and consultation and participation plan developed

by the REDD+ Unit. Initially two prongs approaches were followed *i.e.* (a) the Regional Forest Officers conducted the consultations in their respective jurisdiction based on the guidelines and plan mentioned above. Another round of consultation was conducted by the CSOs groups in their respective jurisdiction. These approaches proved very successful. In the second year of implementation, the consultations were tied-up with the studies like (a) analytical studies (b) FGRM (c) SESA and (d) in future, it will be tied-up with the MRV and FRL studies as well. In essence the consultations will be issue-based or topic-based.

9. Information sharing and accessibility of information

The REDD+ information are shared with all concerned stakeholders through various communication modes. The communication strategy is used as the basis for sharing the information and communicating with stakeholders.

Workshops, Reports and publications: People were able to access the information through leaflets on REDD+, workshops, training, special events, newspapers, print and online publications and the dissemination of reports and REDD+ material via the Vanuatu REDD+ website (<http://www.reddplus.vu>).

REDD+ Website: The REDD+ website is informative and contains a wealth of information on REDD+ and climate change. It outlines the national REDD+ framework, institutional setup, implementation progress, outputs from the implementation of the different development support mechanisms, as well as current highlights. The website is regularly updated and further whenever new information becomes available it is uploaded. However the volume of information, topics uploaded is relatively less at the moment but will be improved as and when more activities will be implemented in the field and the information becomes available. At the moment, the website contains information only in English which limits the number of readers to the educated people only and could not reach as much as desired to the Bislama speaking communities. Information on landuse, land cover and forest inventory will be uploaded once the National Forest Inventory is completed.

Radio and Television: Radio FM 107 and Vanuatu Broadcasting and Television Corporation (VBTC) were contracted to air and telecast various programs for disseminating the information as well as creating awareness amongst the local *ni-Vanuatu* people about REDD+ program. The services provided by them were (i) Radio program (on different topics related REDD+), (ii) live talk back show (iii) commercial spots related to REDD+ (iv) public announcement (v) weekly quiz.

Even though lot has been done to disseminate and share information with stakeholders using Radio and Television there is still a need to do more in this front. Radio and Television are very powerful media and coverage through Radio is country-wide however the coverage of the Television is more in the urban areas. The impact it has created is substantial. Therefore there is plan to continue using these media in the second phase of the readiness if additional funding is available from the FCPF.

10. Implementation and public disclosure of consultation outcomes

In Vanuatu, most of the consultations are led by the CSOs themselves as such they become very important channels for disseminating the information. Further the participation of all relevant

stakeholders has promoted and improved the consultation process and communication plan both at national and provincial level. Reports are prepared for all the workshops and trainings conducted by the Project and they are available in hard copies and also uploaded on the website. The outcomes of the consultations wherever they are relevant are integrated in taking the management decisions by the REDD+ Unit and other relevant organizations. The materials are in English only at the moment however the REDD+ Project is making efforts to translate in Bislama.

Various means of communication and extension methodology and materials are used to share and disseminate information related to REDD+ readiness activities including the development of REDD+ Strategy. Radio and TV programs, newspaper articles, extension material like posters, pamphlets, leaflets, and flipcharts were used to reach out the information about REDD+ program to wider audience. Workshops and trainings are also conducted based on situations and relevance as out-reach activities. The National CSO Platform has become very important for supporting awareness raising activities about the REDD+ readiness program. CSO Coordinator acts as bridge between the VANGO Secretariat and the REDD+ Unit Management.

Key Recommendations for Component 1

1. Organization strengthening in the decentralized offices.
2. Operating Cost required for running the REDD+ Program (both at national level and decentralized level).
3. Policy level consultations/meetings on Feedback and Grievance Redress Mechanism should be organized to brief about the FGRM and get endorsement from the senior government officials.
4. Communication Activities: Radio and Television should be used for sharing the information to all concerned stakeholders and *ni-Vanuatu* people. This will have far-fetching effect on the information sharing.
5. The activity should focus on raising the awareness about REDD+ activities by organizing various activities like international day of forests, observing national tree planting day, and also observing the national forestry week. The activity should also focus on raising awareness amongst the school teachers.
6. CSO Platform: The activity should focus on supporting the CSOs in raising the awareness and disseminating REDD+ Program.
7. South-South Cooperation: (a) Study tours should be organized for **Forest Officers** to visit and see the success stories about REDD+ activities in the region. Topic-specific tours should also be organized. (b) Study tours should also be organized to the **Members of National Advisory Board** to visit and see the success stories on REDD+ activities in the region. Workshops and Meetings should also be hold to sensitize on the works done so far and for getting the endorsement.
8. Strengthen the Farmers Associations in the Provinces: The land (both agricultural as well as forestlands) are owned the *ni-Vanuatu* people. They are the owner of the land and the resources growing on the land. Before implementing any land related activities, the people should be consulted and consent obtained from them. The Farmers Associations should be supported and strengthened so that the *ni-Vanuatu* people can take active part in the REDD+ decision making process. The extension services from the Agriculture, Horticulture, Livestock, and Fishery should also be sought and engage for the success of the program.

4. Component 2: REDD+ Strategy Preparation

In order to inform the development of National REDD+ Strategy, four Analytical Studies were commissioned by the REDD+ Unit with the support of FCPF grant. The work was awarded to a German Firm UNIQUE. The contract was signed in the month of January 2017 and the Inception report and the work plan including the budget requirement for the work were received towards the end of January 2017.

The consultant started the work from February 2017. The four analytical studies are (i) drivers of deforestation and forest degradation including the underlying causes (ii) Strategy Options (iii) legal harmonization concerning carbon rights and commercial landuse iv) Benefits sharing mechanism. After undertaking the studies based on the TOR, the consultant submitted the draft report in the month of May 2017. The final report was submitted during July 2017 after incorporating the comments (Ref. Table 8).

The consultant also submitted two policy briefs on namely (i) drivers of deforestation and forest degradation and the underlying causes and agents and (ii) REDD+ Strategy Options. These policy briefs were submitted as part of the studies. Overall summary of the report is presented under each progress indicator mentioned below:

4.1 Sub-Component 2a: Assessment of Land Use, Land Use Change Drivers, Forest Laws, Policy and Governance

11. Assessment and Analysis

Assessment and analysis of the landuse was carried out through the driver of deforestation and forest degradation study. The analysis was based mainly on the existing datasets on forest and landuses. To strengthen the analysis, the data from the Global Forest Watch was also used for analyzing the forest cover change in the islands supplemented by participatory consultations.

However the study will be an important source of information when the work on activity data generation will be initiated as part of the National Forest Monitoring System (NFMS) including MRV System. This study indicates that 98.9% of the five islands are covered with forests but the report has not indicated whether they are natural forests or coconut plantations. The deforestation rate do not seems to be significant therefore no clear pattern of forest and forest cover change was observed. The forest cover loss was very small in size and scatted throughout the islands and the size of deforestation (openings) observed was mostly less than 0.5 hectare size.

In addition to the above-mentioned study, the forest type of the country was analyzed based on VANRIS study report which is available with the Forest Department. The information on VANRIS is based on a nation-wide forest inventory that was completed in 1993. As per the inventory report, only 16.73% of the geographic area has mid height forest (20 to 30 meters height class) and another 19% of the geographic area have low forest. These mid height forests and low forests together are categorized as production forests which is 35.81% of the geographic area of the country. These figures need updating when the remote sensing will be conducted as part of the NFMS.

Major chunk (35.37%) of the forests is classified as thickets which is basically a degraded forest. The details of the existing forest types are given in Table 5. The Table shows that huge area is comprised of degraded forest. The Department of Forest, Vanuatu, should make efforts to improve the stocking of these degraded forests.

Table 5: Forest Types of Vanuatu

Vegetation Types/Landuse types	Area (ha)	Per cent of Land Area
Mid Height Forests (20 - 30 meters)	205,307	16.73
Low forests (10 - 20 meters)	234,089	19.08
Woodlands (< 10 meters)	386	0.03
Thickets (3 - 8 mm)	433,941	35.37
Scrubs (< 3 meters)	45,018	3.67
Grasslands	51,128	4.17
Swamp communities	2,261	0.18
Mangroves	2,519	0.21
Bare ground/Human made	252,256	20.56
Total land areas	1,226,905	100.00

Source: Vanuatu National Resource Inventory System (VANRIS).

No further attempts were made to assess the landuse types using the satellite remote sensing methods therefore there is an urgent need to carry out the landuse assessment using the satellite remote sensing methodology. REDD+ Unit has plans for initiating this activity as part of National Forest Monitoring System.

As per record in VANRIS, the country has a total area of 2,910 hectares of plantation spread throughout the country and based on 1993 inventory, the age of the plantations ranged from 12 to 20 years. By now, these plantations would have grown very old and almost matured. The work on NFMS will be able track the location of these plantations and their present status in terms of height and growth.

Overview of the prioritized drivers of deforestation and forest degradation

The above-mentioned studies have identified the drivers of deforestation and forest degradation including the underlying causes for deforestation and forest degradation. The results of the deforestation and forest degradation study are analyzed and discussed briefly below:

The islands of Vanuatu are of varying sizes and shapes with distinct biophysical environment, culture and customs differing in local conditions like vegetation, socio-economic conditions and isolation in terms of market and government services. This has resulted in considerable variations of deforestation and forest degradation. The study has assessed the drivers and their respective strategic options according to the islands. However despite the variations of each island there are common landuse patterns and trends in each of these islands. The overview of the main drivers and agents of deforestation and forest degradation, discussed in this report, are those that are relevant for all five REDD+ islands. The study identified the following drivers and agents at the national level.

1. Agriculture
 - Subsistence agriculture
 - (Semi)-Commercial agriculture
 - Commercial agriculture
2. Forestry
 - Formal Logging
 - Informal logging
 - Fuelwood and Charcoal
3. Invasive Species
4. National Disasters
5. Infrastructure Development
 - Tourism
 - Settlements

Agriculture: Improper agricultural practices are classified as the main driver responsible for causing deforestation and forest degradation. The practices are further sub-divided into (i) subsistence agricultural practices (ii) semi-commercial agricultural practices and (iii) commercial agricultural practices.

- In subsistence and semi-commercial agricultural practices, the traditional systems of agriculture that were practiced since time immemorial are replaced by cash economy which required high inputs usually leading to monocultural cultivation system. These systems has diverted the traditional planting methods which, in many cases, results in soil degradation leading to deforestation pressure on forest land.
- Commercial agriculture: Commercial agriculture is one of the most important drivers of deforestation and forest degradation. Therefore the commercial agriculture like beef production and copra production will be combined with landuse planning process to ensures that the critical forest ecosystems are not converted to agriculture.

Forestry: Another driver of deforestation and forest degradation is informal logging. Informal logging is done by small scale loggers. These small scale loggers usually have mobile sawmills and they either cut trees in their own land or work on commission for bigger land holders. The wood produced by them is sold in the local market. The system is considered as an important driver of deforestation and forest degradation.

