

**Scaling up Participation, Engagement and Representation of Indigenous Peoples, Civil Society and Other Stakeholders**

**CONCEPT NOTE**

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| I. Summary | |
| Objective | To respond to increased demand to improve participation, engagement and representation of indigenous peoples (IPs), civil society organizations (CSOs) and other stakeholders in Partner Countries |
| Expected results | 1. Supported countries apply UN-REDD guidance related to stakeholder engagement concretely in national REDD+ activities  2. Supported countries have strong mechanisms and institutions to ensure the full and effective participation of stakeholders in national REDD+ processes  3. Supported countries' capacity to ensure full and effective participation is increased and knowledge based on practical experience of best practice on engaging IPs, and CSOs and other stakeholders in supported countries is shared effectively |
| Level of intervention | Global, regional and national |
| Related work area, as defined in the [UN-REDD Programme Strategy](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4598&Itemid=53)[[1]](#footnote-1) | Stakeholder Engagement  The proposal refers to Outcome 4, “Indigenous peoples, local communities, civil society organizations and other stakeholders participate effectively in national and international REDD+ decision making, strategy development and implementation” of the Support to National REDD+ Action: Global Programme Framework 2011-2015 (SNA). With increasing demand from both stakeholders and countries for assistance in this area, this funding will be used to provide support to more countries to progress in stakeholder engagement in REDD+ as well as to further important technical areas, such as grievance and FPIC. |
| Total concept duration | 1 January 2014 - 31 December 2015 (24 months) |
| Total concept amount | US$ 3,429,350 |
| Total amount requested | US$1,904,600[[2]](#footnote-2) for activities to be undertaken until 31 December 2014 |

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| II. Background |
| Through direct activity support to countries and, more recently, using the Targeted Support modality, the UN-REDD Programme has been able to provide catalysing support to Partner Countries for the participation of indigenous peoples (IPs) and civil society organizations (CSOs) in REDD+. This has included the development and application of stakeholder engagement guidance in countries (e.g., the Joint UN-REDD and FCPF Stakeholder Engagement Guidelines; UN-REDD Guidelines on Free, Prior and Informed Consent (FPIC)) and supporting early stakeholder participation processes and systems to ensure that robust mechanisms and platforms exist to support meaningful, full and effective stakeholder engagement.  The UN-REDD Programme budget submission at the Ninth Policy Board Meeting in October 2012 reflected a number of budget reductions, including a budget reduction for the work area on stakeholder engagement under Outcome 4, *“Indigenous Peoples, local communities, civil society organizations and other stakeholders participate effectively in national and international REDD+ decision making, strategy development and implementation.”* Concerns voiced by Policy Board members regarding this reduction led to a decision during the Tenth Policy Board Meeting in June 2013 to restore $380,000 to the budget of Outcome 4 for 2013. Funding was also approved for a component on Support to Community Based REDD+ (CBR+) to provide communities with access to small grants to encourage grassroots action in order to support REDD+ readiness and to empower ground-level actors.  However, the 2014 budget for Outcome 4[[3]](#footnote-3) still represents a reduced budget[[4]](#footnote-4) and, given the increasing demand for this area in countries and growing understanding that stakeholder engagement requires consistent and continued investment, the UN-REDD Programme has developed this funding request to cover both the shortfall imposed by reductions to the 2014 budget and to extend further support to Partner Countries in this important work area. Under the currently available reduced budget for 2014, core functions are covered to ensure sufficient guidance and support to countries with funding from National Programmes/R-PPs and to cover essential regional and international functions (such as support to the IP and CSO representatives to the Policy Board; basic knowledge management functions on stakeholder engagement; direct support to key regional and international IP and CSO actors to ensure their continued participation in regional and international REDD+ processes; continued coordination with FCPF and other REDD+ initiatives on the issue of stakeholder engagement).  The extra funding requested in this proposal would provide the opportunity to catalyse stakeholder engagement with a special focus on: (a) Partner Countries that don’t currently receive support through UN-REDD National Programmes but are prioritized for either their potential to receive National Programme funding, or have potential to serve as successful pilots or early movers in stakeholder engagement; and (b) Countries that are leading in REDD+ and could provide testing grounds for more advanced concepts and approaches, such as FPIC and grievance, serving as examples for other Partner Countries.  Once funding is secured, activities would have to be developed in collaboration with prospective countries in response to their needs, thus a definitive list of countries will be provided at a later date. However, based on current engagement with and activity implementation in Partner Countries, it is proposed that countries which could be involved in the execution of the activities outlined in this proposal may include, for example: Bangladesh, Colombia, Cote d’Ivoire, Democratic Republic of Congo (DRC), Honduras, Kenya, Myanmar, Paraguay, Republic of Congo, South Sudan, Suriname, or Uganda. |

