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| ***Readiness Preparation Proposal (R-PP)***  ***[Only for interim use by UN-REDD Programme.***  ***Not for use by countries for submitting an R-PP to FCPF]***  ***for Country: xxx*** *[[* name of country *]]*  ***Date of submission or revision:*** *[[* add date here *]]* **Working Draft Interim Version 5 (revised) for UN-REDD Use Only** **June 13, 2011** **[Forest Carbon Partnership Facility (FCPF)]**  **The United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (UN-REDD)** |

Note: This is the same R-PP template of December 22, 2010 version, with interim updates in guidelines for temporary use by the UN-REDD Programme until the 6th version is released in July, 2011. This interim version does not address the FCPF Common Approach for Multiple Delivery Partners under consideration.

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| *Disclaimer: The World Bank and the UN-REDD Programme do not guarantee the accuracy of the data included in the Readiness Preparation Proposals (R-PPs) submitted by REDD Country Participants and accepts no responsibility whatsoever for any consequence of their use. The boundaries, colors, denominations, and other information shown on any map in the R-PPs do not imply on the part of the World Bank any judgment on the legal status of any territory or the endorsement or acceptance of such boundaries.* |

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| **Guidelines for Preparing an R-PP** |

1. The Readiness Preparation Proposal (R-PP) is a document designed to assist a country prepare itself for involvement in REDD-plus, under either the FCPF or the UN-REDD Programme.
2. In this document, REDD-plus is understood to include the five activities listed in Decision 1/CP.16: *“reducing emissions from deforestation; reducing emissions from forest degradation; conservation of forest carbon stocks; sustainable management of forest; enhancement of forest carbon stocks*.” References are made throughout to this December, 2010, COP 16 Long-term Cooperative Action (LCA) decision, " *Decision 1/CP.16, The Cancun Agreements: Outcome of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention*," which has significant UNFCCC guidance for REDD-plus activities.
3. Safeguards overview: If a Readiness Grant from the FCPF is expected to support any of the country’s ‘REDD readiness’ preparation work and be channeled through the World Bank, the relevant World Bank’s safeguard policies apply to this work and have to be complied with.[[1]](#footnote-1) The various requirements of the policies will apply to the degree applicable, depending upon the stage of readiness and types of projects, activities, or policies/regulations, and related impacts.
4. The Participants Committee of the FCPF decided in its Resolution PC/7/2010/4 in November, 2010, to pilot inclusion of additional delivery partners for the FCPF Readiness Fund. A task force has been created to explore the modalities for pioneering additional delivery partners for the formulation of R-PPs and for preparation of Readiness Packages in the Readiness Fund which will report back to the Participants Committee in June, 2011. These modalities are expected to include discussion of environmental and social safeguards. . It is anticipated that each delivery partner would follow its fiduciary framework and policies, guidelines and procedures in supervising the use of funds transferred by the World Bank as Trustee of the Readiness Fund. Further guidelines may be forthcoming on additional delivery partner modalities, once the task force has performed its work. UN-REDD Programme guidelines would be provided separately.
5. REDD-plus Readiness core components: The R-PP provides a framework for taking stock of the national situation with respect to deforestation, forest degradation, and the other REDD-plus activities, and also for addressing this situation by undertaking analytical work and by publically consulting on the core components of REDD-plus readiness. COP 16 LCA decision in paragraph 71 now requests developing country Parties to develop the four main elements listed below in quotation marks, which are consistent with the R-PP's major components, in a somewhat different order. These four core COP decision elements (and where they are addressed in the R-PP) are:
   * + 1. **REDD plus strategy::** Identification of REDD-plus strategy options in R-PP component 2b: a set of program or policy actions to reduce deforestation and/or forest degradation and enhance and conserve carbon stocks, that directly addresses the key drivers of deforestation and degradation identified in the assessment above. The REDD-plus strategy options include adjustments to address the legal, regulatory, institutional and capacity gaps affecting the effectiveness to respond to the priority environmental and social considerations associated with the key drivers of deforestation and forest degradation. This strategy also includes work developing the REDD-plus institutional and legal implementation framework necessary to implement these strategy options. The selection and design of strategy options should be guided by the assessment, the findings of analytical studies during implementation of the R-PP work, as well as the results from consultations and the public participation of the REDD-plus readiness process;

The Cancun COP REDD-plus text refers to “A national strategy or action plan” (Decision 1/CP.16 paragraph 71 (a)).

* + - 1. **Assessment of land use, forest law, policy and governance:** Identification of REDD-plus strategy options requires an assessment of the situation with respect to deforestation, forest degradation, conservation and sustainable management of forests and relevant governance issues, which includes the identification of priority environmental and social considerations associated with the key drivers of deforestation and forest degradation (R-PP component 2a);
      2. **Reference level:** an estimate of historic forest cover change and greenhouse gas (GHG) emissions and uptake from deforestation and/or forest degradation and the other REDD-plus activities, reflecting national circumstances, potentially including forward-looking projections of emissions (R-PP component 3);

The Cancun COP REDD-plus text refers to "A national forest reference emission level and/or forest reference level” (Decision 1/CP.16 paragraph 71 (b)).