- Commercial forestry: This used to be very important driver of deforestation and forest degradation in the past. The volume of timber production was very high and was increasing steadily till 1995 and thereafter it started declining and reached its low by 2010. Therefore large scale commercial forestry is not seen as important driver at the moment in Vanuatu.
- Fuel-wood and charcoal production: is another important driver of deforestation and forest degradation. The products is used as sources of energy by the farmers and the surplus, if any, is sold in the market to earn extra cash income.

Invasive Species: *Merremia peltata* is one of the most obnoxious vines and is a barrier to sustainable forest and land management. The vine becomes unmanageable because it suppresses new growth as well as the old growth by climbing over the canopy of the trees.

Natural Disasters: Natural disasters are very frequent in Vanuatu. Destructive tropical cyclones frequently hit the island-nations bringing misery and suffering to the common people. The impact of natural disasters on forest ecosystems is exacerbated by anthropogenic and other forest degrading activities.

Infrastructure Development: Tourism is another important driver of deforestation and forest degradation in Vanuatu. The number of tourists visiting Vanuatu is increasing yearly therefore to match the facilities and other resources required by the tourists, infrastructure is being built especially in Port Vila in Efate and Luganville in Santo. The concentration of tourists in the urban centers has fuelled the rural-urban migration of the people. In addition, lot of squatter settlements has sprung up in the urban centers like Port Vila and Luganville.

The drivers study has provided lot of insight underpinning the most important drivers of deforestation and forest degradation. The findings will support the Government while developing the National REDD+ Strategy.

Underlying causes and Future Trends – National Level

The drivers of deforestation and forest degradation are often found ‘outside the forests’ domain. The study points out that the underlying causes are economic, policies, institutional factors, cultural, socio-political concerns, governance and demographic factors. Even though these underlying causes may not be immediately visible but since they usually originate from informal norms, customs that differ between *ni-Vanuatu* communities and it is important to understand them so that REDD+ Strategies can be made effective and get to the root causes of deforestation.

Demographic: Demography is one of the most important causes of deforestation. Population of Vanuatu is increasing steadily which is exerting tremendous pressure on the land and other resources. It will also put increasing demands on food security and especially the smallholders will find it very difficult to generate enough income to support their families. The study point out that rural-urban migration is also rampant which is aggravating the issue more.

Economic activities are concentrated in urban centers whereas the rural *ni-Vanuta* people still derive their livelihood outside the cash economy. This trend has prompted the rural people to move towards semi-commercial agriculture which is quite viable option in Vanuatu but this practice has been continuously impacting the forest resources in the country.

Technological: Adoption of appropriate Technology in agriculture is very important. The study has identified that improvement of technology in agriculture is required to produce food in a sustainable manner and support moving away from deforestation and forest degradation. Climate resilient/climate smart agriculture are all means to intensify agriculture, support food production and reduce deforestation and forest degradation. REDD+ Program is trying to collaborate with agriculture research and the farmers to innovate and recommend appropriate technology in the field so that the farmers benefit from the technological advancement.

Policy/Institutional: The under-mentioned policies developed by the Government of Vanuatu provide overarching policy framework for achieving sustainable development in the country. The National Sustainable Development Plan (2016-2030) is a fifteen year plan which elaborates in details on three pillars of development, *i.e.* (a) society (b) environment and (c) economy. The other overarching policy is the “Overarching Productive Sectors Policy (2012-2016). The Policy specifies what the Government of Vanuatu can facilitate for equitable growth. The Policy sees domestic agricultural production as the main engine for Vanuatu’s economic growth and is based on three goals related to strengthening the productive sector; improve farm incomes and livelihoods, and supporting sustainable economic growth.

The study reports also point out that ‘Agriculture Sector Policy 2015 – 2030 of Vanuatu is one of the important policy documents that have many thematic areas relevant to REDD+ program. This Policy builds on the productive sector policy and highlights the possibilities of agriculture expansion and aims to expand agriculture in the country. The Policy is underpinned by social, economic, ecological, and cultural principles combined with focus on sustainable development.

Heavy domestic demand, in Vanuatu, is causing shift in the use of agricultural crops by the people leading to decline in production. The situation is further aggravated by low level of agricultural skills and soil fertility. The impacts of climate change are affecting the production level further. Under such circumstances the ability of Vanuatu to sustain/increase agriculture production has been seriously constraint and will hamper implementation of REDD+ activities because there is danger of agricultural activities expanding into the forest land leading to deforestation and forest degradation.

Social/Cultural: In Vanuatu, the local customs have profound impacts on the practice of agricultural system in many islands which have bearing on the clearing of forests to raise subsistence mono-culture and also develop settlements. The practice also has positive impacts on forest protection through a system of custom tabu. Therefore to a large extent forest protection as well as deforestation is linked to the local custom which needs assessment and use the information while developing the National REDD+ Strategy.

Environmental: The unpredictable weather conditions, due to change in climate, is leading to drying of water in many water catchments in several islands, which is increasing the degradation of agricultural land. This is encouraging the farmers to expand the agricultural practices into forest lands. Besides the expansion of agriculture into the forest lands, the extreme weather-event like cyclones is also contributing to the forest loss and degradation. The ecosystem disturbances generally lead to the invasion by the invasive species like *Merremia* which contribute significantly in stunting the natural forests regeneration.

Governance: The drivers of deforestation and forest degradation study report points out that weak policy implementation, poor law enforcement, poor/unorganized institutions and lack of participation of rural communities in the planning and implementation stages of any project/program are helping in continuing the deforestation and forest degradation. Even though Vanuatu is highly decentralized in terms of implementation and decision making but the access and travelling to different islands are very difficult and expensive. It takes lot of time and financial resources which eventually hampers the smooth and timely implementation of the REDD+ activities in the field.

12. Prioritization of direct and indirect drivers/barriers to forest carbon stock enhancement

The Analytical study on drivers of deforestation and forest degradation have identified the main drivers and prioritized them. Strategy Options has been developed based on the identified drivers and it is expected that the options will help address drivers both direct and indirect (Ref. section on “overview of the prioritized drivers of deforestation and forest degradation” under progress indicator 11 for further information).

13. Link between drivers/barriers and REDD+ activities

The analysis of the drivers of deforestation and forest degradation including the barriers to sustainable forest management, conservation and enhancement of forest carbon stocks has become very useful tool to understand the historical pattern and well as for predicting the future pressure on forests. The driver analysis has paved way for in-depth analysis for understanding what policies and measures can affect the pressure of the drivers in future. The Strategy Options, prioritized based on the drivers, will address the drivers of deforestation and forest degradation including the barriers to forest carbon stock enhancement activities.

14. Action plans to address natural resources rights, land tenure and governance

No separate action plan is available to address the natural resources rights, land tenure and governance. The Constitution, Forest Act, National Forest Policy and Land Reform Act of Vanuatu have the following provisions pertaining to natural resources rights, land tenure and governance. Legal provisions are available to address the rights, land tenure issues and governance. However there is an opportunity to strengthen the forest monitoring and database system improvement in future. Brief highlights of provisions pertaining to rights, land tenure and governance available in different Acts and policy are given below:

Constitution of the Republic of Vanuatu: The constitution adopted by the Republic of Vanuatu during the independence in 1980 provides the key principles as far as land ownership, landuse rights and land transactions are concern. Some of the key Articles are mentioned below:

- a) Article 73: “All land in the Republic of Vanuatu belongs to the indigenous custom owners and their descendants.”
- b) Article 74: “The rules of custom shall form the basis of ownership and use of land in the Republic of Vanuatu.”
- c) Article 75: “Only indigenous citizens of the Republic of Vanuatu who have acquired their land in accordance with a recognized system of land tenure shall have perpetual ownership of their land.”
- d) Article 76: “Parliament, after consultation with Council of Chiefs, shall provide for the implementation of Articles 73, 74, and 75 in a national land law and may make different provision for different categories of land, one of which shall be urban land.”

Another important provision in the Constitution which states that “Parliament shall prescribe such criteria for the assessment of compensation and the manner of its payment as it deems appropriate to persons whose interests are adversely affected by legislation” . It further states that the Parliament by enactment shall formalize the recognition of appropriate customary institutions or procedures to resolve land ownership or any disputes over land. These provisions, of the

Constitutions, are very important and the implications it will create when the REDD+ activities are being implemented in the field.

Forest Act of Vanuatu: Customary rights of access and use of forests is provided in the Forest Act. The right includes felling of trees or removal of timber or other forest products by custom owners for sale to Ni-Vanuatu in accordance with current customary usage. However the rights of custom owners and other Ni-Vanuatu with customary interests in forests must be recognized.

Another important rights recognized in the Forestry Act is the Timber Rights. The ownership of timber rights on land is determined in accordance with custom. The Forestry Act requires non-custom owners or commercial forestry operators to obtain licenses and permits in order to have timber rights for commercial forestry operations. The only exception to this is if the trees are to be harvested for supply to other Ni-Vanuatu.

National Forest Policy of Vanuatu: The national forest policy has broad framework which provides guide on sustainable forest management, environment protection and conservation, land owners and community related issues, forest industries, afforestation and reforestation, forestry research, training and education, forest administration and forest revenues.

Land Reform Act: Article 12 of the Constitution have abolished all pre-independence land titles and converted all land into customary land titles. Therefore this reformed Land Act is a measure to implement some of the most important provisions of the Constitution. In Vanuatu most of the custom lands are without rightfully declared owner therefore there are great risks of potential land ownership disputes with changing time and also after the REDD+ program gets implemented in the field.

Land Lease Act: The Land Lease Act of 1983 has provisions for effecting registration, dispositions, lease, mortgages, transfers, transmission, easements, sub-division pertaining to land in Vanuatu. It also has the provisions on rights and obligations of person or entities entering into an agreement with another person or entity. Land can be leased for a period of up to 75 years and the leases are administered under the Land Lease Act by the Government on behalf of the customary owners. This system allows the Government to oversee lease transactions in accordance with Article 79 of the Constitution.

15. Implication for forest law and policy

The National REDD+ Strategy for Vanuatu will be developed after completing all the analytical studies envisioned in the R-PP. In order to operationalize the National REDD+ Strategy it is recommended to develop an overarching the landuse plan, a forest business plan and action plan for National REDD+ Strategy implementation. The National Forest Policy has provisions for supporting both climate-related issues as well as Implementation of REDD+ activities in the field.

These plan and policies will be useful in addressing the implications that might arise while implementing the National REDD+ strategy in future. The overarching land use plan will support in addressing the coordination related issues between different Departments.

The identified drivers and agents of deforestation and forest degradation suggest that some existing policies need to be harmonized besides developing the above-mentioned plans. The

vulnerability of forest and agriculture productions are well recognized through the study therefore the policies and institutional arrangements, to implement REDD+ Options, will be carefully done so that it also addresses the climate change related issues.