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| III. Results framework and theory of change |
| The Country Needs Assessment (CNA) recognized the importance of strengthening support to CSOs and IPs and the need to ensure effective consultation and participation processes for the success of REDD+. The prominence and importance of the work under SNA Outcome 4 is therefore recognized and responding to this demand, the current proposal provides a framework for further support to countries to strengthen their results in stakeholder engagement. Further funding in addition to the approved budget for SNA Outputs 4.1-4.4 would allow the UN-REDD Programme to provide deeper, vital assistance to government, IP, CSO and other stakeholders who have called for greater support to improve engagement and participation. In addition, an emphasis will be placed on promoting learning and ensuring that knowledge and best practice from supported activities is captured and shared.  Results will contribute to meaningful change through:   * Supporting countries to concretely apply UN-REDD guidance on stakeholder engagement that will lead to embedded approaches and strategies that will facilitate the mainstreaming of effective stakeholder engagement practices in countries. * Building and/or strengthening mechanisms and key platforms and networks in countries, as well as the capacity of key stakeholders, to ensure that the enabling environment and ability of key actors to engage and support effective stakeholder engagement is provided in countries. * Improving the knowledge of key stakeholders and supporting learning through sharing of lessons learned and best practice through the generation of deeper understanding and knowledge from the activities carried out under this proposal.   Support will be given via a mixture of direct support to countries, targeted support and regional/global level activities. Indicative activities are outlined below:  Expected Result 1 (SNA Output 4.3): Supported countries apply UN-REDD guidance related to stakeholder engagement concretely in national REDD+ activities.  Indicative Activities   * Collaborative development of national and sub-national strategies and/or guidance for stakeholder engagement, FPIC and grievance with key IP, CSO and other stakeholders; * Reviewing existing national consultation/grievance mechanisms; * Diagnostic mapping and analysis of key stakeholders and consultations to build consensus on the importance of stakeholder engagement in national REDD+ processes; * Supporting countries' capacity building processes for stakeholder engagement, FPIC and grievance mechanisms to implement national and sub-national strategies and/or guidance.   Expected Result 2 (SNA Output 4.1): Knowledge based on practical experience in stakeholder engagement for REDD+ is shared effectively and contributes to increased capacity of supported countries to ensure the full and effective participation of stakeholders.  Indicative Activities   * National and/or regional capacity building workshops on key REDD+ themes and issues; * Synthesizing, recording and sharing best practice and lessons learned from UN-REDD stakeholder engagement activities; * Supporting national and/or regional stakeholder knowledge exchanges (e.g., best practice, lessons learned, South-South learning exchanges/study trips) for countries supported under this proposal; * National and/or regional level consultations to solicit the perspectives of IPs and key civil society stakeholders on opportunities and challenges for stakeholder engagement in REDD+; * Designing tailored REDD+ awareness materials in local languages for countries supported under this proposal |

