

TAP Review of the Readiness Package submitted by Burkina Faso

Independent TAP Expert Review on the Self-assessment Process of Burkina Faso's R-Package

November 2022

CONTENTS

- 1. OBJECTIVES..... 4
- 2. METHODOLOGY..... 4
- 3. TAP REVIEW..... 5
- 3.1. Review of self-assessment process and documentation 5
- 3.2 Review of Progress on REDD+ Readiness 7
 - Component 1: Readiness, Organization and Consultation 7
 - Sub-Component 1a: National REDD+ Management Arrangements (Criteria 1-6) 7
 - Accountability and Transparency (Criterion 1: **GREEN**); Operating Mandate and Budget (Criterion 2, **YELLOW**); Multi-sector coordination mechanisms and cross-sector collaboration (Criterion 3: **GREEN**)
 - Technical supervision capacity and Fund management capacity (Criterion 4-5: **GREEN**) 7
 - Feedback and grievance redress mechanism (criterion 6: **YELLOW**) 9
 - Sub-component 1b: Consultation, participation and outreach (Criteria 7-10) 10
 - Participation and engagement of key stakeholders (criterion 7: **GREEN**), Consultation process, criterion 8: **YELLOW**), 10
 - Criteria 9 and 10 Information sharing and accessibility of information; implementation and public disclosure of consultation outcomes (**GREEN**) 11
 - Component 2: REDD+ Strategy Preparation 12
 - Sub-component 2a: Assessment of Land Use, Land-use change drivers, Forest Law, Policy and Governance (criteria 11-15)..... 12
 - Assessment and analysis, Prioritization of direct and indirect drivers/barriers to forest carbon stock enhancement, Links between drivers/barriers and REDD+ activities, (criteria 11-13: **GREEN**) 12
 - Action plans to address natural resource rights, land tenure, governance (criterion 14: **GREEN**) and Implications for forest law and policy (criterion 15: **GREEN**) 14
 - Sub-component 2b. REDD+ Strategy Options (criteria 16-18) 15
 - Selection and prioritization of REDD+ strategy options, Feasibility assessment (criteria 16-17: **GREEN**) and Implications of strategy options (criterion 18: **GREEN**)..... 15
 - Sub-component 2c. Implementation framework (criteria 19-22)..... 16
 - Adoption and implementation of legislation/regulations (19: **GREEN**), Guidelines for implementation (20: **GREEN**), Benefit sharing mechanism (21: **YELLOW**) 16
 - National REDD+ registry and system monitoring REDD+ activities (criterion 22: **GREEN**) 17
 - Subcomponent: 2d. Social and Environmental Impacts (criteria 23-25)..... 18
 - Analysis of social and environmental safeguards issues, REDD+ strategy design with respect to impacts, Environmental and Social Management Framework (criteria 23: **YELLOW**, 24: **ORANGE**, 25: **ORANGE**) .. 18
 - Component 3: Reference Emissions Level/Reference Level (criteria 26-28) 19
 - Demonstration of methodology; Use of historical data, adjusted for national circumstances; Technical feasibility of the methodological approach and consistency with UNFCCC/IPCC guidance and guidelines (criteria 26-28: **GREEN**)..... 19
 - Component 4. Monitoring systems for Forests, and Safeguards 20
 - Sub-component 4a: National Forest Monitoring System (criteria 29-31)..... 20
 - Documentation of monitoring approach, Demonstration of early system implementation, (criteria 29-30: **GREEN**) Institutional arrangements and capacities (criterion 31: **GREEN**)..... 20
 - Sub-component 4b: Information systems for multiple benefits, other impacts, governance and safeguards (criteria 32-34) This part of the Readiness Assessment Framework focuses on how data on other aspects of REDD+ implementation is collected and shared. 21
 - Identification of relevant non-carbon aspects and social and environmental aspects (criterion 32: **GREEN**)
 - Monitoring, reporting and information sharing, Institutional arrangements and capacities (criteria 33-34: **GREEN**) 21

4. SUMMARY ASSESSMENT AND RECOMMENDATIONS	23
a. Overall REDD+ Readiness progress	23
b. Self-assessment process	23
c. Overall assessment and recommendations	23
5. REFERENCES AND BACKGROUND DOCUMENTS	24

1. Objectives

This report has two objectives:

- To provide an independent technical review of the REDD+ Readiness Package (R-Package) elaborated by the Republic of Burkina Faso (hereafter: Burkina Faso) and of the Self-Assessment Process that of Burkina Faso conducted to develop its R-package
- To inform the FCPF Participants' Committee decision regarding endorsement of the R-Package

2. Methodology

This chapter presents the scope of the work performed for the TAP review, as per the Terms of Reference provided by the World Bank:

- Desk review of Burkina Faso's R-Package report, based on the guidelines provided in the R-Package Assessment Framework, and of the key documents supporting the R-Package report (National REDD+ strategy, draft Strategic Environmental and Social Assessment, Forest Reference Levels and Monitoring, Reporting and Verification System, among others)
- Desk review of Burkina Faso's documentation regarding the self-assessment process, including stakeholder involvement
- Provision of targeted feedback and recommendations for moving forward with REDD+ Readiness

The TAP assessment reviewed the R-Package provided in French in October 2022, which includes the following sections:

- i. A summary of the REDD+ readiness preparation process
- ii. A report of the national multi-stakeholder self-assessment process
- iii. The results of the national multi-stakeholder assessment; and
- iv. References to the key supporting documents for each of the nine REDD+ Readiness sub-components

The TAP assessment is presented in three parts:

- Review of Burkina Faso's self-assessment process and documentation, as contained in of Burkina Faso's R-Package (Chapter 3.1)
- Review of Burkina Faso's progress on REDD+ readiness, based on the R-Package submitted as well as supporting documentation referenced in the R-Package, for each of the REDD+ Readiness sub-components (Chapter 3.2)
- Summary Assessment and Recommendations (Chapter 4)

3. TAP Review

Burkina Faso submitted the French version of the REDD+ Readiness Package (R-Package) report, which was prepared according to FCPF's 2013 Readiness Assessment Framework, to the FCPF in October 2022. The main body of the R-Package report provides a summary of the REDD+ Readiness process, and of the country's progress with reference to the four REDD+ Readiness components.

3.1. Review of self-assessment process and documentation

Background

This section reviews the process that Burkina Faso followed to conduct its multi-stakeholder self-assessment. The TAP review is based on the description of the self-assessment process contained in the R-Package report, and on referenced supporting documents. The review considers the documentation prepared for the assessment, the process for selecting and involving stakeholders, and for reflecting their opinions in the R-Package report.

From 2011, the Forest Investment Program (FIP) supported Burkina Faso under condition of engagement in the REDD+ process. In 2013, the FCPF PC adopted Burkina Faso's readiness plan. Both FIP and FCPF REDD+ preparations were simultaneously developed since that time, so that REDD+ subnational level coincides with that of FIP. REDD+ pilot projects, in particular in 32 Communes (5 regions) were a key feature of FIP. REDD+ institutions have been mostly developed at that particular level. Burkina Faso has engaged in numerous multi-stakeholder consultations on different REDD+ components and sub-components since 2013. The current TAP review is based on the REDD+ Readiness Package (R-Package) document prepared for FCPF by Burkina Faso and on the supporting documents referenced in the R-Package, which are available from Burkina Faso's REDD+ website (<http://www.pif-burkina.org>). The review does not cover the country's full REDD+ process from 2013 onwards but has an emphasis on process development since 2017 (mid-term review) up to and including R-Package preparation.

It is important to note that the national political and institutional context for Burkina Faso's REDD+ Readiness process has been stable between 2016 and 2021 with major support provided by a wide range of technical and financial partners. At a local level, however, insecurity has increasingly constrained effective consultation and pilot project development especially in the North and East. Furthermore, two coups successively in January and September 2022 have impacted on the rate of progress made for the year. In spite of these constraints, many documents were prepared by the national REDD+ secretariat in August and September 2022 which are not considered in the R-Package.

Process and methodology

The multi-stakeholder self-assessment process followed the recommendations of the Guide to the FCPF Readiness Assessment Framework with respect to selection of participants, preparation of the event, facilitation of the assessment process, synthesis and dissemination of results, and validation. Burkina Faso adjusted the methodology by adding blue as an additional color with the qualification 'completed'. Since none of the national level indicators were marked as 'Blue' the TAP report does not elaborate on this point. Subnational zones of the country are defined by administrative regions with support provided by FIP in most zones, with emphasis on REDD+ pilot projects in those zones. The Northern region has been subject to major insecurity constraints so that alternative organizational arrangement was necessary. In much of the country, local level security has

increasingly been under pressure, requiring adaptation of the process, including organization of some workshops confined to regional towns with adequate security.