4.2 Sub-Component 2b: REDD+ Strategy

16. Selection and Prioritization of REDD+ Strategy Options

The Strategy Options, for Vanuatu REDD+, have been prioritized not only to generate carbon benefits in the form of emission reduction and removal but also to obtain the co-benefits like food security, community resilience and ability to adapt and climate change mitigation. Frequent occurrence of tropical cyclones, fires and other natural hazards has indicated that the sustainable and scientific management of forest is very important.

Following Section provides an overview of the priority Strategy Options that have been selected for more detailed analysis. Each Strategy Option corresponds to the type of land tenure arrangement for which it would be most relevant. Vanuatu has the choice to pursue REDD+ activities by using number of different options that corresponds to the two types of land tenure prevalent in the country (a) leased land and (b) customary tenure land. Based on the land tenure arrangements the prioritized REDD+ Strategy Options are given in Table 6.

Table 6: Land Tenure Arrangements Vis a Vis the Strategy Options

SI No	Land tenure Arrangements	Strategy Options	Islands/Provinces
1	Leased Land: Government acquisition of degraded agricultural lands	Clustering investments in inclusive agroforestry to restore the forest ecosystem, health and productivity of degraded and unused leases.	Efate, Santo, Malekula
2	Customary Land: Activity-based Provincial Government outreach to smallholders	Provision of essential climate smart solutions for multiple agroforestry business with potential to scale.	All islands
3	Customary Land: Area-based conservation through different legal agreements	Active conservation through productive and sustainable use of key forest areas under risk of conversion of degradation.	All islands

It is seen that a large proportion of the commercially valuable customary land is now leased. This means that all significant REDD+ activities will take place on land or forests held under land under customary tenure arrangements, although some of this land may be subject to leases.

The study recommends that the Government should acquire expired/degraded agriculture leases to transform these unused areas to productive and restored forest landscapes. After the acquisition, the national government should then sub-lease smaller parcels of land to local

landowner groups or other affected community groups, such as internal migrants. These sub-leases would allocate rights to use the land for gardening through sustainable methods such as agroforestry systems that integrate the planting of priority tree species.

For the second option mentioned above, it requires improved delivery of extension services to smallholder farmers to support effective uptake of agroforestry. The REDD+ intervention entails promoting priority species to small-scale farmers in existing subsistence gardens or on customary land. The priority species to be promoted and the model of agroforestry will depend on the local conditions and requirements like the demand of the products, distance to the market and prevailing agro-ecological conditions.

For the third option, the study recommends that Vanuatu's current protected area network be expanded by reinforcing existing or creating new conservation areas through various legal options. To ensure this REDD+ Strategy Option generates sufficient support at the local level, it is important to involve local *ni-Vanuatu* in the management and generation of benefits from these protected areas. The type of conservation activities that would be implemented can be considered active conservation such that forests are not set aside, becoming off-limits from human use, but rather efforts should be made to render these forests productive, so that sustainable management can generate sustainable income flows to local communities. The activities that could be implemented in these Options include eco-tourism, extraction of non-timber forest products and firewood based on sustainable management plans.

For the successful implementation of all the above-mentioned three Strategy Options, an overarching landuse plan would be developed if additional funding is approved.

17. Feasibility assessment

Detailed cost benefits analysis has been done on the prioritized Strategy Options. Preliminary feasibility assessment has been done against the existing information on social and environment however more detailed assessment will be carried when the reports from SESA study become available. More refining will be done after thorough assessment on economic, social and environmental issues.

The REDD+ Strategy Options are proposed to be implemented in two different types of land tenure arrangements (a) leased land and (b) customary land. In (a) leased land the REDD+ Options recommended are to restore forest on such land including agroforestry. (b) In customary land agroforestry is recommended and (c) active conservation with area-based approach is recommended.

18. Implication of Strategy Options on existing Sectoral Policies

The Strategy Options identified have not been implemented in the field therefore it may be too early to pin-point any implication or any negative impacts it might have on the REDD+ activities itself and other policies and program of the Vanuatu Government. However in-depth analysis will be carried out on the implication of Strategy Options on existing sectoral policies when the SESA process will be completed. Nonetheless it offers great opportunity to mainstream the REDD+ Strategy Options into the national plans and programs including harmonization of existing policies and programs of other Departments within the Government.

The REDD+ Strategy Options, in essence, will strengthen the National Forest Monitoring System and FRL by mainstreaming and institutionalizing them. This will provide critical data and information relevant for the forestry sector and should be viewed as priority.

Detail analysis will be carried out, on the implications, while developing the National REDD+ Strategy by involving all major stakeholders. Various possibilities exist while strategizing the directions for implementation of the identified REDD+ Options like carbon stocks enhancement in all categories of forests, promoting community-based REDD+ pilots or demonstration plots/activities, promoting alternative livelihood options to reduce pressure on forests, harmonization of existing policies within various Departments, strengthening forest governance, monitoring and reporting systems and upgrading the data/information collection and management systems in the forest department.

4.3 Sub-Component 2c: Implementation Framework

The legal instruments and framework required for implementation of REDD+ Strategy has been laid through the Forestry Act, the National Forest Policy and the Country's Constitution besides many other Acts and policies.

19. Adoption and implementation of legislation/regulations

No separate Act, Policy or regulations related to the implementation of REDD+ program has been formulated. The National Forest Policy covers issues on forest management, environment protection and conservation, land owners and community related issues, forest industries, afforestation and reforestation, forestry research, training and education, forest administration and forest revenues. Strong emphasis has been placed on institutionalizing the implementation of REDD+ priorities in all forest projects and programs. Organization of national forest monitoring system that supports measurement, reporting and verification (MRV) and assessment of forest carbon stock changes as per IPCC guidelines have been prioritized.

The MTR is proposing the development of an overarching national land use plan and forestry business plan. These plans may have implication on the existing (i) Forestry Act and (ii) National Forest policy. During the next readiness phase of the Project the implementation Framework for National REDD+ Strategy will be developed.

20. Guidelines for implementation

No specific implementation guidelines have been prepared. Detailed implementation framework will be developed along with the development of National REDD+ Strategy. The information on benefits sharing mechanism and grievance redress mechanism are available which will be used in the development of National REDD+ Strategy implementation guidelines. The work is scheduled to be started during the second phase of the readiness implementation.

21. Benefits sharing mechanism

The recently completed study on benefits sharing mechanism suggests that it would be more prudent, for Vanuatu, to move beyond implementing just few projects distributed around the

country. (Ref. Table 8). FCPF Carbon Methodological Framework also requires that sufficiently large area should be taken up for developing the REDD+ Project to make the impact visible and sensible. The program can be delivered through various approaches or combination of approaches to achieve the goal and the target. These approaches can be programmatic modality, or area-based approach or an activity-based approach.

Further it is recommended that the the Government adopts the benefits sharing framework based on the business model of REDD+ activities to ensure that benefits sharing arrangements are equitable and economically robust as well. Such model should clearly show the costs and benefits associated with REDD+ activity and the shareholder who bears the costs also receive the benefits which is required to compensate those costs. The report suggests that the benefits sharing arrangement should also cover the followings costs like (i) opportunity costs (ii) REDD+ activity governance and management costs (iii) MRV costs (iv) social and environmental safeguards costs (v) cost of capital (if relevant).

The REDD+ benefits may include both cash and non-cash benefits. Cash benefit alone is not always sustainable and effective. The report gives greater emphasis to leverage on non-cash benefits as well. The non-cash benefits can include government provisions of a range of services to assist the land holders to transition to a more sustainable forest management options (e.g. agroforestry). Further it also suggests that a significant component of an equitable and politically durable benefit sharing system for REDD+ is the distribution of REDD+ benefits to local communities that would otherwise benefit financially and socially.

Even though the study recommends various options for financing and benefits sharing arrangement, the Government is yet to decide and adopt for implementation arrangement. However it is increasingly realized that the system that will be established will be transparent and will receive broad consent from all stakeholders. The receipt of the payment for carbon emission reductions through REDD+ must be made public instantly.

22. National REDD+ registry and system monitoring REDD+ activities

No REDD+ registry exist in Vanuatu. The registry system needs to be developed for future. The national forest monitoring system proposed to be implemented in the next phase of the readiness implementation has the provision for establishing the registry system in line with national MRV system proposed under component 4.

4.4 Sub-Component 2d: Social and Environmental Impacts

With the aim to integrate environmental and social safeguard measures in all REDD+ activities, the REDD+ Unit has commissioned studies on strategic environmental and social assessment (SESA). The work was awarded to Institute of Applied Science, University of South Pacific, Fiji and the contract was signed on 27th of March 2017. The contract is upto 26th March 2018. The work plan and submission dates of the deliverable are as follows:

Table 7: SESA Reports and reports submission dates

Sl No	Reports	Submission Dates
1	SESA Work Plan	30 April 2017

2	SESA Inception Report	31 May 2017
3	Preliminary Report on the Social and Environmental issues relating to REDD+ implementation	15 November 2017
4	Report on REDD+ Environmental and Social Risks and Impact	20 December 2017
5	SESA Final Report	15 February 2018
6	Environmental and Social Management Framework (ESMF)	15 March 2018
7	RPF/PF	15 March 2018

The progress made so far are (i) submission of work plan and inception report outlining the work to be done, methodology including the deliverables and time frame for the deliverables to be submitted (ii) consultation works for generating baseline information and preparation maps through situational analysis of the key environmental and social issues relating to REDD+ in three REDD+ islands has been completed focusing at three levels, national, provincial and local levels. At the national level and provincial levels PLA/PRA and focus groups interview are used. The stakeholders involved are landowners, government department officials, women Council, youth groups, church etc. However at the local level, it was workshops (case study approach), and focus groups interviews, PLA/PRA methods.

The outputs from the SESA study will help to integrate social and environmental considerations into the REDD+ policy making process. It will also generate the baseline information/data for the development of the future environmental and social management framework (ESMF) which is basically aimed at minimizing or eliminating negative impacts or if inevitable – duly compensating their negative consequences at the same time creating benefits for the people. The broad objective of the SESA is to assess the (a) likely positive and negative impacts of Vanuatu’s REDD+ Strategy Options (b) to enable an understanding of the operating environment of REDD+ program, including stakeholders analysis and the socio-environmental dimensions of the forest sector and (c) develop multi-stakeholder engagement approach to address the impacts through stakeholder consultations in all the REDD+ islands.

23. Analysis of social and environmental safeguards

The Government of Vanuatu understands that the eligibility for result based payments requires the development of a national approach to safeguards for promoting and supporting the seven safeguards and to establish an SIS to provide information on how safeguards have been addressed and respected throughout the implementation process. The National approach to safeguards will be developed as part of SESA process.