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| IV. Management arrangements and partnerships |
| The UN-REDD lead agency for this initiative is UNDP and as such will be responsible for the overall coordination, management and reporting. All three agencies will collaborate as per the UN-REDD modus operandi to ensure cohesion and coherence.  Other agencies and departments of the UN will also join in the process to strengthen participation. Substantive collaboration will be furthered with important partners such as the FCPF, International Labour Organization, the Office of the High Commissioner for Human Rights, the Democratic Governance Group of the UNDP, and UN Women. The UN-REDD Programme will also continue to closely work with the FCPF via UNDP’s role as an FCPF delivery partner and work with other delivery agencies such as the World Bank, the Inter-American Development Bank, GIZ, and others.  This work will be coordinated closely at the regional and national levels by the UN-REDD Programme’s Regional Stakeholder Engagement Specialists, in collaboration with UN-REDD National Programme teams, institutions, and focal points in government, civil society, IP representative networks and other sectors. The Programme will work with each country individually to ensure mechanisms for in-country coordination of efforts and to bridge any capacity and institutional gaps. |
| V. Monitoring and Evaluation |
| Based on the initial Monitoring Framework in the “Support to National REDD+ Action: Global Programme Framework 2011-2015” (SNA), the UN-REDD Programme has already proposed global-scale SMART (specific, measurable, attainable, relevant and time-bound) indicators for success in implementing its work (UNREDD/PB10/2013/XII/2c). Relevant indicators are:  (4.1a) Percent increase of relevant REDD+ stakeholder organizations who have benefitted from REDD+ informing activities at the international level, such as workshops and training.  (4.1b) Percent increase of relevant stakeholder organizations at the national level in Partner Countries with UN-REDD National Programmes who have been fully informed of REDD+ through Programme activities.  (4.3a) Percentage of Partner Countries that have workplans, national REDD+ strategies and other UN-REDD supported activities that demonstrate uptake and application of stakeholder engagement guidelines, and associated tools.  (4.3b) Percentage of Partner Countries that have activities to support the implementation of FPIC and grievance.  (4.4a) Percentage of countries with UN-REDD National Programmes that have effective engagement mechanisms (such as stakeholder fora, technical working groups, or steering committees with decision-making roles) that have been developed inclusively.  These indicators will be adopted for the present work; the number of countries and stakeholder organizations associated with each of the indicators will depend on the nature of the requests for support put forward, however minimum estimates have been given based on initial assessments of the potential to implement the proposed activities in countries.  As per UNDG guidelines for joint programming on resources for monitoring, 5% of the implementation budget has been allocated for monitoring and evaluation costs and is included in the budget of the concept note on “Results Based Management – Managing for Results”. |