Documentation was made available 2 weeks in advance for the multi-stakeholder self-assessment, which took place in June/July 2022, including: 2 PP presentations on REDD+; evaluation sheets corresponding to the French language version of the criteria and questions, to facilitate group sessions; a summary of documents prepared in the course of REDD+ preparation; a guide for group work and finally, an Excel sheet to note results at regional and national level. These documents were provided to the chairpersons of each regional and communal REDD+ organization in order to prepare for the consultations. The consultations lasted for 5 days and were organized in three steps. Firstly, the self-evaluation process and the country's REDD+ progress were explained to the participants. Secondly, participants were divided into three groups, representing administration, civil society and private sector, tasked with self-evaluation. Finally, results were presented at the plenary sessions. Following these consultations, the results were aggregated and incorporated in the draft R-Package, for revision and adoption by a national workshop.

Two weeks in advance of the national consultation workshop, held on 26 August 2022, the draft R-Package was made available to all workshop participants. The draft version was discussed, revised and approved. Certain representatives of the communal and regional REDD+ organizations participated in the national workshop, which offered the opportunity to communicate final results back to local level. Of the 439 participants of the six regional workshops, a modest share of 21% were women. Three distinct groups were represented in the regional workshops: government administration (66% of participants), civil society (20%) and private sector (14%). Self-evaluation results by stakeholder group and by region in line with color code are available in the report. A draft synthesis was produced by the National Secretariat. The national workshop, with 114 participants (15% women), reviewed the syntheses of the regional workshops and approved the final product. The final R-Package was subsequently made available to FCPF Secretariat.

The self-assessment results demonstrate a high level of preparedness with 27 indicators of significant progress (Green), 5 indicators 'progressing well, further development required' (Yellow) and 2 indicators 'further development required' (Orange). None of the indicators was assessed as 'no progress' (Red). This compares highly favorable to the mid-term R-Package self-assessment. The regional self-assessment results allow for subnational insights. For example, the South-Centre region participants noted a high 4.6/5 whereas the Northern region participants noted 3.5/5. The resulting scores are also compared between the 3 major stakeholder groups: administration, civil society, private sector.

- **TAP assessment.** *The participatory Self-assessment process in Burkina Faso followed the FCPF Readiness Assessment Framework Guidelines. The R-Package Report includes information on the Self-assessment process as well as the results. The Self-Assessment process was elaborate, including six regional workshops and a national workshop, mobilizing a total of 553 participants, mostly from 3 distinct stakeholder groups, with emphasis on government administration. A degree of Self-selection of stakeholders has been demonstrated. The R-Package report provides information on differences in perception on REDD+ Readiness between regions and between the 3 major stakeholder groups. The Readiness mid-term review of December 2017 noted 3 criteria Green, 17 Yellow, 6 Orange and 8 Red. The present Self-assessment notes 27 Green, 5 Yellow and 2 Orange criteria, which is major overall progress.*

3.2 Review of Progress on REDD+ Readiness

Component 1: Readiness, Organization and Consultation

Sub-Component 1a: National REDD+ Management Arrangements (Criteria 1-6)

This part of the Readiness Assessment Framework focuses on national REDD+ management arrangements and their effectiveness in fulfilling core functions.

*Accountability and Transparency (Criterion 1: **GREEN**); Operating Mandate and Budget (Criterion 2, **YELLOW**); Multi-sector coordination mechanisms and cross-sector collaboration (Criterion 3: **GREEN**) Technical supervision capacity and Fund management capacity (Criterion 4-5: **GREEN**)*

Decree° 2017- 1329/PRES/PM/MEEVCC/MATD/MAAH/MINEFID (30 December 2017) was signed off by 4 sector ministers, prime minister and president and defines the country's REDD+ institutional set-up. Three REDD+ organizations in Burkina Faso correspond to national, regional and communal (local) governance levels. They are chaired respectively by the Ministry of the Environment General Secretary, the Regional Governor and the Mayor. The organizations represent different sectors, stakeholder groups and geographic levels. The National REDD+ Committee (CN-REDD+) is the decision-making body, it has in principle 21 members and 12 observers (who generally represent technical and financial Redd+ partners). The Committee decides on national strategy, ensures inter-sector coordination and coherence with the regulatory environment, approves studies and adopts new carbon projects, among others. It convened in October 2021 as a kick-off meeting and has held 3 meetings in 2022: approving the PGCP REDD+ project (22%F attendance), approving the national REDD+ strategy (15%F) and approving the R-package (15%F). The National REDD+ Technical Secretariat (STN/REDD+) is the operational arm of the Committee, chaired by the National REDD+ Focal Point. The National REDD+ Platform is responsible for the coordination of and support to consultation at regional and local level. The National CSO REDD+ Platform has been defined and put in place in May 2018 for specific CSO contributions to REDD+.

Regional and communal REDD+ committees mirror de same structure, as applied to their level and therefore less elaborate, and as defined by the authorities at that level. At regional and local level, they generally rely on existing consultation mechanisms such as the 'Special Commissions' that pre-exist in the Communes (the Environment Commission for instance), thus avoiding duplication and enhancing efficiency. The regional technical secretariat (CTR REDD+) is defined by regional technical units, representing the relevant technical ministries, and is chaired by the regional General Secretary. The Northern Region, where insecurity is very high, has no CTR. The organizational structure is transparent and locally adapted. REDD+ action is institutionally integrated in the broad multi-sector development framework at each level given that REDD+ agency relies on the existing institutional framework, particularly in the Regions and Communes.

REDD+ preparation has benefited from a substantial budget of 8.3M USD provided by 3 international funds. FCPF, African Development Bank, World Bank and other agencies provided assistance to one or more components. The initial funding was 5.311M USD, with follow up funding accounting for 3.07M USD. Major REDD+ pilot projects were funded in parallel, with World Bank FIP/PGDFEB for 27M USD (incl. 9M USD EU contribution) and ADB supported FIP/PGFC for 12M USD¹, which were completed respectively in 2021 and 2020. The Luxemburg development agency funded the national inventory (IFN2) in 2012. The Government contribution to the REDD+ organizational structure is centered on the full-time support provided by 15 technical agents (civil servants) to STN/REDD+, who

¹ Including preparation

have been supported by national and international expertise. The Secretariat is therefore well staffed, staff is well trained and materially equipped. STN/REDD+ consists of three Units, respectively dealing with MRV; Communications and Strategy, and Legal Affairs and Safeguards. Whilst most of the project support has now closed down, the upcoming PGCP/REDD+ project is expected to support STN/REDD+ for 6 years starting in 2023. In the meantime, human resources in the Secretariat have been boosted by government to 22 staff, with one additional civil servant (total 16, all men) plus 6 temporary staff (2 women). STN/REDD+ has been instrumental in preparation of the PGCP project (125M USD), by itself a performance indicator of the Secretariat. Furthermore, the Secretariat has prepared a GCF Concept Note to address agriculture and emissions interface (10M USD). Financial management has been assured by the FIP/PGDFEB/PGFC supported project Coordination Unit (UC PIF), formalized by Ministerial Order (Arrêté n°2014- 124/MEDD/CAB), a unit which had seven financial experts, audited annually. The support came to an end in 2021, but other funding sources sustained the financial management unit since that time, even if slimmed down. At initial stages (2014-16) coordination and financial management faced constraints that were gradually solved. REDD+ capacity building of many different staff categories over December 2019 through to September 2022 provided 2,179 staff with additional capacity (18% women).

Stakeholder self-assessment expresses a high degree of achievement in the institutional REDD+ framework. It should aim to disseminate REDD+ frameworks countrywide. Mandates and budgets are well developed but increased local finance will be required for longer-term sustainability. Multisectoral mechanisms are functional and should also be widely applied in spite of increased insecurity in parts of the country. Technical supervisory capabilities are well advanced but need further capacity building for sustained REDD+ appropriation. Fund management capacity has, generally speaking, progressed well and is subjected to regular audits. All the same, enhanced disclosure of all relevant documents including audit reports is recommended by stakeholders. In terms of publication and information sharing, significant progress has been made but more can be achieved. Finally, stakeholder recommend participation of the national defense and security authority in REDD+ committees for adaptation to the current security context.