However some of the existing safeguards frameworks relevant to REDD+ under the UNFCCC are:

- (i) UN-REDD: Social and Environmental Principles and Criteria (SEPC) developed guiding framework building on the Cancun Safeguards.

- (ii) World Bank FCPF: Strategic Environmental and Social Assessment (SESA) developed with the objectives of meeting the World Bank Operational Policies and Procedures.

These two systems clearly address the seven Cancun Safeguards although there are some differences in the types of criteria that each safeguard framework recommends.

Further the Vanuatu Government has carried out gap analysis and reviews of many Acts (including the Forestry Act), and policies. Gaps have been identified in each Act and Policy. To a certain extent these Acts and Policies already have provisions to address these safeguards.

24. REDD+ Strategy design with respect to impacts

The implementation of the REDD+ activities will have both positive and negative impacts and that it is very important to ensure that it is understood at all levels of the Government as well as other stakeholders. This will be achieved by developing a national approach to safeguards as part of SESA process.

25. Environmental and Social Management Framework

The ESMF preparation is expected to begin towards the end of 2017 and will be completed by March 2018 (Ref Table 8). This is one of the key outputs of the SESA process. The ESMF is the framework for managing and mitigating the environmental and social risks and impacts of future investment (projects, activities and policies and regulations) associated with implementing a country's REDD+ Strategy. The ESMF will provide a direct link to the relevant safeguards standards. All major policies and the laws available with different Departments in the country will be reviewed which will be very useful in addressing the safeguards principles and criteria including safeguarding the conversion of natural forests to another landuses.

It will also address the concerns and issues pertaining to biodiversity conservation, forest areas having high conservation values, natural habitats, pest management related issues including the management of forests in sustainable management principles will be addressed. Further it also aims to include issues related to safeguards and risk mitigation related to local *ni-Vanuatu* people, livelihood impacts, physical and cultural resources supported by comprehensive grievance redress mechanism and monitoring and evaluation system.

Key Recommendations for Component 2

1. Operationalization of the National REDD+ Strategy: The REDD+ Strategy Options developed through the study needs to be operationalized. In order to achieve this objective, the following plans needs to be developed like (a) Action plan for REDD+ Strategy implementation (b) National landuse plan and (c) Forest business plan.
2. SESA and REDD+ Activities: The study on Situation Analysis on key environmental and social risks and impacts associated with deforestation and forest degradation for the remaining two REDD+ islands should be conducted in order to produce holistic report of key

environmental and social risks and impacts associated with deforestation and forest degradation using Strategic Assessment Methodology.

5. Component 3: Reference Emission Level/Reference Level

The Component 3 (Reference Emission Level/Reference Level) and 4 (Monitoring Systems for Forests and safeguards) will be taken up by restructuring the REDD+ Project Grant. The background information on the requirement of restructuring of the Project and justification is provided below:

a) Background

The R-PP of Vanuatu approved in 2013 includes the components - Development of Forest Reference Level (FRL) (component 3 of the R-PP) and Design of National Forest Monitoring System (NFMS) (component 4 of the R-PP).

The Project's Assessment Note (dated March 27, 2015) highlights that FRL and NFMS are essential components of the Readiness Preparation Proposal (R-PP) to help Vanuatu develop a comprehensive Readiness Roadmap to implement the national REDD+ Strategy. However, the development of FRL and NFMS were not included in the activities financed by FCPF because it was expected that other donors (such as GIZ) could finance this activity. However, the expected funding did not materialize despite the efforts made by Vanuatu to solicit funding for that purpose.

b) Rationale for grant restructuring

During implementation of the REDD+ Readiness grant, some activities of the components 2 and 3 covered under the grant were modified; and cost estimates of some activities of the components were revised downwards (reprioritized), which translated into savings from reduced costs of implementation of the components covered under the Readiness grant relative to the budget allocated to them. Given the good progress achieved in the Project along with the savings from component 2 and 3 and the importance of the FRL and NFMS for advancing Vanuatu's REDD+ readiness, the Government of Vanuatu proposed to reallocate resources from components 2 and 3 to add a new component – Component 4 to develop FRL and NFMS to help accelerate Vanuatu's readiness and contribute to achievement of the PDO.

The development of FRL and NFMS is necessary for Vanuatu to implement programs in support of REDD+ in the future. The restructuring of the Vanuatu REDD+ Project grant will facilitate the progress on the components - Development of Forest Reference Level; and Design of National Forest Monitoring System approved in the R-PP.

The proposed restructuring is aimed to facilitate Vanuatu to jump-start the development of FRL and NFMS, and to build a strong case for additional funding for further advancing on REDD+ readiness. More importantly it aims to strengthen Vanuatu's capacity to monitor and manage its natural resources more broadly.

In addition to supporting Vanuatu to develop FRL and NFMS, the re-allocation of funds/savings will also serve additional three purposes of strengthening the implementation of components 2 and 3, these include: (i) achievement of synergy by combining consultations, workshops, meetings of Component 2 with FRL and NFMS of component 3 and 4;(ii)reducing the costs of logistics and travel time among the islands; and (iii) avoiding potential consultation fatigue and manage the expectations of communities on benefits.

Component 4 – Establishment of National Forest Monitoring System and FRL

The establishment of National Forest Monitoring System (NFMS) will enable Vanuatu to demonstrate progress on REDD+ implementation as per the requirements of United Nations Framework Convention on Climate Change (UNFCCC). Strengthening the national capabilities for measurement, monitoring, reporting and verification and demonstrate progress on operational readiness of the NFMS to monitor REDD+ initiatives and to receive results-based payments associated with them.

The measurement and monitoring elements require strengthening capabilities to conduct national forest inventory (NFI) to collect data on forest carbon stocks and to collect data on land use and land cover change through satellite land monitoring system (SLMS), which are necessary to assess anthropogenic GHG emissions by sources and removals by sinks, and serve as inputs to forest sector component of the national greenhouse gas inventory. The measurement element also includes development of national forest reference level while monitoring, reporting and verification elements require capabilities to collect and report a broad range of data and information on country's forest resources, including in the REDD+ activities.

The component 4 is organized under four sub-components which is proposed to be funded by restructuring the grant. However it is to be noted that the works will be started by restructuring the original grant (Ref. Section under FRL under component 3 and 10 for details on restructuring proposal). The additional works required to be implemented to fully complete the works on FRL establishment and NFMS will be carried out with the additional funding (see Table 11.for the amount and activities to be implemented with additional funding).

Sub-component 4.1: Assessment of emission and removal factor data based on forest inventory

It is proposed to conduct forest inventory of selected islands as part of the national forest inventory to collect data on forest carbon stocks and carbon stock changes to assess emission and removal factor data needed to quantify the anthropogenic greenhouse emissions by sources and removals by sinks of Vanuatu's forests. The forest inventory is proposed to be conducted through a consultancy in close collaboration and coordination with the Forest Department.

The activities proposed for implementation under this sub-component include:

- a. identification of representative islands for initiating the national forest inventory (NFI);
- b. organization of refresher course and on-the-job training for the crews involved in the national forest inventory;
- c. conduct of stratification, design of sampling approach, layout of sample plots, and conduct of plot-wise measurement of carbon pools as part of forest inventory;

- d. analysis of data on carbon stocks and carbon stock change in different carbon pools; and
- e. assessment of emission and removal factor data by carbon pools and forest types;
- f. analysis of uncertainties associated with the emission and removal factor data.

Sub-component 4.2: Assessment of activity data on forest cover and forest cover change based on satellite remote sensing

It is proposed to collect data on forest cover and forest cover change of all islands of Vanuatu using remote sensing methods through a satellite land monitoring system (SLMS) to meet the IPCC Approach 3 requirements of spatially explicit activity data on forest cover and forest cover change. The work will lead to production of forest cover and forest cover change maps and will support conducting analyses required for estimation of activity data and to assess its accuracy.

The work on collecting activity data is expected to be carried out in parallel with the national forest inventory and will include:

- a. collection and organization of remote sensing data and imagery;
- b. generation of forest and forest cover change maps;
- c. analysis of remote sensing data and imagery to estimate activity data on forest cover and forest cover change during the reference period; and
- d. conduction of accuracy assessment to generate stratified forest area estimates.

Sub-component 4.3 Development of Forest Reference Level (FRL)

The sub-component on development of Forest Reference Level (FRL) will focus on the measurement and estimation of emissions and removals associated with a historical reference period to serve as a bench mark for assessing the performance of REDD+ activities implemented by Vanuatu. The estimation of FRL will take into consideration drivers and underlying causes of the REDD+ activities (a) deforestation (b) forest degradation and (c) enhancement of forest carbon stocks.

The activities to be carried out under this sub-component include:

- a. description of carbon pools, gases, and data and methodology used for estimation of emissions and removals of activities associated with a reference period;
- b. analysis of policies influencing the emissions and removals;
- c. estimation of emissions and removals associated with the REDD+ activities of a reference period; and
- d. analysis of uncertainties associated with the estimates of forest reference level.

Sub-component 4.4: Development of MRV (Measurement, Reporting and Verification)

The activities to be carried out under this sub-component include:

- a. design and establish the institutional framework for monitoring and reporting under the NFMS to ensure reporting of accurate, transparent, consistent estimates of emissions and removals along with their uncertainties.
- b. establish a database for archival of data and information for estimation and reporting of GHG emissions and removals from Vanuatu's forests along with links to national GHG inventory which will ensure transfer and archival of data along with appropriate back-up and facilitate easy access of data and information for national and international reporting.
- c. Documentation of standard operational procedures for implementing the MRV with link to national GHG Inventory for reporting on forest-related emissions and removals to the UNFCCC based on standard operating procedures.
- d. Conduct training and capacity building for implementing the monitoring and reporting elements of the NFMS.

Note: The proposed Schedule of works to be done and deliverable and the time frame is given in Table 12 for reference.

26. Demonstration of Methodology

As explained under the above-mentioned Section, Vanuatu is yet to develop the FRL. As soon as the restructuring is approved, REDD+ Unit will start the work. The details of the activities under each sub-component will be as given in the above-mentioned section and the TOR. Total time frame proposed is eighteen months including the activities to be implemented under additional funding. The additional activities to be implemented under the additional funding proposal are given in Table 11. The work on FRL and NFMS establishment will be started by restructuring the project grant and will be continued under additional funding as well.

The initial scope of FRL will focus on deforestation, forest degradation and enhancement of forest carbon stocks. The assessment methodology will be gradually improved through trainings. To start with, the framework that would be followed for the development of FRL would be at sub-national level and subsequently to be aggregated to national framework. Precise definition of the forests will be developed through consultation and discussion process and also define the carbon pools to be included for the construction of FRL. The feasibility of including the soil pool would be assessed during the FRL development.

27. Use of historical data, and adjusted for national circumstances

The Forest Reference Level will focus on the measurement and estimation of emissions and removals associated with historical reference period on the average net emissions from deforestation. The reference period proposed is from 2005 to 2015. The approach that will be adopted will be based on UNFCCC and IPCC guidance.

