REDD+ Readiness

Draft Readiness Package Assessment Framework

Global Action Plan Workshop for Indigenous Peoples and Southern
Civil Society Organizations
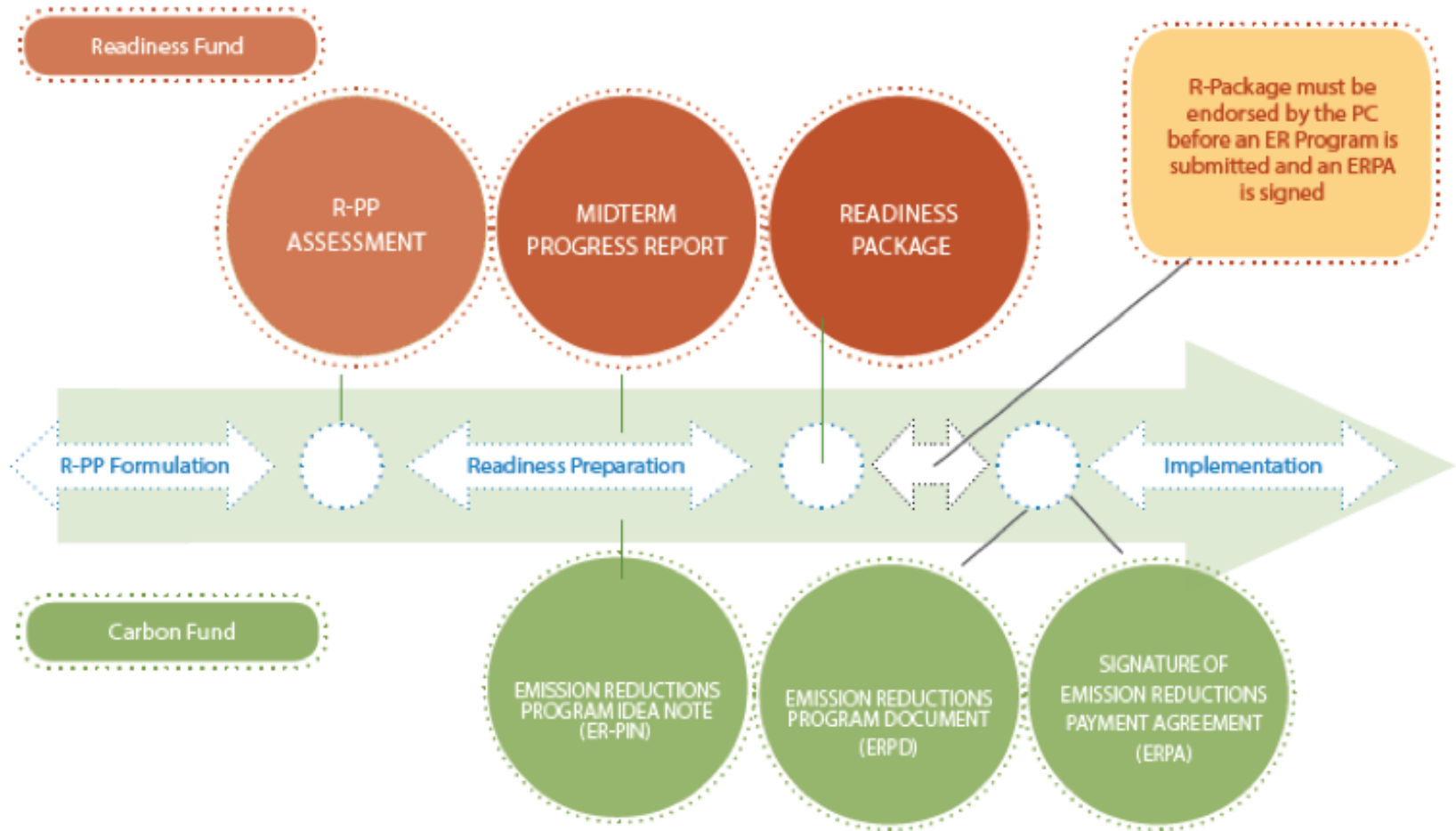
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Goals of this presentation