- **TAP assessment.** *Burkina Faso has elaborated an extensive REDD+ organization covering all geographic levels, sectors and key stakeholders, approved by government at the highest level and in line with FCPF guidelines. Efficiency aspects have been addressed by avoiding parallel structures and overlap particularly at regional and commune level. Financial support to the country's REDD+ preparation has been very significant and is likely to continue over an extended period of time through new financing. Major past and anticipated future financing reveals the capacity to manage funds. Adequately developed national technical expertise facilitates mobilization of additional funds. The National REDD+ Committee is led by the SG which has both advantages and inconveniences: a SG is usually more available than a Minister for Committee meetings; on the other hand, a Minister has greater powers to convene, which is important for multi-sector coordination. Inter-sector influencing by STN/Redd+, with respect to sector and inter-sector reform processes, is being achieved to some extent by senior staff presence in certain commissions that steer inter-sector reform (such as rural development planning and budgeting). How such reforms to date have effectively incorporated REDD+ concerns require further analysis. A sharply worsening national security and governance environment has impeded full functionality and progress of the REDD+ process. Terrorism in rural areas (North, North West and East especially) has negatively affected REDD+ action in those areas. Two coups have occurred in 2022, one in January and the second in September. The experience following the first coup was virtual close down for 4-5 months (the second coup is too recent to assess impact). This has clearly*

affected the speed of the process, with many studies and reports now requiring review, adoption and publication². Concur with ratings.

Feedback and grievance redress mechanism (criterion 6: YELLOW)

The 4 FIP pilot projects have developed an initial model of the Grievance Redress Mechanism (GRM) in the respective pilot sites. Gaps were identified at this stage with particular concern for the collection and communication of grievances outside the regular REDD+ meetings in the pilot Communes. The chain of communication of grievances appeared to be insufficiently effective so that additional capacity is required to handle them. A study has been carried out in 2021/22 to incorporate lessons learned and define a more robust model that upcoming REDD+ projects will apply at their level³. It has been construed through 3 successive consultation 'waves' involving 1,557 stakeholders. The first wave involved 412 participants in 6 Regions (jurisdictional units) (16% women) with the objective to describe existing mechanisms through regional Commune and village level focus groups. The second consultation wave, held in 7 Regions, involved 931 participants (55% women) with the objective to draw up typology of conflicts and characteristics. A final wave involved 214 participants (18% women). Existing mechanisms were assessed by the stakeholders, problems and opportunities for application in REDD+ were discussed such as, at national level, the Burkina Mediator, the national Conflict Observatory, the High Council for Social Dialogue, and at local level two distinct village committees.

The draft report explores the legal structure of existing mechanisms and concludes that they may not be adapted to REDD+ GRM requirements, if only because adjusting them would require major legislative action. Specific REDD+ GRM is therefore recommended i.e. building GRM in existing REDD+ institutions. This can be achieved through the creation of specific GRM commissions in each one of the REDD+ institutions (Commune, Region, national level). At village level no specific REDD+ organization exists so that the Village Development Committee would take responsibility. The report goes on to describe the standard principles and procedures that can be expected from GRM when applying that particular institutional framework: participation, confidentiality, accessibility, equity etc. The report analyses the coherence between the regulatory framework and proposed GRM organization (Constitution, environmental law, etc.), and finally, proposes financial and capacity building requirements. The report has not been adopted at present.

Self-assessment

Stakeholders assess that significant overall progress has been made but additional work is needed in terms of finalization of the GRM, followed by validation and implementation. Regions and Communes that have not benefited from a GRM should be assisted.

- **TAP assessment.** *The GRM design has involved a major consultation process in REDD+ pilot project areas where grievance redress has been applied in recent years. The draft document is an important tool to move on with the process. However, hands-on experience with practical cases of complaints and grievances in the REDD+ context, and how they were addressed in REDD+ pilot projects since 2016 are not available yet could have significantly informed the study and draft report⁴. In the opinion of the TAP reviewer, this is a missed opportunity and one that may have to be exploited in the upcoming PGCP project. Validation*

² In addition to terrorism and coups, STN/REDD has drawn attention to other constraints, COVID being one important factor.

³ Mécanisme de Gestion des plaintes et recours (provisoire)

⁴ As per FIP/PGDFEB project completion report.

of the present draft followed by publication and transcription into locally relevant communications and training modules, possibly in local languages, are steps forward. Concur with rating.

Sub-component 1b: Consultation, participation and outreach (Criteria 7-10)

This part of the Readiness Assessment Framework reviews how consultations with key stakeholders are performed to ensure participation of different social groups, transparency, and accountability of decision-making.

*Participation and engagement of key stakeholders (criterion 7: **GREEN**), Consultation process, criterion 8: **YELLOW**),*

REDD+ preparation in Burkina Faso engaged key stakeholders through a methodology of 'consultation waves' aimed both at information and awareness flowing from national to local levels and local perspectives and feedback flowing from local levels to national level. Locally, this started off with intra-village consultations, with results passed on to the Commune platform. The Commune vision integrates village inputs and vision at that level is passed on to the Region, where coherent regional vision is formulated, which is then forwarded to national level for a coherent national REDD+ strategy. In all, 6,847 local community stakeholders have participated in these consultations (43% women). Furthermore, REDD+ in Burkina Faso has applied diagnostics and planning of local land and natural resource access and ownership, with strong social dimension⁵, through an approach called *Terristories*. The results of local diagnosis and plans were approved at Commune level, since the Commune has legal competencies for approval. Key stakeholder groups in the consultation process were the administration, CSOs and entrepreneurs in the private sector. Organization of CSOs was facilitated by a special fund (DGM) aimed at enhanced and sustained participation of CSOs at all levels including national REDD+ initiatives. The national platform was developed on the basis of regional workshops engaging numerous specific groups such as herders, firewood producers, youth groups, etc. About 40 representatives of local CSO's were present at each regional workshop. The regional workshops recommended foundation of a national platform which deals with all CSO issues in relation to REDD+ at that level. The national OCS platform, consisting of 11 members of the 5 regions supported by FIP, is legally registered as an association under the law n°064-2015/AN du 20 octobre 2015 (defining non-profit organizations) to enhance sustainability. It has been very active up to 2021, less so since that time but it can be activated anytime. Private sector involvement in REDD+ strategy and projects has been construed around key value chains such as Sheanut butter and cashew nuts. The associated entrepreneurs provided high-level contributions to private sector roles in REDD+.

Gender issues have received particular attention through support from the Climate Investment Fund (CIF) since 2016 through formulation of a global gender engagement plan, which has still not been finalized. Some lessons have been learnt from the work done so far, such as: (1) the consultation waves have not allowed women participants to effectively contribute so that specific women's meetings are required in addition to mixed consultations (2) enhanced property and access rights as well as economic development opportunities specific to women are essential, and should be explored by future REDD+ projects and consultations.

The self-assessment highly appreciates participation and engagement of key stakeholders, both at conceptual stages and through REDD+ pilot projects. That applies in particular to local communities (villages) and stakeholders at the local level. The consultation process is considered very satisfactory

⁵ 'socio-foncier' in French.

but clearly requires more work on support to women. The draft gender action plan enumerates a number of activities aimed at increased women's participation, but the plan needs to be completed, approved and implemented.