28. Technical feasibility of the methodological approach and consistency with UNFCCC/IPCC guidance and guidelines

The TOR developed by the REDD+ Unit, Vanuatu, and approved by the WB clearly outlines the methodology to be followed for designing and constructing the FRL. Since the TOR is very comprehensive it will also serve as the guidance for designing and constructing the FRL. Technically it is feasible to develop the FRL however all the required data that are needed will be generated based on the international requirements of IPCC Approach 3 for activity data and tier 2 for emission and removal factors.

Key Recommendations for Component 3

The following activities should be pursued with the additional fund obtained from the FCPF (a) carry out accuracy assessment including research and consultation to integrate FRL in sub-national level planning and implementation (b) capacity building/training for the Forest Department Officials, CSOs and other concerned stakeholders on remote sensing and accuracy assessment.

6. Component 4: Monitoring Systems for Forests and Safeguards

This component is also planned to be commissioned after restructuring of the project grant is approved. For detail background information on restructuring, justification and the activities that would be implemented is given under Section on “Forest Reference Level” and (Ref. also Table 10).

6.1 Sub-Components 4a: National Forest Monitoring System

29. Documentation of monitoring approach

The monitoring approach proposed to be developed will have documentation outlining the design of the Forest Monitoring system and having compliance with the international reporting and accounting requirements. It is recommended that the methodology for monitoring and documentation is at sub-national level for three REDD+ activities (a) deforestation (b) forest degradation and (c) enhancement of forest carbon stocks. A standard operating procedure (SOP) will help to modify the methodology, if required, and also for future updating the monitoring system

30. Demonstration of early system implementation

The activities implemented during the readiness phase will be integrated into the main plans and policy of the Forest Department so that the sustainability of the program would be ensured. Further the pilot projects and demonstration sites will be designed and established so that the local people can see and get convinced.

Human resources and infrastructure development will be given high priority. The capacity to design and develop the forest reference level (FRL) and MRV will also be given high priority. Further adequate number of people will be trained on generating the activity data using the remote sensing techniques, emission factors data and historical emission/removal of greenhouse gas trend.

31. Institutional arrangements and capacities

The Department of Forests, Vanuatu is the principal agency for conducting the National Forest Monitoring System (MRV) and also for constructing the FRL from time to time. The institutional capacity of the Department of Forests is inconsistent and not strong. The capacity of the staffs to manage the NFMS (MRV) including data collection and data analysis needs to be upgraded. There is an opportunity to decentralize the authority to prepare forest management plans including monitoring and information sharing, to the Regional Forest Officers level in the Provinces.

Capacity building will be taken as on-going activity and will be mainstreamed into the Forest Department annual plan of operation. This would be an opportunity to update and upgrade the implementation capacity of staffs of the Forest Department including the staffs working in other departments and CSOs/NGOs. The staffs working in the Provincial offices should also be trained. Additional Funding is also requested to continue this activity.

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

The importance and value of the non-carbon benefits including the social and environmental issues are inherently recognized and in reality it is one of the main mandates of the program. The recently passed National Forest Policy of Vanuatu has placed strong emphasis on the protection, conservation and sustainable management of the country's forest resources. The following non-carbon benefits are very important for the well being of the *ni-Vanuatu* people like biodiversity monitoring, forest governance, monitoring the non-timber forest products and monitoring the environmental services that may arise from the REDD+ program. Cancun Safeguards provides broad general guidelines in identifying the safeguards nonetheless Vanuatu need to develop a national approach identifying and prioritizing the social and environmental safeguards for the REDD+ Scheme in the country.

33. Monitoring, reporting and information sharing

The monitoring and reporting system for non-carbon and safeguards are relatively weak. The NFMS which is proposed to be conducted during the readiness phase will develop the monitoring and reporting on non-carbon aspects. Information which is available with the Forest Department on landuse and landuse changes are old and with the generation of activity data through remote sensing method the information will be updated. The information is shared mostly through reports. The Forest Department has bare minimal information on non-carbon benefits. Upon completion of the work on NFMS the available information will be uploaded in the REDD+ website for the people to browse and access.

34. Institutional arrangements and capacities

As highlighted in the earlier Section, institutional arrangements for identifying and implementing the information collection for non-carbon benefits, safeguards and governance will be given

priority by the Department of Forests, Vanuatu. The proposed work under component 4 'Forest Monitoring System' has the provision to develop the capacity of the Forest Department staffs for collecting and analyzing the information of non-carbon benefits including the safeguards. The proposed development of database system would be able to receive information on non-carbon benefits from the entire country.

In addition to the institutional arrangements, building the implementation capacity of the staffs and officers working for the Forest Department would be upgraded so that they can carry out their responsibilities efficiently and diligently. Besides the people working for Forest department, the staffs working in other relevant Departments including the CSOs/NGOs who are directly or indirectly responsible for implementing REDD+ activities in the field will also be included.

Key Recommendations for Component 4.

The following activities are recommended to be carried out:

- (i) Upgrade and operationalize the MRV System;
- (ii) Carry out forest inventory in all the remaining islands to get reliable and statistically robust FRL and MRV system of the country.
- (iii) The database system initiated during the current readiness phase should be upgraded to receive the forestry data/information from the entire country;
- (iv) Capacity building & strengthen National Forest Monitoring System both at National and Provincial level;
- (v) Development of Safeguard Information System.

7. Analysis of the progress made on activities financed by the FCPF

Details of the progress achieved are given under each components and sub-components according to the progress indicators. Therefore to save time, it will not be repeated. (Ref components 3, 4 and 5 and Table 3). Brief analysis is provided on (i) progress achieved (ii) main challenges and (iii) future opportunities.

Analysis of the progress achieved: The overall starting date of the project was slightly delayed after signing the project agreement because the required consultants had to be hired which took time. Nonetheless the REDD+ Unit was able to make good the time lost and now the progress of the activities is on track. The institutional arrangements have completed, analytical studies to inform the National REDD+ Strategy are completed on time. FGRM is also completed on time. The SESA process which is under progress will be completed on scheduled time frame.

Analysis of the main challenges

The main challenges for implementation of the REDD+ Project of Vanuatu have been mobilizing of fund for implementing the two main components (establishment of FRL and NFMS). Despite

many rounds of requests and follow up with prospective donors the fund could not be mobilized. This has resulted in delay in implementing the activities under these components.

Another important challenge is the travel to different islands. The travel is taking lot of time and also expensive. Even while conducting consultations, mobilizing people in one place is a challenge because of travel time and cost.

Future Opportunity

Even though the establishment of FRL and NFMS system is delayed but once the restructuring is approved the work will be started and expected to be completed within 18 months after signing the contract agreement. It is to be noted that some of the activities will be spilled-over to next readiness phase and will be implemented as 'continued activity' if the additional funding is approved by FCPF.

Table 8: Status of the studies conducted/to be conducted with FCPF support

Sl No	Title of the studies	Sub-Activity	Contractor and the Contract Amount	Beginning of Consultant work	Schedule for contractor performance	Status and Reference
1	Drivers of deforestation and forest degradation	Legal analysis, policy and strategy analysis, report on challenges and obstacles for addressing deforestation and forest degradation; Preparation of policy note.	UNIQUE from Germany (Contract Amount = USD 150, 210)	<u>Start Date:</u> February 2017	<u>Duration of work:</u> 14 weeks. <u>Completion date:</u> May 2017	The Assignment is completed. (The work was awarded to UNIQUE as package). The Final Report was submitted in July 2017 after incorporating the comments.
2	Strategy Options for REDD+	Identification of strategy options for REDD+ Vanuatu; preparation of policy note for Strategy Options				
3		Legal harmonization of carbon rights,				
4	Benefits Sharing Mechanism	Benefits Sharing Mechanism				
5	Feedback and Grievance Redress Mechanism	Feedback & grievances redress mechanism	Individual Consultant (Contract Amount: USD 84,250)	<u>Start Date:</u> 30, January 2017	<u>Duration</u> = 3 months <u>Completion Date:</u> 30th April 2017	The Assignment is completed. Final Report submitted by the consultant

6	Strategic Environmental and Social Assessment, Environmental and Social Monitoring Framework, safeguard information system	Carry out SESA process and development and dissemination of SESA report, Formulation of ESMF	Institute of Applied Science/University of South Pacific, Fiji. (Contract Amount = USD 370,000)	<u>Start Date:</u> 27th March 2017	<u>Duration = 12 months</u> <u>End Date:</u> 26th March 2018	The assignment is under progress. Inception report and work plan has been received. The Consultant has already started the works.
7	Establishment of a Reference Level (FRL) for forest land and development of a system for Monitoring, Reporting and Verifying (MRV) carbon emission reductions from forests	Establishment of FRL, Development National Forest Monitoring System, Establish a National Database System	To be decided	<u>Start Date:</u> Not finalized	<u>End date:</u> Not finalized but total duration of the assignment is planned for 18 months after signing of contract.	TOR for the assignment has been finalized. NOL obtained.

8. Compliance with Common Approach

The common approach encompasses the following elements (a) multi-delivery partners (b) adherence to environmental and social safeguards (c) stakeholder engagement (d) disclosure of information (e) grievance and feedback redress mechanism and (f) transparency and accountability.

The common approach centers on the use of a strategic environmental and social assessment (SESA) particularly in relation to upstream development of a country's REDD+ Strategy. It is also noted that Vanuatu has several Acts, Policies, Guidelines, Institutions that have the principal mandates of addressing the environmental and social safeguards in forestry operations and other developmental activities in the country. Therefore, in order to address the current development of the REDD+ environmental and social safeguards both at national and international level, the REDD+ Unit of Vanuatu has commissioned study on Social and Environmental Assessment which is expected to address the environmental and social safeguards related concerns.

As part of the SESA study the consultants will review the all key policies, laws, regulations, guidelines, manuals, codes, and produce reports on (a) SESA, ESMF and RPF/PF. The ESMF will be subjected to stakeholder consultations which are expected to ensure achievement of "substantial equivalence" to the "materials elements" of the World Bank's Environmental and Social safeguards policies.

The preparation of National REDD+ Strategy will commence beginning of 2018 soon after completing the MTR and Additional Funding approval process. By that time the study on SESA would also be completed⁴ therefore there is ample scope and opportunity to mainstream all the findings from the SESA into the National REDD+ Strategy. The ESMF will incorporate safeguards related to forests, natural habitats, biodiversity, and conservation areas. Further the safeguards and risks mitigation related to *ni-Vanuatu* people, livelihood impacts, physical and cultural resources should be supported by the FGRM and monitoring and evaluation system. There are reasonable assurance the ESMF process and actions will ensure compliance with the common approach and ensure stakeholder engagement and disclosure of information.