– Provide an overview of the Readiness Package (R-Package)

– Provide an update on the development of the R-Package Assessment Framework

– To seek feedback on the draft Assessment Framework

R-Package is a milestone in the Readiness Preparation Process

The Readiness Package

- **Purpose**
  - Assess progress on readiness preparation
  - Demonstrate commitment to REDD+
  - Generate feedback and guidance to countries towards Readiness

- **Scope**
  - All readiness preparation activities (nine subcomponents)

- **Two stage assessment followed by PC endorsement**
  - (i) National multi-stakeholder self-assessment
  - (ii) PC assessment (with TAP input)

Development of the Assessment Framework

- **FMT Note 2011-14 (Dec 2011)**
  - Early FMT proposal based on R-PP review approach (standards-based)
  - Feedback and views discussed at PC11

- **FMT Note 2012-10 (Oct 2012)**
  - Proposed draft readiness assessment approach and country self-assessment process
  - Considered previous comments from FCPF Participants and Observers
  - Incorporated lessons learned and approaches of existing and relevant practices of self-assessment
  - Feedback and views discussed at PC12 and 13

- **Revised FMT Note for PC14 (Mar 2013)**
  - Incorporate insights from feasibility discussions, feedback from expert technical review, and submissions/further comments from Participants and Observers

  » *Submit to PC14 for review and approval*

Assessment Framework

- For each R-Package subcomponent (9), the assessment framework provides:
  - **Rationale**
    - Describes the role and function of subcomponent activities in the readiness process
  - **Assessment criteria** (35)
    - Capture core aspects related to each subcomponent
  - **Diagnostic questions**
    - Capture desired outcome of readiness preparations activities
  - **Guidance notes**
    - Provide guidance, good practice examples, and references

  » *Countries are assessed against the 9 subcomponents and 35 related assessment criteria*

  » *The rationale, diagnostic questions and guidance notes help countries identify what to consider when addressing the criteria and information/documentation to support and inform the assessment*

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- For each subcomponent
  - **Progress indicators** convey a synthesis of the overall achievement

Green	'significant progress'
Yellow	'progressing well, further development required'
Orange	'further development required
Red	'not yet demonstrating progress'

  - Description of **significant achievements** and **areas requiring further development**
  - **Actions** that address identified areas for further work

Multi-stakeholder self-assessment:
•A participatory and inclusive process
•Building on existing structures, platforms and protocols created for REDD+ (e.g. Strategic Environmental and Social Assessment (SESA)) and existing procedures for M&E
•Conducted through national, regional and/or thematic workshop(s), working group(s), etc.
•Led by the country's established REDD+ management body
•Final R-Package is disseminated and validated before submission to PC

TAP may observe multi-stakeholder assessment process

R-Package consisting of:
• Summary of the readiness preparation process
• Key outcomes for 9 readiness subcomponents
• Report of the self-assessment process
• Annexes with supporting documentation (REDD+ Strategy, Environmental and Social Management Framework, REL/RL, MRV, etc.)

Technical Advisory Panel:
• Reviews comprehensiveness and transparency of R-Package and multi-stakeholder process

Delivery Partner

TAP Assessment Report
• Provides targeted feedback and technical guidance

Annual or final grant report from Delivery Partner

Participants Committee (PC):
• Considers the R-Package with a view to adopting a resolution endorsing it

Assessment Process

- **M&E**
  - Country level reporting
    - Annual reporting
    - Mid-term review
    - R-Package
  - Delivery Partner reporting

- **R-Package**
  - *Participatory and consultative processes were used throughout the readiness process, and informed readiness activities*

  - Assessment Framework
    - Core aspects of readiness captured in subcomponents, in assessment criteria and diagnostic questions (mirrored in country level reporting)
  - Assessment Process
    - Foundation: a participatory and inclusive process at the national level
    - In addition, there are numerous additional entry points for any outstanding issues to be picked up- TAP review, Delivery Partner Reports, participation at the PC