- **TAP assessment:** *Burkina Faso has developed a major information and consultation process with many relevant stakeholder groups, numerous participants and effective two-way communication throughout the preparation. Consultation has geographically focused on the PIF pilot project areas in 5 regions and additional regions in the case of some studies. The PIF pilot regions are more or less representative of the country's ecological and socio-economic diversity so that outcomes (such as the draft national REDD+ strategy) are representative of the country. Upcoming REDD+ initiatives are an opportunity to cover some of the regions that were not included so far. The need for increased action on women's participation is raised by self-evaluation stakeholders in several cases (Criteria 8, 20). The TAP reviewer also considers that women's participation in REDD+ is insufficiently prioritized. That includes physical presence of women in higher-level committees (e.g. CN-REDD+) but significantly more so by measure of active participation⁶. Measured in terms of features in key REDD+ documents, gender issues appear to be increasingly less considered⁷. The position of Burkina Faso in the global gender inequality index, 157th out of 170 countries, adds to this concern. Yet women are fundamental to REDD+ both in terms of underlying driver (identified as very high population growth) and as actors in the forest/NRM sector. The gender study is still in draft form in a process that started in 2016. The draft proposes specific consultation events for women, which is a foregone conclusion: the need for specific support for active women's participation in the Sahel is a constant since decades. The priority is implementation possibly including a quota for women in decision-making fora (such as REDD+ committees) accompanied with specific women's capacity building support in such fora. More rigorous reporting on women's participation will also be helpful. Concur with ratings.*

Criteria 9 and 10 Information sharing and accessibility of information; implementation and public disclosure of consultation outcomes (GREEN)

A solid communication strategy was developed by 2016 which rests on a well-developed website, short videos, 3-monthly newsletters, several guides and toolboxes and 3 training modules⁸. Furthermore, local radio, social media and national television were used as communication channels. Training sessions were provided to media operators, elected officials and the 3 key stakeholder groups mentioned above: administration, CSOs and entrepreneurs. Much of this was oriented towards the PIF REDD+ projects (in 5 regions) and is currently being re-oriented towards REDD+ more broadly as a national communication strategy. Numerous consultations have been held and consultation outcomes have been used to revise draft study reports before finalization. That applies to the institutional framework, drivers of deforestation, on REDD+ strategic options, FRL and MRV and non-carbon benefits, among others. Consultation outcomes have also been communicated to a wide public through application of the communication strategy.

⁶ Measuring active participation was done for one REDD+ workshop, by recording of the number of active interventions by men and women in that workshop (presentations and otherwise). Whilst the physical presence of women was a more or less average 20%, active women's participation was measured as only 3%. Source : PIF/PGDFEB Atelier de lancement technique 23 janvier, 2015, Fada, in : Suivi / Evaluation du projet PGDFEB du Programme d'Investissement Forestier (PIF) / REDD+ Burkina Faso, rapport de la 2^e mission 01.05.2015. UE / Nordic Consulting Group.

⁷ The PIF/PGDFEB Project Appraisal Document 2013 refers to "gender" 14 times; the 2021 PGDFEB project completion report 5 times and 2022 Burkina's draft REDD+ Strategy (August 2022) just once.

⁸ www.pif-burkina.org

The consultation processes followed an approach where initial results were subsequently shared with participants for feedback and validation, so that the final versions incorporate feedback from participants. Consultation outcomes have therefore taken participant feedback into account. The final study results have been shared with all stakeholders in the consultation process, contributing to public disclosure. The communication toolbox was used for wider dissemination especially in the Communes and rural areas, and to regions other than those covered by the pilot projects. Respective REDD+ studies and the draft REDD+ Strategy are therefore the end product of numerous consultation outcomes.

Self-assessment

Information sharing and accessibility to information, as outlined in the FIP/PGDFEB communication strategy, is much appreciated, as it is done in real time at relevant levels. Feedback of consultation outcomes has benefited those who participated, and the wider public through a wide range of tools. A few additional tools are recommended i.e. journals (national press) and written communication in local languages. The integration of consultation outcomes and their disclosure was not provided with a self-assessment but oral explanation by STN/REDD+ confirms that this indicator of progress was appreciated by stakeholders⁹.

- **TAP assessment.** *Burkina Faso has initiated widespread information campaigns on REDD+ in the pilot regions and numerous studies were communicated to those involved initially, and to the wider public, both in rural and urban areas. Communication on many of the studies that were subsequently initiated and/or completed. Once the communication strategy was elaborated and approved, a wide spectrum of communication tools was developed and applied. Use of some additional tools would be appropriate, as recommended by the self-evaluation (i.e. increased use of local languages in written communication, and publication in the national press). Systematic feedback of initial study results to workshop participants and REDD+ committees made sur that consultation outcomes were fed into the final products.*

Component 2: REDD+ Strategy Preparation

Sub-component 2a: Assessment of Land Use, Land-use change drivers, Forest Law, Policy and Governance (criteria 11-15)

Assessment and analysis, Prioritization of direct and indirect drivers/barriers to forest carbon stock enhancement, Links between drivers/barriers and REDD+ activities, (criteria 11-13: GREEN)

Identification and analysis were supported by the REDD+ Secretariat and a team of 3 core and 12 thematic experts, assisted by enumerators, exploring local stakeholder analysis throughout the process. The timelines for change were the 25-year period 1990-2015, mostly based on (Remote-Sensing) RS data-series, or shorter timelines in some studies. Initially, six key drivers of deforestation and forest degradation in Burkina Faso were identified including land use change, mining, non-wood forest exploitation, as well as management practices, CC, traditions and forest governance impact. The studies comprise: (1) Land-use systems evaluated with regards to forest resource change and emissions and sequestration, taking in consideration social and economic dimensions, and feasibility

⁹ Oral explanation by STN/REDD+ during a video-conference held on 28.10.22. The Package itself does not provide a self-evaluation of Criterion 10, as it states the following: “according to the independent evaluation, the approach for utilization and extension of consultation results is progressing significantly”.

and risk of key options (2) Mining and deforestation/degradation was evaluated on similar basis, given a sample of mining sites (3) Exploitation of non-wood products and options, using a similar assessment framework (4) Changes in Forest Management Units¹⁰ (*Chantiers Forestiers*) that characterize Burkina Faso's sustainable forestry management model since the 1990s, with the specific aim of sustainable firewood production for urban areas. Ecological, socio-economic, financial and institutional analysis are central to his part. Given the long history of the FMUs, it is given considerable attention (5+6) the relationship respectively between culture/tradition and forest governance in relation to forests, forest management and/or degradation. In all studies, forest related emissions were assessed.

In terms of priorities of drivers and barriers, the study concludes that, in relative proportions, agriculture accounts for 51.3% of annual deforestation, firewood production 39.8%, overgrazing 6.6%, mining 1.0%, wildfire 0.9%, non-wood products 0.5%. Identified underlying causes are poor regulatory framework or poor application of existing ones, and importantly, the rate of population growth (2.8%/yr¹¹, more or less average for the Sahel). This rate is more or less similar to the rate of deforestation over the same period. Furthermore, unsustainable agricultural systems lead to exhausted soils and force farmers to shift cultivation. The average farm size has hardly budged over the last 15 years. Interestingly, the study found that forest dependent communities are also those who feel greater responsibility towards sustainable forest management.

With respect to links between drivers/barriers and REDD+ activities, lessons learned from the pilot projects have contributed to the identification of links between drivers/barriers and REDD+ activities. A study on coherence between sector policies and REDD+ options was elaborated and concerns multi-sectoral instruments in addition to sector policies. Significant inter-sector tools in Burkina Faso include, for instance, the rural development policy and program, decentralization (to Communes in particular) and land tenure security supporting frameworks, but also corresponding financial tools such as budget support programs. The degree to which sector and inter-sector policies and investment programs address REDD+ concerns, has been clarified by the study, including gaps.

The Self-assessment finds that the analysis of deforestation and forest degradation at national level is relevant and accurate and led to consensual agreement by all stakeholders. Underlying factors are properly identified as policy and regulatory barriers (or their implementation), factors that have negatively affected impact of previous action. Similarly, stakeholders assess the identified prioritization of drivers as relevant. The analysis has progressed well though stakeholders recommend to proceed with prioritization of underlying factors. Analyzing the interaction between drivers/barriers and REDD+ activities has built on the various pilot projects, which has been important to develop relevant strategic REDD+ options. The sector policy study has allowed to insert REDD+ objectives in those policies. Significant progress has therefore been achieved.

- **TAP assessment.** *Burkina Faso has conducted an in-depth analysis of land-use and drivers of deforestation and degradation, and prioritized drivers and barriers in relation to carbon stocks in a comprehensive manner. Systematic links were also identified such as the demography-agricultural expansion-degradation sequence. The TAP reviewer suggests that increased analysis of demographic dynamics and underlying factors, in relation to REDD+, may be elaborated in view of the fundamental nature of this matter. Major population displacement in Burkina Faso as a result of widespread insecurity may be an additional*

¹⁰ *Chantier Forestier* will be referred to here as FMU (Forest Management Unit) in subsequent text although the translation is literally 'forestry building site'. It is Burkina Faso's model of forest management since the 1990s in mostly national forest reserves with community organization and forest service units interacting on regular forest management including financial and fiscal management.

¹¹ <https://data.worldbank.org/indicator/SP.POP.GROW>

reason for such work. It can build on a great deal of work done in Darfur, Sudan, since 2006. The sector policy study has helped to clarify REDD+ concerns in those policies, and demonstrates that REDD+ concerns (such as reforestation) are present in many documents. The study has not demonstrated impact of REDD+ institutions on those policies. That is a task requiring long-term support by STN/REDD+ in an iterative manner, through presence of the experts in commissions that prepare new sector and inter-sector policies and three yearly sector budgets. Concur with ratings.