**VI. Indicative Results Framework[[5]](#footnote-5)**

| **Outcome** | **Output** | **Responsible Agency** | **Indicative Activities** | **Indicative Timeline** | | | | | | | | **Indicative budget (Q1 -Q4 2014)**  **(US$)** | **Indicative budget (Q1 2015 -Q4 2015) (US$)** | **Indicative budget (Q1 2014 -Q4 2015) (US$)** |
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| **2014** | | | | **2015** | | | |
| **Q1** | **Q2** | **Q3** | **Q4** | **Q1** | **Q2** | **Q3** | **Q4** |
| Expected Result 1[[6]](#footnote-6): Supported countries apply UN-REDD guidance related to stakeholder engagement concretely in national REDD+ activities | National stakeholder engagement strategies developed collaboratively in at least 4 Partner Countries | UNDP | Detailed stakeholder mapping/analyses; Consultations with key stakeholders; Review existing national consultation/grievance mechanisms; Provide international expertise in key technical areas; Draft national strategies/guidelines; Consult on preliminary draft strategies/guidelines; Capacity building workshops for key stakeholders to implement national strategies/guidelines; Coordinate and collaborate with FCPF |  |  |  |  |  |  |  |  | 220,000 |  | 220,000 |
| Same Output, in at least 4 further countries |  |  |  |  |  |  |  |  |  | 220,000 | 220,000 |
| National FPIC Guidelines developed in at least 2 Partner Country and initial FPIC activities completed in at least 4 countries |  |  |  |  |  |  |  |  | 210,000 |  | 210,000 |
| Same, in at least 3 further countries |  |  |  |  |  |  |  |  |  | 155,000 | 155,000 |
| Expected Result 1 *(cont.)* | National grievance guidance and mechanisms developed in at least 3 Partner Countries | *UNDP* | *(As above)* |  |  |  |  |  |  |  |  | 255,000 |  | 255,000 |
| Same in at least a further 2 Partner Countries |  |  |  |  |  |  |  |  |  | 190,000 | 190,000 |
| **Sub-total, Result 1** |  |  |  |  |  |  |  |  |  |  |  | **685,000** | **565,000** | **1,250,000** |
| Expected Result 2[[7]](#footnote-7): Supported countries have strong mechanisms and institutions to ensure the full and effective participation of stakeholders in national REDD+ processes | IPs and CSOs able to access and effectively participate in national REDD+ processes via stakeholders platforms and networks in at least 4 Partner Countries | UNDP | Consultations with existing organizations/networks; Creation/strengthening of national REDD+ multi-stakeholder platforms; Strengthening of key national and local stakeholder networks/organizations; Capacity gap analyses; Capacity building workshops for target stakeholder groups; Translation and dissemination of key materials |  |  |  |  |  |  |  |  | 255,000 |  | 255,000 |
| Same, in at least a further 2 Partner Countries |  |  |  |  |  |  |  |  |  | 130,000 | 130,000 |
| Capacity of IPs and CSOs supported to directly engage in national REDD+ processes in at least 4 Partner Countries |  |  |  |  |  |  |  |  | 220,000 |  |  |
| Same, in at least a further 2 Partner Countries |  |  |  |  |  |  |  |  |  |  | 110,000 |  |
| **Sub-total, Result 2** |  |  |  |  |  |  |  |  |  |  |  | **475,000** | **240,000** | **715,000** |
| Expected Result 3[[8]](#footnote-8): Supported countries' capacity to ensure full and effective participation is improved and knowledge based on practical experience of best practice on engaging IPs and CSOs in supported countries is shared effectively | Analyses of best practice in engagement of IPs and CSOs developed and shared with at least 10 Partner Countries | UNDP | National/regional workshops to review national stakeholder engagement experience; South-South exchange visits; National/regional capacity building workshops with key stakeholders; Development of translated awareness raising materials into local languages; Development of lessons learned reports |  |  |  |  |  |  |  |  | 240,000 |  | 240,000 |
| Same, with at least a further 10 Partner Countries |  |  |  |  |  |  |  |  |  |  | 240,000 | 240,000 |
| Increased knowledge and understanding of key REDD+ issues of IP, CSO and women stakeholders in at least 6 Partner Countries |  |  |  |  |  |  |  |  | 230,000 |  | 230,000 |
| Same, in a further 6 partner countries |  |  |  |  |  |  |  |  |  |  | 230,000 | 230,000 |
|  | Learning and best practice from key stakeholder engagement activities in this proposal recorded and disseminated to Partner Countries, donors, and other key stakeholders |  |  |  |  |  |  |  |  | 150,000 | 150,000 | 300,000 |
| **Sub-total, Result 3** | | | |  |  |  |  |  |  |  |  | **620,000** | **620,000** | **1,240,000** |
| **Subtotal, Results 1-4** | | | |  |  |  |  |  |  |  |  | **1,780,000[[9]](#footnote-9)** | **1,425,000** | **3,205,000** |
| **Indirect support costs (7%)** | | | |  |  |  |  |  |  |  |  | **124,600** | **99,750** | **224,350** |
| **Total Requested Amount (US$)** | | | |  |  |  |  |  |  |  |  | **1,904,600[[10]](#footnote-10)** | **1,524,750** | **3,429,350** |

1. The work areas are: Measurement, Reporting and Verification (MRV); Governance; Stakeholder Engagement; Multiple Benefits and Safeguards; Transparency and Accountability; and, Green Economy. [↑](#footnote-ref-1)
2. Out of this amount, approximately US$ 670,000 is allocated to targeted support upon demand from countries. See also separate concept note on targeted support. [↑](#footnote-ref-2)
3. As approved during the Ninth Meeting of the UN-REDD Programme Policy Board. [↑](#footnote-ref-3)
4. The separate request for a restoration of the SNA budget does not include a request for Outcome 4 restoration for 2014 because it is included in this concept note. [↑](#footnote-ref-4)
5. The draft Framework will be embedded in the overall SNA Monitoring Framework 2013-2014. [↑](#footnote-ref-5)
6. This result relates to SNA Output 4.3: Support for the implementation of effective stakeholder engagement practices and guidelines in REDD+ countries. [↑](#footnote-ref-6)
7. This result relates to SNA Output 4.4: Stakeholders are supported to engage in and influence national and international REDD+ processes [↑](#footnote-ref-7)
8. This result relates to SNA Output 4.1: Indigenous Peoples, local communities, civil society organizations, and other relevant stakeholders are informed of national and international REDD+ processes, policies and activities [↑](#footnote-ref-8)
9. 5% of this amount for monitoring and evaluation costs is included in the separate concept notes on “Results Based Management – Managing for Results” (SNA Outcome 8). [↑](#footnote-ref-9)
10. Out of this amount, about US$ 670,000 is allocated to targeted support upon demand from countries. See separate concept note on targeted support. [↑](#footnote-ref-10)