Feedback from feasibility discussions

- Support for the general approach: Assessment Framework and Assessment process

  —In particular, the flexibility to apply the framework and perform the assessment in a manner appropriate to the country-specific context

- Not meaningful to provide detailed, step-by-step instructions on how to perform a self-assessment

  —Minimal guidance in conjunction with regular communication with the FMT is sufficient to guide the self-assessment process

- R-Package assessment framework could be an important input as countries reach mid-term to consider the readiness components they are striving for to gauge readiness progress

  —Indonesia: drafting a roadmap to for preparing the R-Package

  —DRC: using the R-Package to inform national REDD+ management restructuring

- An agreed framework is needed to guide countries readiness implementation and further refinements may be required

  —informed additional field-testing, incorporating lessons learned or as new guidelines become available

Next steps and actions

- Finalize remaining inputs (this week)

- Publicly available in EN/SP/FR early Mar (2 weeks before PC14)

- Draft assessment framework submitted to PC14 for review and approval

- Going forward, the FMT will:
  - Promote/facilitate countries' understanding of the R-Package
  - Support countries in preparing for and applying the assessment framework
  - Keep track of and report back on lessons learned

  » *Further refinements to the assessment framework may be required as further guidance (i.e. UNFCCC) or lessons and experiences from applying the framework become available*

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Assessment Process

Proposed Assessment Criteria

Component/Subcomponent	Assessment Criteria
1. Readiness Organization and Consultation	
1a. National REDD + Management Arrangements	1. Accountability and transparency 2. Operating mandate and budget 3. Coordination with national or sector policy frameworks 4. Technical supervision capacity 5. Funds management capacity 6. Feedback and grievance redress mechanism
1b. Consultation, Participation, and Outreach	7. Engagement of key stakeholders 8. Consultation processes 9. Information sharing and accessibility of information 10. Implementation of consultation outcomes
2. REDD+ Strategy Preparation	
2a. Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance	11. Assessment and analysis 12. Prioritization of direct and indirect drivers/barriers to forest enhancement 13. Links between drivers/barriers and REDD+ activities 14. Action plans to address natural resource rights, land tenure, governance 15. Implications for forest law and policy
2b. REDD+ Strategy Options	16. Selection and prioritization of REDD+ strategy options 17. Feasibility assessment 18. Consistency with other policies 19. Integration with relevant strategies and policies

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Assessment Criteria cont.

Component/Subcomponent	Assessment Criteria
2. REDD+ Strategy Preparation cont.	
2c. Implementation Framework	20. Adoption of legislation and regulations 21. Transparent and equitable framework 22. National REDD+ information system or registry
2d. Social and Environmental Impacts	23. Analysis of safeguard issues 24. REDD+ strategy design with respect to impacts 25. SESA coordination and integration arrangements 26. Environmental and Social Management Framework
3. Reference Emissions Level/Reference Level	27. Demonstration of methodology 28. Use of historical data, and adjusted for national circumstances 29. Consistency with UNFCCC/IPCC guidance and guidelines
4. Monitoring System for Forests and Safeguards	
4a. National Forest Monitoring System	30. Documentation of monitoring approach 31. Demonstration of early system implementation 32. Institutional arrangements and capacities – Forest Monitoring System
4b. Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards	33. Identification of non-carbon aspects 34. Monitoring, reporting and information sharing 35. Institutional arrangements and capacities – Safeguards Information System

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Subcomponents for discussion:

- 1b) Consultation, Participation and Outreach

- 2a) Assessment of Land-Use, Land Use Change Drivers, Forest Law, Policy and Governance

- 2b) REDD+ Strategy Options

- 2c) Implementation Framework

- 2d) Social and Environmental Impacts

- 4b) Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards

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Subcomponent 1b. Consultation, Participation and Outreach

Assessment criteria and diagnostic questions:

7) Engagement of key stakeholders

- How is the full, effective and on-going participation of key stakeholders demonstrated?