Action plans to address natural resource rights, land tenure, governance (criterion 14: GREEN) and Implications for forest law and policy (criterion 15: GREEN)

Two studies have been carried out to assess plans that deal with rights, tenure and governance. A study on the legal context of NRM and REDD+ was conducted to elaborate on cross-sector rights and governance, a second study is on-going and focuses on carbon rights. Integrated land-use and development plans exist at national level but operationalization is inadequate. Land-use plans at the level of regions and communes are either non-existent or have few operational implications. Bylaws necessary for operationalization have not always been adopted. Organizations necessary for sustainable land and resource tenure have been defined by law but are not operating if human and financial resources are not available (especially if Commune Land Registry Offices do not exist). The strategic option is to support regional and commune structures to update or develop their plans, with particular reference to sustainable resource management, advocate adoption of full legal instruments and support implementation (or influence existing budgetary tools to implement those plans). In the end, Communes will legally register forest and pastoral domains at their level, based on proposals developed by their communities (i.e. villages). Forest land registry will also be necessary adjacent to mining areas. Additional financial resources and streamlining funding from existing sources requires an enhanced profile of national and local government agencies that are central to REDD+. National law reform requires long-term, iterative work. Forest Law (2015) refers to various REDD+ objectives but needs reform to address recent innovations such as Burkina Faso's redefinition of forest and, importantly, decentralized forest governance (i.e. for Forest Law to accept legal responsibility of Commune government for local forest management). A wide range of reports published by other agencies and projects also suggest recommendations for adjustment of the legal framework in NRM. Achieving this will require long-term, iterative progress. Carbon rights have been discussed in another study and remain in a phase of conceptual development.

Self-assessment considers that action plans and regulatory environment have been thoroughly explored and key pathways have been identified to move forward. This was carried out in a complex multi-sector context, on a step-by-step basis, be it in terms of longer term national regulatory reform or local level bylaws, applications and budget allocations. Operational constraints to implementation of existing policies and laws, with emphasis on forests but including multisector concerns, were also clearly spelled out. Criteria 14 and 15 have seen considerable progress.

- **TAP assessment.** *Burkina Faso has elaborated priority pathways to achieve REDD+ objectives in the national and local regulatory environment and planning tools. Legal reform and implementation support to Communes, with the aim of legal recognition of NRM by community and inter-community resources (forests, pastoral areas, livestock corridors etc.) under final responsibility of the Commune Council, is rightly identified as fundamental. Carbon rights need a great deal of work at the level of national law reform but can be readily applied once Commune structures are fully enabled. Concur with ratings.*

Sub-component 2b. REDD+ Strategy Options (criteria 16-18)

This part of the Readiness Assessment Framework focuses on the adequacy of selected REDD+ strategy options vis-à-vis identified drivers, and their feasibility.

Selection and prioritization of REDD+ strategy options, Feasibility assessment (criteria 16-17: GREEN) and Implications of strategy options (criterion 18: GREEN)

Strategic options have been selected through a rigorous consultation process in 32 communes in 5 regions involving 128 villages, corresponding to the intervention zones of FIP Burkina Faso. The approach of consultation 'waves' was applied as described above involving over 6,500 people. Village level consultations have been aggregated and synthesized at commune level, and again at regional level before a cohesive synthesis of strategic options was developed at national level. Subsequently, additional consultations were carried out in all agro-ecological zones. Strategic options have thus been prioritized by sector and by key forest related value chains, with a view of tackling indirect drivers of degradation. Expected results and indicators of achievement over a 10-year period have been defined.

Feasibility analysis has been elaborated on the basis of lessons learned from the 4 FIP pilot projects, where appropriate ESMF was carried out and environmental impact notice (NIE), among others. A REDD+ SESA is currently on-going and will inform social and environmental impacts at national level. The elaboration of strategic options also involved cost-benefit analysis which concludes in one World Bank study that REDD+ benefits exceed cost by a factor of 117¹².

Results of a study on coherence between REDD+ and sector policies suggest that REDD+ strategy options should be identified and pursued both in sector and cross-sector frameworks. Value chains are important to the formulation of many strategic options. The competencies of up to 10 ministries are concerned across sector. All of them will be involved in REDD+ implementation, though at highly varying degrees: whilst the Ministry of Agriculture is essential, the Justice Ministry, for instance, is involved on minor issues. Inter-sector policies and plans such as the National Food Security and Nutritional Policy, for example, are of particular importance to REDD+ as existing inter-sector instruments. Program and sector budget support are increasingly important financial tools in Burkina Faso. The study has also proposed to interact with sector budget support through the presence of STN/REDD+ experts in the relevant commissions. National planning often cross sectors such as the National Economic and Social Development Plan (PNDES) and the Rural Development Plan (PNSR III). This kind of program deals with REDD+ options across sectors such as Commune land registration office investments, providing tenure security to both communities and Communes, across sector concerns. Proposals have been made on how STN/REDD+ influencing may be designed during the upcoming phase III of the national development plan. How significantly STN/REDD+ participates in those inter-sectoral processes depends on the priority assigned by the parent ministry (and therefore the Minister and the DG) to the Secretariat.

Self-assessment

Stakeholders highly appreciated the consultative nature of the identification of strategic options, whilst the quality of studies has also been highly valued. The pilot projects have embedded the process in real time and real-life lessons learned. Similarly, feasibility assessment is expected to be of high quality given the pilot project experiences. The projects adapted rigorous SESA in their respective contexts. Strategic options considered sector and inter-sector policies and budget support

¹² Banque mondiale. 2022. Note sectorielle sur les forêts: Pour une gestion durable des forêts du Burkina Faso.

instruments relevant to REDD+ in Burkina Faso. A significant effort will be needed, however, to insert indicators sensitive to REDD+ efficacy in such programs.

- **TAP Assessment** concludes that REDD+ objectives are for a significant proportion in line with sector and inter-sector priorities expressed in the numerous policies and plans. Nevertheless, much more can be achieved over time given that many policies are revised over long timelines whilst REDD+ priorities and capacity are presently available. Budget support instruments are essential in Burkina Faso since they assign financial resources. A major effort will be required by STN/REDD+ to engage in numerous high-level commissions that prepare development plans for the short and medium term. Such engagement will also require that parent Ministry decision makers assign high priority to REDD+ when assigning the Ministry representatives in the relevant commissions.

Sub-component 2c. Implementation framework (criteria 19-22)

This part of the assessment framework focuses on the structural legal, policy and institutional measures taken to facilitate implementation of the REDD+ strategy.

Adoption and implementation of legislation/regulations (19: GREEN), Guidelines for implementation (20: GREEN), Benefit sharing mechanism (21: YELLOW)

National, regional and commune REDD+ organizations have been established by Decree in 2017, followed by the necessary by-laws and administrative Orders. As mentioned under Subcomponent 1a, these institutions have proven their worth (exception made of those parts of the country faced with high insecurity). The R-Package points out that, over the period 1998-2015, a large number of laws and decrees have been adopted with bearing on the forestry sector, agriculture & natural resources (forest law, mining, decentralization etc.). REDD+ preparation has studied the institutional and regulatory framework required in terms of REDD+ strategy objectives. The study proposes priority adjustments to the existing framework and in other cases, priorities for effective implementation where frameworks are adequate but have not been implemented. Adjustment such as the national forest definition and forest governance competencies at Commune level appear generally accepted and in principle acquired, but the Forest Code requires reform in those terms. Law reform tends to take a long time and the political uncertainties faced in 2022 may lead to further delays so that only incremental changes can be expected¹³. Study on legal reform has been undertaken with recommendations for carbon rights and local land reform. The next step is that the study will be finalized and adopted, so that a legal reform process can be initiated by the Ministry.

Three REDD+ implementation guidelines have been elaborated over 2019-21. It includes the general understanding of the REDD+ process with benefit sharing mechanism, recourse, carbon rights, financing, and participation procedures. A second document guides REDD+ project development. A third guide aims at commune natural resource management of conservation areas adjudicated at that level. A fourth guide will concern private sector engagement in REDD+ and is currently elaborated. The emerging PGCP/REDD+ project has been formulated on the basis of these guidelines whereas the BUFACAP project is in early stages of formulation (GCF Concept Note). A fourth guide is being elaborated for private sector initiatives.