8.1 Multi-delivery partner and adherence to environmental and social safeguards

In Vanuatu, the REDD+ Program is implemented with the grant support of FCPF and technical supervision from the World Bank. The relevant guidelines developed by the FCPF are taken on board while implementing the REDD+ readiness implementation. Safeguards Standard developed by UNDP is also fully complied while addressing the safeguards on environmental and social issues. Adherence to safeguards standards developed by all the delivery partners is important not only while implementing the REED+ program but also for other landuse related activities.

⁴ March 2018

8.2 Stakeholder engagement

Many rounds of consultations have been conducted in all REDD+ islands. These consultations were carried out with the support of the (a) Regional Forest Officers who are stationed in the Provinces and (b) CSO representatives from all the REDD+ islands. The members of the CSO at the provinces level comprised of representatives from women groups, youth groups, church and officials representing Forest, Agriculture, Horticulture, Livestock, Fishery and Environment including the officials working for Provincial Administration. At the national level, consultations and discussions are held with the executive members of the national CSO Platform members. The *ni-Vanuatu* people in different islands are continuously informed about the REDD+ program and the benefits that would accrue if the program is implemented as per guidelines.

The REDD+ Unit, Vanuatu, has developed the Communication Strategy and based on this strategy the Consultation and Participation (C&P) plan was developed and the consultations were held as per the C&P plan. The issue-based and topic-specific consultations were held when the following studies were conducted. They are (a) four analytical studies drivers of deforestation and forest degradation, strategy options, legal harmonization concerning carbon rights and commercial landuse, benefits sharing mechanism (b) feedback and grievance redress mechanism and (c) SESA. Besides the above-mentioned consultations, trainings and workshops were also held to brief and update the knowledge of the Forest Department's officials about REDD+.

8.3 Information disclosure

Information disclosure system is continuously strengthened. The Department of Forests Vanuatu is according high priority on information disclosure. The following mechanisms are put in place for information disclosure to the concerned stakeholders. (a) REDD+ website (b) documents (c) extension materials (d) through the CSO Platform Members (e) CSO representatives in the provinces (f) workshops and (g) various types of people-friendly programs in Vanuatu radio and TV. Further the MTR would like to make it clear that information disclosure would be made more accessible and transparent through the improvement of REDD+ website and more programs through radio and TV.

8.4 Grievance and accountability

The study of Feedback and Grievance Redress Mechanism (FGRM) is completed. The report has assessed both the formal and informal FGRM at local and national level including the use traditional and customary grievances and conflicts resolution and management. The report has characterized the likely grievances that might start when the REDD+ activities will be implemented in the field. It is suggested that more refining would be done and the future FGRM will be built on the existing mechanism including the traditional and customary institutions. The report has also identified relevant institutions for the implementation of REDD+ program and assessed their accessibility at local level, the strength of the informal redress mechanism and suggested a plan to continuously improve the FGRM and communicate to the relevant stakeholders. It also suggested a framework for lodging or submitting the grievances through e-mails, letters, phones and also uploading in the website. The recommendations from the report will be implemented as a FGRM system for REDD+ in Vanuatu. However, there is a need to refine the system through consultations with support of all concerned stakeholders.

9. Budget Performance and Financial Plan

Of the total FCPF Grant of **3.6 million USD**, Vanuatu has committed **USD 1,828,640 (51%)** as per Table 9.

Table 9: Budget Performance and Financial Plan

R-PP Components	Total needed	Total pledged	Fund Used		Fund Available	Financing Gap	Request to FCPF
			Fund Committed	Fund Disbursed			
	(A)	(B)	(C)		(B-C)	(A-B)	
Component 1: Readiness Organize & Consult							
1a. National Readiness Management Arrangements	1,828,000	1,690,000	638,534	544,080	1,051,466	138,000	138,000
1b. Information Sharing and early dialogue with key stakeholders	444,000	266,000	196,011	84,019	69,989	178,000	178,000
1c. Consultation and participation process	1,466,000	857,000	400,890	345,266	456,110	609,000	609,000
Sub-Total	3,738,000	2,813,000	1,235,435	973,365	1,577,565	925,000	925,000
Component 2: Preparation of REDD+ Strategy							
2a. Assessment of landuse, landuse change drivers, Forest Law, Policy & Governance	135,000	135,000	157,443	157,443	(22,443)	-	-
2b. REDD+ Strategy Options	555,000	135,000	25,277	25,277	109,723	420,000	420,000
2c. REDD+ Implementation Framework		-	-	-	-	-	-
2d. Social and Environmental Impacts, during the readiness preparation and REDD+ Implementation	572,000	517,000	410,485	100,201	106,515	55,000	55,000
Sub-Total	1,262,000	787,000	593,205	282,921	193,795	475,000	475,000

Component 3: National Forest Reference Emission Level/Forest Reference Level		-					-
National Forest Reference Level	230,000	-				230,000	230,000
Sub-Total	230,000	-				230,000	230,000
Component 4: Design Systems for National Forest Monitoring and Information on Safeguards		-					-
4a. National Forest Monitoring System	770,000	-				770,000	770,000
4b. Information system for multiple benefits, other impacts, governance and safeguards	100,000	-				100,000	100,000
Sub-Total	870,000	-				870,000	870,000
Total	6,100,000	3,600,000	1,828,640	1,256,286	1,771,360	2,500,000	2,500,000
Government		26,190	26,190	26,190	0		
UN-REDD		0	0	0	0		

Note:

1. The restructuring of the REDD+ Project is under progress but fully finalized. Therefore the amount is not reflected in this Table. However the amount for implementing component 3 and 4 mentioned in the Table would be allocated from the savings of other components. (Please see Table 8 for details).
2. FCPF is the sole source of funding for implementing the REDD+ Program in Vanuatu. Government spent USD 26,190 as labour cost while constructing the REDD+ building Vanuatu.

Table 8: Proposed changes in grant allocation as per ongoing FCPF grant restructuring (expected to be completed in January 2018).

Table 10: Proposed changes in grant allocation as per on-going FCPF grant restructuring. (Expected to be completed by January 2018)

	Component/Sub component Title	Original grant	Grant restructuring	
Comp/ Sub- comp	SUPPORT FOR REDD+ READINESS FUNDED BY FCPC, WORLD BANK	Original grant allocation in USD (million)	Proposed new grant allocation in USD (million)	Change in component allocation in USD (million)
1	Institutional Strengthening for REDD+ Management Arrangement at the National and decentralized level	1.30	1.30	
1.1	Set up of Vanuatu National REDD+ Unit and support to REDD+ Technical Committee	0.80	0.80	
1.2	Support to NAB and its PMU	0.42	0.42	
1.3	Support to Provincial REDD+ Committees	0.08	0.08	
2	Strengthening of the stakeholder engagement process at the decentralized level	0.98	0.60	
2.1	Strengthening of the decentralization structures for stakeholder engagement	0.78	0.43	-0.35
2.2	Assessment and strengthening of existing FGRMs for REDD+	0.20	0.17	-0.03
3	Development of REDD+ Strategy for Vanuatu	1.32	0.93	
3.1	Analytical Studies to inform REDD+ Strategy Options	0.27	0.16	-0.11
3.2	SESA process and ESMF development	0.25	0.25	

3.3	Consultation and participation activities	0.80	0.52	-0.28
4	Component 4: Establishment of National Forest Monitoring System in Vanuatu & FRL		0.77	
4.1	Conduct of forest inventory to assess emission and removal factors		0.28	+0.28
4.2	Use of satellite remote sensing to collect and analyze activity data on forest cover and forest cover changes		0.18	+0.18
4.3	Development of Forest Reference Level		0.08	+0.08
4.4	Development of MRV and associated database, training and capacity needs		0.23	+0.23
	TOTAL Grant from FCPF World Bank	3.60	3.60	0

Note:

The background, reasons for restructuring and tentative completion date is given under Component 3 “Forest Reference Level). Please refer that section and Table 10 for details.

10. Request for Additional Funding

With the grant funding of the FCPF many useful REDD+ readiness activities were initiated and implemented in the field. Some of the activities have been completed; some are under progress and two components *i.e.* the development of FRL and NFMS including MRV need to be started. Even though these activities were clearly outlined in the R-PP but because of the fund constraint they could not be started. Now based on the experience of about 21 months in implementing REDD+ readiness activities, it is clear that all these activities which are under progress and also which have not been started need to be continued further.

Further there is a need to institutionalize the program and activities initiated under the present readiness implementation phase into the normal government plans and programs so that the continuity of the Program is maintained. The drivers study has identified the main drivers of deforestation and forest degradation and their underlying causes and they have also been prioritized. Strategy Options to address the drivers and their underlying causes will be mainstreamed in the National REDD+ Strategy and also into national planning process. It is strongly felt that, based on the study of Strategy Options; some of the Strategy Options need to be implemented on business model which will yield long term benefits for the people. Therefore it is suggested to develop a forest business plan and Framework for operationalizing the National REDD+ Strategy to support implementation of Strategy Options in the country.

The NFMS including MRV and FRL are very important activities for managing the forest resources on sustainable footings which will help substantially to increase the overall impacts of the grant and ensure maximum take-up and institutionalization of the REDD+ activities. Implementation of these activities will make a major contribution to the climate change mitigation and adaptation works that have already been started by the Government besides helping in the sustainable management of the forest resources.

The REDD+ Unit, Department of Forests, Government of Vanuatu is requesting an additional grant of **USD 2,500,000** on the basis of the significant progress made so far and the opportunities for consolidation and expansion of activities identified in this MTR. This MTR views the progress made so far in the implementation of REDD+ readiness significant. All the essential ingredients required for taking the activities to their logical completion, as required in the R-PP, have been established and with the Additional Grant the process and implementation momentum will be accelerated. Additional grant budget is very essential for completing many activities and also to initiate new ones including the capacity building of the staffs of Forest Department and other stakeholders including the CSOs/NGOs who are supporting the REDD+ Unit in implementing the REDD+ activities in the field. Brief outline of each components are given below for perusal. For detailed activities that will be implemented, with additional funding, please see Table 11.