8) Consultation processes

- What evidence demonstrates that consultation processes at the national and local levels are clear, inclusive, transparent, and facilitate timely access to information in a culturally appropriate form?

9) Information sharing and accessibility of information

- How have national REDD+ institutions and management arrangements demonstrated transparent, consistent and comprehensive sharing and disclosure of information (related to all readiness activities, including the development of REDD+ strategy, reference levels, and monitoring systems)?

- What evidence is there that information is accessible and is being received by stakeholders?

10) Implementation of consultation outcomes

- How are the outcomes of consultations disseminated and taken into account in management arrangements, strategy development and technical activities related to reference level and monitoring systems development?

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

11) *Assessment and analysis*
   – Does the summary of the work conducted during the R-PP formulation and implementation phases for this component present a complete, comprehensive and accurate (to the extent possible) analysis of recent historical land use trends and assessment of relevant land tenure, natural resource rights, forest law, policy and governance issues?

12) *Prioritization of direct and indirect drivers/barriers to forest enhancement*
   – How was the analysis used to prioritize key direct and indirect drivers to be addressed by the programs and policies included in the REDD+ strategy?
   – Did the analysis consider the major barriers to forest enhancement activities (if appropriate) to be addressed by the programs and policies included in the REDD+ strategy?

13) *Links between drivers/barriers and REDD+ activities*
   – What evidence demonstrates that systematic links between key drivers, and/or barriers to forest enhancement activities (as appropriate), and REDD+ activities were identified?

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

15) *Implications for forest law and policy*
   – Does the assessment identify implications for forest law and policy in the long-term?

Subcomponent 2b. REDD+ Strategy Options

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

   – Were REDD+ strategy options (prioritized based on comprehensive assessment of direct and indirect drivers of deforestation, barriers to forest enhancement activities and/or informed by other factors, as appropriate) selected via a transparent and participatory process?

17) *Feasibility assessment*

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

18) *Consistency with other policies*

   – Have major inconsistencies between the priority REDD+ strategy options and policies or programs in other sectors (e.g., transport, agriculture) been identified?

19) *Integration with relevant strategies and policies*

   – Is an agreed timeline and process is in place to resolve inconsistencies and integrate REDD+ strategy options with relevant development policies?

Subcomponent 2c. Implementation Framework

20) *Adoption of legislation and regulations*
   - Have necessary legislation and/or regulations related to REDD+ programs and projects have been adopted?

21) *Transparency and equity*
   - What evidence is there that the implementation framework is operating in a transparent and equitable manner, and defines e.g., the process for participation in programs, carbon rights, benefits sharing/distribution of benefits, REDD+ financing mechanism/financial architecture and financing modalities, procedures for official approvals, monitoring systems and grievance mechanisms?

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

Subcomponent 2d. Social and Environmental Impacts

23) *Analysis of safeguard issues*
   - What evidence is there that applicable safeguard issues have been fully identified/analysed via relevant studies or diagnostics?

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

25) *SESA coordination and integration arrangements*
   - Are the necessary institutional arrangements for coordinating the integration of environmental and social considerations into the REDD+ process in place?

26) *Environmental and Social Management Framework*
   - What evidence is there that the ESMF is in place and managing environmental and social risks/potential impacts?

33) *Identification of non-carbon aspects*

–   How have priority non-carbon aspects of REDD+ implementation been identified?

34) *Monitoring, reporting and information sharing*

–   What evidence is there that a transparent system for periodically sharing consistent information on non-carbon aspects/safeguards has been presented and is in at least an early operational stage?

–   How is the following information being made available: key quantitative and qualitative variables about impacts on rural livelihoods, conservation of biodiversity, ecosystem services provision, key governance factors directly pertinent to REDD+ implementation, and the implementation of safeguards, paying attention to the specific provisions included in the ESMF?

35) *Institutional arrangements and capacities*

–   Are mandates to perform tasks related to non-carbon aspects/safeguards clearly defined?

–   Have associated resource needs been identified and estimated (e.g., required capacities, training, hardware/software, and budget)?