A draft study report is available on the benefit sharing mechanism, in tandem with SESA elaboration, a report which describes the principles (legal, legitimate, equality, efficacy, efficiency, respect for local culture, etc.). It is expected that this report, once finalized and approved, will provide the

¹³ According to video conference held on 28.10.22. These concerns are not expressed in the R-Package.

guiding principles for REDD+ projects that adapt benefit sharing mechanisms to their specific environments.

The self-assessment concludes that considerable progress has been made in the institutional framework with respect to the REDD+ organizations. Furthermore, a clear picture and framework of the wide range of regulatory reform required for effective REDD+ action is established for gradual adoption. Self-assessment also concludes that it is now important to speed up propositions that define carbon rights and, subsequently, adopt the necessary legislation. Self-assessment notes major progress on guidelines for implementation but the gender strategy has been delayed even though it is a priority. Furthermore, additional consultations are necessary on benefit sharing.

- **TAP assessment** concurs with self-assessment on progress made in the REDD+ institutional framework achieved in 2017 (Component 1). However, the issue here is regulatory reform in relation to natural resources, carbon issues and local government. Law reform requirements have been adequately described in the study report and achieving reform is a long process requiring an iterative approach. The year 2022 has been a particularly difficult year in Burkina Faso for law reform processes so that law reform can only be expected in the near future. Concur with rating for Criterion 19. The TAP review found one guide is adopted and used (and is available on the website) instead of fore-mentioned three implementation guides. The second and third guide are still in the process of preparation and will be available later this year or in 2023. Assuming that the additional two guides will soon be available, concur with rating green for Criterion 20¹⁴. The BSM is in the process but requires substantial inputs and finalization, confirming the yellow rating for Criterion 21.

National REDD+ registry and system monitoring REDD+ activities (criterion 22: GREEN)

The organizational framework of the National REDD+ Registry has been clarified and a National Registry Unit has been established, equipped and trained in the National REDD+ Secretariat through the geomatics laboratory¹⁵. A server and hard and software are available in addition to a well-trained team that continues to benefit from international support. The unit has tested tools such as Collect Earth and EX-ACT (FAO), GEMS and Roth C some of which have been adopted and will support and accelerate carbon project development. Procedures have been worked out and include a land-use database, soil carbon estimation, emissions factors, and forestry statistics. Staff has received a series of trainings to further develop and manage the registry. In addition to the REDD+ Registry, the unit is also responsible for national communications on Burkina Faso's forest sector to UNFCCC. Whilst the REDD+ website (www.pif-burkina.org) elaborated by FIP projects (that are now closed) continues to provide public information on projects and REDD+, in the near future the National REDD+ Registry unit will take charge of a dedicated website with a geo-referenced database.

Self-assessment notes that major progress has been made on the foundations of a national REDD+ registry, with elaboration of the system, whilst equipment is available and staff has been trained, and procedures have been worked out. The registry of projects is in place as is the carbon registry.

- **TAP assessment** notes major progress on the national REDD+ registry, with a substantial unit in place to monitor REDD+ activities. Human resources are well trained and provided with the necessary equipment, procedures have been established. New REDD+ project funding is

¹⁴ The guides are actually called 'Directives' because the French version of the FCPF Readiness Assessment Framework document has erroneously translated 'Guides' as '*Directives*' (should have been '*guides*' as the words are identical in both languages and have identical meaning).

¹⁵ Laboratory: literal translation from French where the word is often applied to production functions as opposed to experimental connotations.

expected in 2023 with significant scope of operational capacity of the unit. A dedicated website will further reinforce the Registry. Concur with rating.

Subcomponent: 2d. Social and Environmental Impacts (criteria 23-25)

*Analysis of social and environmental safeguards issues, REDD+ strategy design with respect to impacts, Environmental and Social Management Framework (criteria 23: **YELLOW**, 24: **ORANGE**, 25: **ORANGE**)*

A draft version of the SESA was made available in September 2022. The SESA process for identifying and analyzing the potential environmental and social impacts of REDD+ implementation in Burkina Faso, for developing remedial measures and amplifying measures has been carefully elaborated and implemented through 'consultation waves'. The first series started in May 2021, followed by a second wave consultations in November that year, and final consultations in September 2022. The second and third waves coincide with the GRM consultations cited under Criteria 6 (same dates and participants).

Four key environmental issues identified in the SESA are (1) Multiplication of mining sites (2) Expansion of agricultural cropland (3) Development of industrial sites (4) Unsustainable levels of energy production from natural resources. Key social issues were identified as follows: (1) Runaway population growth (2) Women are more numerous than men (3) Increasing IDPs (4) Poverty (5) Numerous ethnic groups. These issues are of variable importance in relation to the different regions and ecological zones, and according to the three different stakeholder groups (CSOs, private sector and administration). The overarching concerns for all regions, zones and stakeholder groups are (a) sustainable land management and (b) conservation of natural resources. In socio-economic terms they are health and access to water, whilst in governance terms security and economic governance are prioritized. The draft report concludes with an analysis of the political, legal and institutional framework. The ensemble is a profound basis for elaboration of strategic options, the next phase of SESA elaboration. The available draft document requires completion and validation by stakeholders before SESA final results can be used to revise and finetune the national REDD+ strategy. A version of the national REDD+ strategy was published in August 2022, approved by CN REDD+, and can be completed once SESA and ESMF will be available. Finalization of the SESA will pave the way for the elaboration of the ESMF. The Environmental and Social Management Framework of the World Bank has been applied to the recently closed FIP/PGDFEB/PGFC and to the upcoming PGCP. The ESMF will to an important extent be informed by the ESMF's of these projects.

Self-assessment of the SESA notes significant progress but stakeholders observe that work should be completed in order to finalize the REDD+ strategy. It finds that no major progress possible on criteria 24 and 25 in the absence of an approved SESA: REDD+ strategy design with respect to impacts and ESMF formulation are being held up until completion of the SESA. R-Package self-evaluation considers the strategy 50% completed.

- **TAP assessment.** *Both SESA and REDD+ OS documents have been prepared since the R-Package was prepared. The TAP review considers the present SESA of high quality, keeping in mind that strategic options may require further work. The full document is required followed by feedback from stakeholders and approval whilst the ESMF and final national REDD+ strategy can be elaborated and approved. Self-evaluation of REDD+ OS and ESMF are Orange but a draft national REDD+ strategy document has been prepared since self-evaluation and approved by CN-REDD+. Progress made on both the draft SESA and the REDD+ strategy in present form should facilitate Burkina Faso's rapid progression, turning Orange ratings into Yellow or Green. Concur with ratings keeping in mind that rapid progression is on-going.*

Component 3: Reference Emissions Level/Reference Level (criteria 26-28)

Demonstration of methodology; Use of historical data, adjusted for national circumstances; Technical feasibility of the methodological approach and consistency with UNFCCC/IPCC guidance and guidelines (criteria 26-28: GREEN)

Burkina Faso has submitted for validation its FRL in August 2020. The report provides methodology and results of the FRL and REL inventories. In terms of methodology, Burkina Faso has used a stepwise approach to elaborate and gradually improve data. The country has chosen to adopt FRL in order to account for both emissions and absorption, estimated by region. Emission and absorption factors have been applied corresponding to given geographic units, with resulting expression in T CO₂/yr. Landsat imagery has been used to estimate land-use change over time. Emission factors were calculated on the basis of carbon biomass change for each specific land-use change. Burkina Faso has defined forest as an area of more than 0.5 hectares with trees reaching a height of more than 2 meters and a tree cover of more than 10%, with inclusion of forest plantations.

The Second National Forest Inventory (IFN2) was carried out in 2012-13 and provided Tier 2 data on 5,850 sample plots throughout the country on the basis of above ground wood volume (min. diameter 2cm) and density, for both dead and live biomass. Below ground biomass has been estimated on the basis of Tier 1 estimates. Organic soil carbon has been estimated by Tier 2 estimates of BUNASOLS through 1,397 samples for soil depth 0-30cm combined with soil maps. The reference period for the REL is 1995-2017 and historic land-use has been traced by land-use maps of 1992, 2002 et 2014. The latter has been used as it coincides with the FIP/REDD+ project. Finally, carbon emissions have been aggregated for all vegetation types and strata. Methodology and data will gradually improve over time for revised FRLs on bi-annual basis as per UNFCCC requirements.