9.1 Components for Additional Funding Request

Component 1: Readiness Organization and Consultation

This component will try to address the activities related to national REDD+ management arrangement. The important sub-activities proposed to be implemented are as follows:

- a) Organizational Strengthening in decentralized Offices: This activity will include the following works in the islands. In order to improve the working environment of the Regional Forest Office and CSOs, the existing infrastructure needs to be improved. The existing office buildings which are housing the Regional Forest Offices, in the islands of Tanna and Erromango, are in dilapidated condition. The buildings need refurbishment, at reasonable level, so that the officers and staffs working in these two islands will have reasonable office space for working. After repairing, these building would be able to house the CSO representative also in this building. Communication amongst and between the staffs will be improved paving way for efficient implementation of the program. Structural drawing and design including the budget estimates has been prepared by the Engineer and this activity will be taken-up as an on-going activity. Additional Funding is requested to complete this activity. The activity proposed is (i) renovation of REDD+ office building at Tanna and Erromango islands.
- b) Operation Cost: Fund will be required to fulfill the operating expenses of the REDD+ Unit at the national level as well as at the decentralized level. Therefore Additional Fund is requested to meet this expenditure.
- c) Consultation on FGRM: FGRM system and framework for Vanuatu has been developed with the support of FCPF grant. However the framework and mechanism, recommended in the report, need to be adopted by the concerned Government Departments and Ministry for implementation. Therefore there is a requirement of holding high level policy dialogue workshops and meetings to inform the senior Government officers about the mechanism proposed through the study for adoption. For this, workshops and meetings will be held for briefing as well as getting the feedbacks. Additional Funding will be required to implement this activity.
- d) Communication activities: Information sharing is very important and the Department of Forests Vanuatu has also accorded high priority for this activity. The following channels would be used for information sharing so that the different groups of stakeholders including the *ni-Vanuatu* are well informed about the REDD+ program during this readiness phase. The information sharing media would be radio and television including the REDD+ website. Different short programs, aiming at disseminating and awareness raising related activities will be produced and aired using radio and television. Additional Funding is requested to continue this activity.
- e) Out-reach and awareness raising: This activity will focus on raising the awareness about REDD+ activities through various people-friendly activities like international day of forests, national tree planting activities and showcasing the utilization of non-timber forest products, like wood carved products which people can sell. It will also include activities for raising awareness amongst the teachers in country.

- f) CSO Platform: CSO has been very instrumental in disseminating the REDD+ messages to different stakeholders. The Platform Members (national as well as provincial level) meet regularly and discuss ways and means for taking the REDD+ program further besides awareness raising activities. This activity will be continued further in the coming years. Additional Fund is requested to continue the activity in future.
- g) South-South Cooperation and Learning: (i) Study tours and institutional visits will be organized in the region for forest officers working at the national and provincial level. This will help strengthen the institutional linkages as well as facilitate to learn topic-specific issues from the regions. Additional Funding is requested to implement this activity.
- (ii) Study tours will also be organized for the Members of the National Advisory Body (NAB) with the objectives to sensitize and raise awareness about the REDD+ program to senior officers of the Government. The tour will help strengthen the institutional linkages amongst the senior Government Officials. The study tours will be supplemented by organizing the workshops and meetings. Additional Funding is requested to implement this activity.
- h) Strengthen the Farmers Associations in the Provinces: The land (both agricultural as well as forestlands) are owned by the *ni-Vanuatu* people. They are the owner of the land and the resources growing on the land. Before implementing any land related activities, the people should be consulted and consent obtained from them. This condition is required as per the Constitution of Vanuatu. In this context the Farmers are organized and Associations are formed so that they can be consulted and also obtain feedbacks. The Farmers' Associations need further strengthening through workshops and seminars so that later when the REDD+ activities are implemented they can fully participate in the program. This activity will be implemented in collaboration or by involving the extension services of the Agriculture, Livestock, Horticulture, and Fishery Departments. Additional Funding is requested to implement this activity.

9.2 Component 2: Preparation of National REDD+ Strategy

There are various activities outlined to be implemented under this component. The following activities are proposed to be implemented under this component. They are:

- a) Operationalization of the National REDD+ Strategy: The following studies are planned to operationalize the National REDD+ Strategy. These studies are recommended through the Analytical Studies which were commissioned to inform the National REDD+ Strategy. These studies will add value and strengthen the information-base for the operationalizing the National REDD+ Strategy. Implementing the prioritized Strategy Options like afforestation including various agroforestry models in custom lands and also initiate conservation works and national parks management by involving the local people need to be initiated. In order to achieve this objective the following studies will be initiated (i) develop Action Plan for REDD+ Strategy implementation (b) develop National Landuse Plan and (c) develop forest business plan. Additional Funding is requested to implement the above-mentioned activities.
- b) SESA for REDD+ Activities: Report on Strategic Environmental and Social Assessment (SESA) needs to be produced for all five REDD+ islands. However due to fund constraint, the study could not be carried out for all five REDD+ islands during the current readiness

phase. During the current phase SESA process is planned for three REDD+ islands and with additional funding the works on the remaining two islands will be carried out. This will support to Project to produce report on SESA including the key environmental and social issues related to REDD+. This study will help to produce complete report on SESA and ESMF. Additional Funding is requested to complete the study for the remaining two islands.

9.3 Component 3: Forest Reference Level

Accuracy assessment of the maps and data produced through remote sensing is important to assess the forest area and forest area change within the designated reference period for FRL. It is, therefore, very important to generate accurate and consistent data, across time, on these parameters. The vegetation and forest type maps produced during the current phase needs assessment in terms of its accuracy. Future inventory will be carried out as part of the regular mandate of the Forest Department activities and ensure regular flow of information. The Additional Funding requested will be used to support this activity including building capacity of the Forest Department staffs in carrying out accuracy assessment in future.

9.4 Component 4 National Forest Monitoring System and Information Safeguards

During the current phase of the readiness implementation, there is plan for conducting national forest inventory with the FCPF grant. However the available fund will not be able to support inventory in all the islands therefore additional fund is requested to support forest inventory in all the islands.

Furthermore in order to establish sound MRV and FRL system in the country, forest inventory for all the major islands will be conducted which will help to produce statistically sound vegetation and forest types maps of the country giving a good representation of the entire country. Additional funding resources will be utilized to support (i) up-gradation and operationalization of MRV System (ii) conduct forest inventory in all the remaining islands (iii) up-gradation of the database system (iv) capacity building and strengthening of national forest monitoring system (v) development of safeguards information system. The fund will also be required for meeting the additional cost of engaging expert for carrying out additional inventory works in other islands. Additional funding is requested to fund these activities.

Component and Sub-component wise breakup of the fund and activities for Additional Funding (Amount in USD)

The activities proposed to be carried out with Additional Funding are given in Table 11.

Table 11: Component-wise break-up of the fund.

Components/Sub-Components	Activity No.	Activities	2018	2019	2020	Total
Component 1: Organize and Consultation						
National REDD+ Management Arrangement	1a	Organizational strengthening in decentralized offices (Tanna and Erromango)	40,000	-	-	40,000
	1a	Operating Cost	30,000	30,000	30,000	90,000
	1a	Consultation on FGRM	8,000	-	-	8,000
		Sub Total	78,000	30,000	30,000	138,000
Information Sharing and Early Dialogue with Key Stakeholder Groups	1b	Communication Activities	60,000	60,000	58,000	178,000
		Sub Total	60,000	60,000	58,000	178,000
Consultation and Participation	1c	Outreach and Awareness Raising	63,000	63,000	63,000	189,000
	1c	CSO Platform	10,000	10,000	10,000	30,000
	1c	South-South-Cooperation and Learning	40,000	40,000	40,000	120,000
	1c	Strengthen Farmers' Associations at Provincial level	90,000	90,000	90,000	270,000
		Sub Total	203,000	203,000	203,000	609,000
Component 2: REDD+ Strategy Preparation						

REDD+ Stratgy Options	2b	Operationalization of the National REDD+ Strategy: Development of a) Action Plan for REDD+ Strategy implementation, b) National Landuse Plan, and c) Forest Business Plan	260,000	160,000	-	420,000
Social and Environmental Impacts during readiness preparation	2d	SESA for REDD+ Activities- Consultation of development of situational analysis for the islands of Malekula and Tanna islands	55,000	-	-	55,000
		Sub Total	315,000	160,000	-	475,000
Component 3: National Forest Reference Emission Level/or a Forest Reference Level						
National Forest Reference level	3	Carry out accuracy assessment including research and consultation to integrate FRL in sub-national level planning and implementation	200,000	-	-	200,000
	3	Capacity building training for remote sensing and accuracy assessment	10,000	10,000	10,000	30,000
		Sub Total	210,000	10,000	10,000	230,000
Component 4: Design Systems for National Forest Monitoring and Information on Safeguards						
National Forest Monitoring and Information System for Multiple benefits, other Impacts, governanace and safeguards	4a	Upgrades and operationalization of MRV system	250,000	-	-	250,000
	4a	Carry out Forest Inventory in all the remaining islands	340,000	-	-	340,000
	4a	Database system upgrade	150,000	-	-	150,000

	4a	Capacity building & strengthen National Forest Monitoring system both at National and Provincial level	30,000	-	-	30,000
	4b	Development of Safeguard Information System	100,000	-	-	100,000
		Sub Total	870,000	-	-	870,000
		Grand Total	1,736,000	463,000	301,000	2,500,000

Table 12: Activities proposed under components 3 and 4 after restructuring the FCPF grant vis a vis the deliverables.

SI No	Tasks	Deliverables ⁵	Schedule (Time frame)
1. Desk Review			
	Inception Report including Work Plan	Inception Report and Work Plan. Final work plan for consultancy. (Validated and agreed by TC and REDD+ Unit). (Inception Report) .	Within 4 weeks
	Situation Analysis (Review and revise data/information and develop final work plan).	Situational Analysis on existing forest data, information including gap analysis, stakeholder analysis and alternative options for a way forward for the issues identified. (Report to be submitted to TC and REDD+ Unit) .	Within 3 Months
2. National Forest Inventory			
	Refresher Course	Refresher Course: The consultant shall, in collaboration with Forest Department, conduct a week-long Refresher Course for the inventory crews. This should be done before starting the field works.	6 weeks
	Design and implementation of forest inventory for collection of field data on forest biomass and carbon pools for estimating the emission and removal factors.	Forest Inventory: stratification, sampling approach, sample frame, sampling unit, lay out of sample plots, pilot test of sample frame and conduct of field forest inventory to measure biomass and carbon pools in the field for estimation of emission and removal factors) It includes preparation, training, mapping work, field work for measurement of sample plots and collection of data for estimation of emission factors and data storage, analysis, quality assurance, uncertainty assessment, recommendations for review. Note: Analyzed inventory result containing (a) carbon stocks by pools, strata and REDD+ islands (b) stock change over time period (c) calculation of uncertainties across pools and strata (d) emission and removal factor estimates should confirm to the tier 2 requirements.	Within 9 months (field work including report preparation)

⁵ For deliverables, please also see the details given under each task.