A number of gradual improvements are anticipated which include, among others: Collect Earth data 2000-2022 will allow refinement by December 2022; additional data collection on carbon changes in forests not subject to land-use change; a study on root biomass will soon produce Tier 3 data; availability of improved above-ground volumetric equations. The FRL was submitted to the UNFCCC Secretariat, assessed by 3 experts and approved, whilst recommendations were received for future improvements. Burkina Faso's FRL validation was formally presented as FCCC/TAR/2020/BFA "Report on the technical assessment of the proposed forest reference level of Burkina Faso submitted in 2020". The FRL presented in the original submission (reference period 1992–2014) corresponds to 6,314,100 tons of CO₂eq/yr upon the technical assessment, the FRL was modified to 10,218,000 tons of carbon dioxide equivalent per year and the reference period to 1995–2017. A few areas of future technical improvement were provided.

Self-assessment finds that submission and validation of the FRL to UNFCCC Secretariat demonstrates considerable progress. The methodological approach developed by Burkina Faso has been validated at the relevant international level. Some adjustment and improvements are recommended such as improved volumetric equations, use of country-specific below-ground biomass data.

- **TAP assessment.** *Burkina Faso's FRL validation (FCCC/TAR/2020/BFA) is publicly available. The technical assessment of the voluntary submission of Burkina Faso on proposed FRL (in accordance with decision 13/CP.19 and in the context of results-based payments) covers the activities reducing emissions from deforestation, reducing emissions from forest degradation and enhancement of forest carbon stocks. The assessment team notes that the data and information used by Burkina Faso in constructing its FRL are transparent, complete and in overall accordance with the guidelines contained in the annex. Concur with rating.*

Component 4. Monitoring systems for Forests, and Safeguards

Sub-component 4a: National Forest Monitoring System (criteria 29-31)

This part of the Readiness Assessment Framework focuses on progress made in designing and developing operational forest monitoring systems.

Documentation of monitoring approach, Demonstration of early system implementation, (criteria 29-30: GREEN) Institutional arrangements and capacities (criterion 31: GREEN)

The National Committee for forest monitoring (CTS) is responsible for quality assurance of the national forest monitoring system (SNSF). Three technical organizations are key to carbon monitoring aspects: BUNASOLS, IGB and SNSIF, in addition to the national, regional and commune technical units, among others. An initial MRV baseline and methodological proposition were prepared in 2017, conceived on the basis of international standards and procedures, and discussed during a workshop for contextualization in Burkina Faso.

The NFMS evolved mostly in 2019. Ten days of meetings and workshops were conducted, spread out over 2019, in the process that completed definition of the monitoring system. In all, 12 organizations were identified as essential in the monitoring system: BUNASOLS, IGB, SNSIF, the national, regional and commune REDD+ technical committees, ONDD (national sustainable development observatory), IGB (Burkina's Geographical Institute), SP/NCDD (Permanent Secretariat of the National Committee for Sustainable Development), INERA (environmental and agricultural research institute), INSD (Institute for Statistics and Demography), the national platform for CSOs on REDD+, and on-going REDD+ projects. Existing institutions were engaged in the emerging MNV as much as possible for efficiency reasons.

The initial proposal was development of a land-use database (BDOT), based on Landsat 4,5,7 and 8, for resp. 1992, 2002 and 2014 land-use data. However, cost and time required for application were considered prohibitive. Instead, Burkina Faso opted for the less resource-intensive FAO Collect Earth tool for RS data collection. Applying the Collect Earth tool provided an uncertainty level of 5.5% for a weighted average (10 strata) of 19.9m³/ha. For soil carbon, an uncertainty level of 2.8% has been calculated (weighted average 24.3t/ha). The Collect Earth tool will monitor permanent sample plots over three time series, starting from recent high-resolution imagery back to lower resolution historic imagery (2000-2004), in REDD+ project areas. Land-use change will be measured through Tier 3 data collection. Tier 2 data has been collected for emissions factors and carbon pools as presented above under the FRL. The NFMS has been developed parallel with the RL in order to optimize coherence. The UNFCCC technical evaluation team approved Burkina Faso's revised FRL which contributes to a proof of concept for the NFMS.

The technical supervisory committee (CTS) of the NFMS was initially established through the FIP coordination unit (*Note de service No 013/2017/PIF du 14 Août 2017*). The key FIP projects closed down by 2021 so that the parent Ministry (MEEEA) reformulated and formalized the CTS, with a mandate focused on monitoring data collection through Collect Earth (*note de service No 22 /178 MEEEA/SG*). The broad institutional framework of Burkina's MRV clarifies 18 key functions fulfilled by 15 organizations including reporting frequency and legal dispositions, among others. Terms of Reference have been elaborated for these organizations, generally with annual or bi-annual outputs expected for most of them so that mandates are clear.

Self-evaluation found that significant progress has been made in an MRV methodological approach which respects international standards and which builds on national institutions and capacities. The

consultation process and the central role of national institutions in RS and field data collection and emission factor estimates, along with coordination by the technical secretariat of a significant number of players are appreciated. Clear operational procedures have been tested at an initial stage and help to demonstrate operational capacity. Since the NFMS is developed parallel to the country's FRL, data are considered compatible and comparable. The assessment does recommend strengthening verification, quality control whilst an appropriate, dedicated website is required.

- **TAP assessment.** *Burkina Faso has developed a comprehensive forest monitoring system methodologically in line with the FRL. Many national and subnational institutions play an important role in the organizational chart in line with their regular mandates, appropriate in terms of efficiency. The MRV Unit in STN/REDD+ presently has 7 permanent and 1 temporary government funded staff with significant funding expected over the next 6 years. Capacity to perform at project level in the NFMS will become particularly relevant in upcoming REDD+ projects, as information on initial application in recently closed pilot projects (under FIP) i.e. "hands-on experience" is not readily available in the project completion reports¹⁶. The institutional arrangements are clear and budget information is provided. The TAP reviewer recommends encouraging specific CSO and community monitoring roles and tools in the NFMS given the wide range of environmental monitoring capacities at that level, demonstrated in many parts of the Sahel¹⁷. This can be elaborated in an iterative manner. Carbon displacement issues are not presented yet major local and cross-border woodfuel trade in the Sahel (mostly charcoal) has been reported since many years, and may imply carbon displacement¹⁸. Major refugee movement may lead also to carbon displacement consequences¹⁹. Pastoral resources in the context of Sahel's widely occurring mobile livestock patterns usually cross local and national boundaries with carbon displacement consequences, as insecurity has major impact on those patterns. Irrespective of those challenges the TAP review notes the high level of progress made by Burkina Faso. Concur with the ratings.*

Sub-component 4b: Information systems for multiple benefits, other impacts, governance and safeguards (criteria 32-34)

This part of the Readiness Assessment Framework focuses on how data on other aspects of REDD+ implementation is collected and shared.

*Identification of relevant non-carbon aspects and social and environmental aspects (criterion 32: **GREEN**) Monitoring, reporting and information sharing, Institutional arrangements and capacities (criteria 33-34: **GREEN**)*

Burkina Faso has identified relevant non-carbon aspects in a significant number of pilot areas particularly through two projects, FIP/PGDFEB and PGFC. It undertook a study in the 5 pilot areas of the FIP projects for extensive discussion and consultation. The absence or presence of certain social capital, natural resources, NR management structures and pilot projects determined the sampling framework. In general terms, the identified benefits are socio-economic, environmental and improved governance. Specific benefits have been identified, numbering 30 non-prioritized benefits

¹⁶ PGDFEB rapport d'achèvement, PGFC rapport d'achèvement

¹⁷ Such as reported by UNEP (Sudan), Danida/IIED (Niger) and others.

¹⁸ Woodfuel value chains modified as a result of improved forest protection by communities in project context has been reported in numerous 'Domestic Energy Projects' prevailing in the Sahel between 1989 and 2010. A general description is provided in: Africa Region Working Paper Series Number 35 'A review of the rural firewood market strategy in West Africa. G Foley et.al., August 2002. The World Bank. CEDEAO has studied the West African cross-border woodfuel trade.