3.	Activity Data of Forest Resources based on Remote Sensing and GIS		
	Remote Sensing (to generate activity data)	Activity Data should be generated by using Remote Sensing method and complies with the IPCC Approach 3 for generating activity data, and accuracy assessment should be used to update the activity data. The work on remote sensing should be done simultaneously with the forest inventory. Note: Report on Activity data should cover the detailed analysis of land use and land cover change; maps of land cover change and accuracy assessment and updates to activity data based on accuracy assessment.	Within 10 months including production reports, maps etc.
4.	Development of National Forest Reference Level (FRL)		
	Methodology Development for FRL FRL Construction	(a) National Forest Reference Level (FRL) to be designed and established for three main REDD+ activities, for the period 2005-2015. (b) Integration of sub-national FRL with the provision to aggregate sub-national FRL with National FRL that satisfies UNFCCC Warsaw Framework requirements. (Report on national FRL to be produced).	Within 12 Months
5.	National Forest Monitoring system		
	Development of a National Forest Monitoring System (NFMS). This includes Monitoring, Measuring, Reporting and Verification (MRV) of carbon emissions and removals.	(a)Development of methodology for NFMS including MRV: A well documented MRV Methodology should be developed for monitoring, measurement, reporting and accounting of REDD+ emissions and removals and subsequently monitoring and reporting periodic emissions and removal estimates. The methodology should be validated by REDD+ Unit, TC and FCPF. (b)National Forest Monitoring System Established Establish NFMS that integrates FRL, MRV, SIS, and biodiversity information system.	Within 14 months after signing the contract agreement.
6.	Database Development		
	Database development including Identification of database specifications and location	Database should be developed and established which should be ready to receive inputs from the field work. Should be accessible to designated persons in Forest Department and other relevant agencies.	

	Database establishment suitable for reporting REDD+ activities including biodiversity	Database should be developed and established which should be ready to receive inputs from the field work. Should be accessible to designated persons in Forest Department and other relevant agencies. (Functional Database to be established).	Within 16 months after signing the contract agreement.
7. Quality Assessment/Quality Control			
	Documentation of all work steps, decision-making, implementation, and analysis	Set of SOPs that cover all work aspects of the consultancy and include the QA / QC measures validated and disclosed. (Report with SOP and QA/QC procedures)	Completed within 18 months after signing the contract agreement
8. Capacity Development Plan			
	Capacity assessment for relevant stakeholders involved in each task, capacity building plan	Capacity development Plan for each task. Stakeholders involved in implementation of NFMS including MRV, FRL implementation and database management in future. The stakeholders should be able fulfill their responsibilities in future. (Plan/Report on capacity development)	First draft to be presented within 15 months of contract signing. Final version, after incorporating the comments, to be submitted within 18 months after signing the contract agreement.

11. References

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2. Analytical Studies for Reducing Emissions from Deforestation and Forest Degradation (REDD+) Project in Vanuatu- Work Plan and Inception Report
3. Annual Progress Report, REDD+ Project Vanuatu, for 2015 to 2016
4. Annual Progress Report, REDD+ Project Vanuatu, for 2016 to 2017
Assessment Note
5. Consultancy Services for Vanuatu REDD+ Strategic environmental and social assessment- Inception Report, Institute of Applied Sciences/ University of South Pacific, Fiji
6. E-mails and personal communications with World Bank Mission Team Members
7. Forestry Act of Vanuatu
8. National Forest Policy of Vanuatu
9. Personal communications and discussions with REDD+ Unit, Forest Officials, Department of Forests, Vanuatu.
10. Policy Brief: Reducing emissions from deforestation and forest degradation (REDD+) in Vanuatu-Strategy Options for the national REDD+ Strategy.
11. Policy Brief: Reducing emissions from deforestation and forest degradation (REDD+) in Vanuatu (Addressing the drivers of deforestation and forest degradation)
12. Proposed Project Restructuring for Reducing Emission from deforestation and forest degradation (REDD+) of Vanuatu
13. Study Report on feedback and grievance redress mechanism, REDD+ Project Vanuatu.
14. Terms of Reference for Development and Establishment of Forest Reference Level (FRL), Monitoring, Reporting and Verification (MRV) and Database Design for forest lands in Vanuatu
15. Terms of Reference for the Strategic Environmental and Social Assessment (SESA) for Reducing Emissions from deforestation and forest degradation in Vanuatu.
16. Vanuatu Readiness Preparation Proposal (R-PP Vanuatu)

11. Annexures

Annexure 1

Table 13: Details of Workshops and Capacity building Program under FCPF REDD+ Readiness Program

Name of the Workshops	Target Audience	Dates		Number of Participants	
		From	To	Male	Female
Tanna REDD+ PTC Establishment & Training Workshop	Tafea PTC Members	7 th /12/15	11 th /12/15	13	9
Malekula REDD+ PTC Establishment & Training Workshop	Malampa PTC	7 th /12/15	10 th /12/15	15	5
Efate REDD+ PTC Establishment & Training Consultation	Shefa PTC	9 th /12/15	12 th /12/15	20	10
Santo REDD+ PTC Establishment & Training Workshop	Sanma PTC Members	14 th /12/15	18 th /12/15	17	6
Erromango REDD+ PTC Establishment & Training Consultation	Erromango PTC	22 nd /03/16	26 th /03/16	22	9
REDD+ Key Message Workshop	Forestry Staff	14 th /04/16	14 th /11/16	5	5
Malekula REDD+ PTC Capacity Building and Consultation	Malekula PTC	04 th /10/16	7 th /10/16	12	8
Santo REDD+ PTC Capacity Building and Consultation	Santo PTC	20 th /10/16	21 st /10/16	16	7
Efate REDD+ PTC Capacity Building and Consultation	Efate PTC	7 th /11/16	11 th /11/16	14	3
Tanna REDD+ PTC Capacity Building and Consultation	Tanna PTC	15 th /11/16	17 th /11/16	15	2
Erromango REDD+ PTC Capacity Building and Consultation	Erromango PTC	15 th /11/16	15 th /11/16	9	5

Annexure 2

Table 14: Awareness raising workshops, meetings, conducted by the REDD+ Team to various stakeholders in different islands

SI No	Descriptions	2015	2016	2017	Participants	
					Male	Female
1	Technical Committee Meetings	1	2	1	36	7
2	Ad-hoc (Core Working Group)	3			19	6
3	PTC Executive Committee Meetings		5	5	35	12
4	Awareness raising to Members of Presbyterian Church		2	1	520	468
5	Awareness raising to PTC Members and CSOs Executive Committee Members in all five REDD+ islands			5	53	26
6	REDD+ and RFO and Dof Meetings		1		11	7
	Total				674	526

Annexure 3

Table 15: Consultation workshops hold by the REDD+ Project (CSO). The target audiences were farmers, church leaders, chiefs, and land owners.

Name of the Workshops	Target Audience	Dates		Number of Participants	
		From	To	Male	Female
CSOs Community Based REDD+ Consultation & Outreach on Luganville, Santo Island. Sanma Province	Farmers, Chiefs, Women, Youth, Church Leaders & Land owners	9th May 2016	13th May 2016	27	8
CSOs Community Based REDD+ Consultation & Outreach on Lakatoro, Malekula Island. Shefa Province	Farmers, Chiefs, Women, Youth, Church Leaders & Land owners	20th June 2016	24th June 2016	29	10
CSOs Community Based REDD+ Consultation & Outreach on Epule, Efate Island. Shefa Province	Farmers, Chiefs, Women, Youth, Church Leaders & Land owners	14th August 2016	19th August 2017	46	10
CSOs Community Based REDD+ Consultation & Outreach on Lenakel, Tanna Island. Tafea Province	Farmers, Chiefs, Women, Youth, Church Leaders & Land owners	24th October 2016	28th October 2016	39	11
CSOs Community Based REDD+ Consultation & Outreach on Bongil, Erromango Island. Tafea Province.	Farmers, Chiefs, Women, Youth, Church Leaders & Land owners	17th February 2017	18th February 2017	29	7
National Tree Planting Day on 5 REDD+ Strategic islands (Santo, Malekula, Efate, Tanna & Erromango)	CSO Platform members on islands, Farmers, Faith Based Groups Leaders, women, youth groups, Women, Landowners	21st June 2017		1,482 Males from all five REDD+ Strategic islands in Vanuatu had participated.	1,204 Females – both women & girls from all five REDD+ Strategic islands in Vanuatu had participated.
National Forestry Week – Has been implemented on all REDD+ Strategic islands in Vanuatu.	Minister of Agriculture, Forestry, Fisheries, Livestock & Biosecurity,	21st August 2017	25th August 2017	450 Males	350 Males

	Minister of Lands, National Government Stakeholders, NGOs & CSOs, CSO REDD+ Platform members on islands, Farmers, Faith Based Groups Leaders, women, youth groups, Women, Landowner				
National CSO REDD+ Platform Meetings – Quarterly Meetings in each year	Chairlady, Vice Chairman, Secretary & Members	20th September 2017	21st September 2017	6 Males	5 Females

Annexure 4

Table 16: Meetings, Trainings, CSO Platform Meetings, conducted by REDD+ CSO

Name of the Workshops	Target Audience	Dates		Number of Participants	
		From	To	Male	Female
CSO Executive Meetings with Live and Learn and REDD+	CSO Members	16 th March 2016		12	5
National CSO Platform Meeting	National CSO Platform Members	21 st March 2016		12	5
CSO Provincial Training on REDD+	CSO Representatives from Santo, Malekula, Efate, Erromango and Tanna	30 th March 2016	1 st April 2016	20	6
National CSO Platform Meeting	National CSO Platform Members	14 th April 2016		3	7
National CSO Platform Meeting , Port Vila	National CSO Platform Members	9 th June 2016		10	5
National CSO Platform Meeting in Vila	National CSO Platform Members	20 th September 2016		4	7

Annexure 5

Table 17: CSO Network Meetings in various REDD+ Islands for Awareness Raising and sensitization for the Farmers' Network Members. Conducted by the REDD+ CSO coordinator

Name of the Workshops	Target Audience	Dates		Number of Participants	
		From	To	Male	Female
Santo CSO REDD+ Network Executive Committee	Executive Committee Members	3 rd April 2017		5	2
Santo CSO REDD+ Network Executive Committee Meeting	Executive Committee Members	24 th April 2017		5	2
National CSO REDD+ Platform Meeting	Executive Committee Members	7 th June 2017		7	5
Malekula CSO REDD+ Network Executive Committee Meeting	Executive Committee Members	12 th June 2017		6	3
Tanna CSO REDD+ Network Executive Committee Meeting	Executive Committee Members	14 th June 2017		6	2
Erromango CSO REDD+ Network Executive Committee Meeting	Executive Committee Members	18 th June 2017		7	4
Santo CSO REDD+ Network Executive Committee	Executive Committee Members	14 th September 2017		4	2
Efate CSO REDD+ Network Executive Committee Meeting	Executive Committee Members	21 st Sept 2017		6	4

Annexure 6

Table 18: Awareness Raising Training workshop conducted by the REDD+ Project with the financial support of GIZ, Fiji

Day	Dates	Particulars	Participants	
			Male	Female
1	12th July 2017	Revisit the REDD+ key messages for fine tune and also raising awareness for the Forest Officials	8	4
2	13th July 2017	Awareness raising workshop on REDD+ program for the Vanuatu Teachers Union and Vanuatu Christian Council	2	2
3	14th July 2017	Awareness raising on REDD+ program for private sector, forestry professionals and wood based industry people.	6	1