¹⁹ Studies on deforestation/natural forest regeneration as a result of large-scale refugee movement have been published by UNEP Sudan in relation to the Darfur crisis 2003-2006 (ref. UNEP website).

distributed over the 3 categories. The next step was identification of indicators for those benefits and a mechanism to monitor them. The National Observatory for Sustainable Development (ONDD), which operates the ONEDD environmental database, has a major responsibility at this stage. A fundamental role in non-carbon monitoring and publication will be fulfilled by the ONEDD database and website, an important and widely used environmental database and data dissemination tool since 2012. In terms of institutional arrangements, ONEDD reposes on contractual arrangements with partner organizations in a network (PNGIM) with a data sharing arrangement that regularly updates environmental data in relation to agreed indicators, within the respective mandates of network members. Members are government services and research organizations, international partners/projects and local organizations.

A REDD+ diagnostic study has been undertaken of ONEDD in relation to REDD+ non-carbon monitoring requirements. The existing ONEDD tool concerns 188 environmental indicators of which 141 are functional²⁰. Adjustment to REDD+ monitoring proposed by the expert requires removing 11 of the non-functional indicators whilst adding certain indicators for REDD+ non-carbon benefits. Once implemented, key quantitative and qualitative REDD+ variables will thus be widely available on the basis of an existing institution in ways that respect efficiency concerns. The National REDD+ Secretariat will become the ONEDD partner responsible for REDD+ data. Institutionally, the National Forest Monitoring System (SNSF) also relies greatly on SNSIF (the national forest service division responsible for data collection), BUNASOLS (national soils service) and IGB (national geographic institute) in addition to REDD+ organizations and others. Resource needs of ONEDD have been formulated in 2021 and another study is available for SNSIF. It is expected that financial support for ONEDD and SNSIF will be provided by the upcoming PGCP/REDD+ project.

The Self-assessment notes that non-carbon benefits are well-defined since the analysis is based on pilot project experience. ONEDD is considered the effective and efficient institutional foundation for the monitoring system and for publication. A number of non-carbon benefits are already monitored in ONEDD so that additional, specific REDD+ indicators can be incorporated efficiently. Stakeholders are confident that mandates are clear with respect to ONEDD, SNSIF and REDD+ structures and financial sources have been identified. However, it also notes that for sustainability reasons, the government budget should incrementally contribute to these structures.

- **TAP assessment.** *Burkina Faso has made major strides to put in place an information system for multiple benefits, other impacts, governance and safeguards. A list of 30 benefits derived from REDD+ pilot projects is an important step for monitoring of non-carbon aspects. A full description of the consultation process would have been beneficial (such as numbers of stakeholders consulted with gender composition). ONEDD has major information sharing capacity with a website of major dissemination potential, presently at 630 thousand visits, approx. 4 thousand visits/month. Once operational, comprehensive non-carbon MRV in Burkina Faso will have made significant progress. Institutional arrangements, mandates and budget requirements are clear. The R-Package does not clarify how the work is aligned with SESA and ESMF preparation which is inevitable in the light of delays experienced in SESA and ESMF. Concur with ratings.*

²⁰ (<http://onedd-burkina.info/index.php/9-principale/6-accueil>)

4. Summary assessment and recommendations

a. Overall REDD+ Readiness progress

Based on the documents provided and exchange with STN/REDD+, the TAP reviewer concludes that Burkina Faso's REDD+ Readiness Package exhibits the country's resolve to REDD+. The Package demonstrates a precise and sincere assessment of its readiness process and outcomes with numerous strengths and options for improvement. Burkina Faso has been heavily investing in REDD+ pilot projects and readiness since 2014 and is keen to further implementation. Strategic options are aligned with the main direct and indirect drivers of forest-based greenhouse gas emissions.

b. Self-assessment process

Burkina Faso has executed the Self-assessment process in accordance with the FCPF Readiness Assessment Framework, from January until August 2022. The extended time frame allowed significant time for the participation of multiple stakeholder groups at both 6 regional and 1 national workshop, with a total of 553 participants, thus ensuring a broad-based assessment of progress made with REDD+ Readiness. The consultation process was well-structured, with good-quality stakeholder inputs as a result. A draft REDD+ Readiness Package was made available to all participants in the Self-assessment workshops. Workshops were held over 5 days to enable structured, separate interactions to be held with different stakeholder groups (1 day for the national workshop). Participants were encouraged to analyze progress made with the entire range of REDD+ Readiness elements, identify strengths and weak points for further action.

c. Overall assessment and recommendations

Burkina Faso has made significant progress in REDD+ Readiness. For 31 out of the total of 34 criteria assessed, the country had either achieved significant progress (GREEN score, 21 criteria) or progressed well but require further development (YELLOW score, 10 criteria). Burkina Faso has demonstrated significant progress since the mid-term review of 2017. The self-assessment results demonstrate a high level of preparedness with 27 indicators of significant progress (Green), 5 indicators 'progressing well, further development required' (Yellow) and 2 indicators 'further development required' (Orange). None of the indicators was assessed as 'no progress'. This compares (favorably?) to The Readiness mid-term review of December 2017 which noted 3 criteria Green, 17 Yellow, 6 Orange and 8 Red.

The main elements of REDD+ Readiness that need significant inputs are the SESA, ESMF and carbon rights legislation. A significant number of elements have been extensively elaborated but require finalization, adjustment and/or formal approval, which may have been hard to achieve under governance constraints and related financial interruptions in 2022. They are: the FGRM, two guidelines, and the BSM. Reform or adjustment of the legal and regulatory framework concerns forest law and local government legal competencies, which will be an iterative process. The REDD+ OS may need adjustment as such documents are finalized and approved. Influencing of upcoming cross-sector and sector policies and budgetary allocations will require regular attention in order to achieve a multiplier effect of REDD+ action in multiple sectors.

Burkina Faso has a long tradition of sustainable forestry and conservation and has had the fruits of numerous partnerships, projects and programs. As a result, it has cultivated a great deal of national expertise and experience in the disciplines and sectors of interest to REDD+. It can move rapidly forward if security and national governance will be conducive over the coming years.

5. References and background documents

R-Package Rapport d'auto-évaluation de la préparation à la REDD+. Secrétariat Technique National REDD+ Burkina Faso, Août 2022 (<http://www.pif-burkina.org/blog/2022/10/08/r-package-2/>)

Banque mondiale. 2022. Note sectorielle sur les forêts: Pour une gestion durable des forêts du Burkina Faso (World Bank forest sector Note 2022).

The entire range of environmental indicators is available on <http://onedd-burkina.info/index.php/9-principale/6-accueil>)

Documents on two key REDD+ pilot projects : PIF/PGDFEB Project Appraisal Document 2013 ; Rapport d'Achèvement du Projet de Gestion Décentralisée des Forêts et des Espaces Boisés (PGDFEB) 2022 Rapport Final août 2021 The World Bank/European Union ; and Rapport d'Achèvement du Projet de Gestion Participative des Forêts Classées pour la REDD+ (PGFC/REDD+) Rapport Final août 2021, MEEVCC/Banque africaine de Développement Septembre 2020.

Mid-term progress report on Burkina Faso's preparation for REDD+ Readiness, December 2017. Burkina Faso/FCPF

Stratégie Nationale REDD+ du Burkina Faso Rapport provisoire Août 2022. STN/REDD+ (draft National REDD+ Strategy)

Etude sur le diagnostic de l'Observatoire de l'Environnement et du Développement Durable. Rapport définitif, Juillet 2021. Kekéle Adama.

Mecanisme de Gestion des Plaintes et des Recours (MGPR) de la Strategie Nationale REDD+ (draft FGRM) STN/REDD+ Septembre 2022

Evaluation Environnementale et Sociale Strategique (EES) de la Stratégie Nationale REDD+ STN/REDD+ Septembre 2022 (draft SESA)

Mission d'appui pour introduire la REDD+ dans les Politiques Sectorielles au Burkina Faso rapport final STN/REDD+ 2021

Identification et priorisation des benefices non carbone dans le processus REDD+ au Burkina Faso. STN/REDD+, Rapport final, mars 2020. http://www.pif-burkina.org/wp-content/uploads/2022/10/Etude_BNC-rapport-final.pdf

Directives pour le mecanisme de partage des benefices (MPB) de la Strategie Nationale REDD+ STN/REDD+ Septembre 2022 (BSM) http://www.pif-burkina.org/wp-content/uploads/2022/10/Directives_MPB_REDD-Burkina-Faso_Septembre-2022_VP.pdf

MRV institutional set-up (<http://www.pif-burkina.org/blog/2022/10/07/rapport-cadre-intitutionnel-snsf/>)

MRV final report December 2019: see http://www.pif-burkina.org/wp-content/uploads/2022/10/Livvable-2_3-1.pdf