* + - 1. **Monitoring system:** to measure, report and verify (MRV) the effect of the REDD-plus strategy on GHG emissions and other multiple benefits, and to monitor the drivers of deforestation and forest degradation, as well as other variables relevant to the implementation of REDD-plus (R-PP component 4);

The Cancun COP REDD-plus text refers to "A robust and transparent national forest monitoring system" (Decision 1/CP.16 paragraph 71 (c)).

* + - 1. **Social and environmental Impacts:**  Assessment of key social and environmental risks and potential impacts of REDD-plus strategy options, implementation framework, etc. consistent with World Bank or other delivery partner safeguard policies. The assessment of risks and potential impacts during preparation of the REDD-plus strategy will be integrated into the preparation of the REDD-plus strategy itself, and an Environmental and Social Management Framework (ESMF) will be prepared to manage these risks and impacts during implementation of the REDD-plus strategy (as elaborated in component 2d). Guidelines Table 1 below provides an overview of Strategic Environmental and Social Assessment (SESA) activities,by Readiness Phase and R-PP components. Note that SESA activities take place throughout components 1 and 2, in particular; and that most of the activities take place after the R-PP has been written, during the Readiness Preparation phase (i.e., implementation of R-PP workplan). (UN-REDD Programme guidelines will be provided separately for the application of the UN-REDD social and environmental principles and associated tools.). (Safeguards are integrated into R-PP components 1 and 2 largely.)

The Cancun COP REDD-plus text refers to "A system for providing information on how the safeguards referred to in appendix 1 to this decision are being addressed…" (Decision 1/CP.16 paragraph 71 (d)).

1. Key questions to address: Through its R-PP, the country lays out a roadmap of preparation activities needed to undertake the work in the core components listed above, indicating:
   1. How REDD-plus preparation work will be organized and managed in the country, including procedures for information sharing, consultations with and participation by concerned stakeholder groups;
   2. What capacity building and financial resources are needed and who would fund and undertake them (e.g., domestic agencies, NGOs, foundations, private sector, international donors, etc.);
   3. How the country intends to allocate available funding, sets a plan and schedule the identified activities, including funding arrangement such as the support foreseen from the FCPF or UN-REDD.
2. Readiness Package: The outcome of the REDD-plus readiness preparation phase is anticipated to be a Readiness Package (R-Package), to be prepared after the execution of the studies and activities proposed in the R-PP, if a country decides to pursue financing of REDD-plus emissions reduction activities on the ground. The R-Package content has not been defined yet, but is likely to contain the following elements:
   1. Results of studies, consultations and actions implemented to date (in the context of the execution of the R-PP): Implementation actions that have already occurred as part of the national preparation for REDD-plus readiness, e.g., enacted legislation or regulations defining carbon rights, establishment of monitoring plots, creation of new funding mechanism, etc.; and
   2. Actions still being planned: A forward-looking part, which specifies what remains to be done to achieve the state of REDD-plus readiness.
   3. Preliminary identification of potential emissions reduction activities, potentially including a proposed set of specific land parcels, land use activities and practices, policies, institutional arrangements, estimates of emissions reductions, and estimated financing and costs. (Note that the Readiness grant does not finance any pilot projects implemented on the ground).
   4. A draft ESMF that will provide the framework for managing environmental and social risks and to mitigate potential adverse impacts; and a summary of SESA activities and outcomes.
3. The R-PP development and implementation process should be a significant, inclusive, forward-looking and coordinated effort undertaken in consultation with relevant stakeholders in the country about their ideas and concerns regarding REDD-plus, with a view to reaching a common vision of the role of the national REDD-plus strategy in national development and to engaging stakeholders in R-PP activities and the implementation of the REDD-plus strategy.
4. Information sharing and consultation: The national focal point for REDD-plus should share the R-PP with as many of the stakeholders referred to in the R-PP as possible, and engage in discussions with these stakeholders on the R-PP as soon as possible. Consultation with relevant stakeholders could then be followed up during the work funded by the R-PP by broad-ranging and targeted consultation with and engagement of relevant stakeholders, as provided for in the consultation and participation plan. For UN-REDD countries, as part of the ongoing consultation process, a stakeholder consultation meeting (“validation meeting” or equivalent) with the participation of the UN Resident Coordinator (or designate), national government counterpart (or designate), and• civil society/indigenous peoples representatives, is required prior to submitting the R-PP to the UN-REDD Programme’s Secretariat. Evidence of the consultation should be appropriately documented (i.e., signed minutes of meetings. UN-REDD Programme guidelines will be provided separately. For FCPF countries, it is good practice to hold a validation meeting with key stakeholders to discuss the R-PP draft prior its submission to FCPF. Information sharing and consultations leading to the validation of the R-PP should include culturally sensitive consultations with key stakeholders, including indigenous peoples and vulnerable stakeholders. Each component has two parts: This document guides the country in developing its R-PP. The product addresses the core components of REDD-plus readiness, and is comprised of two parts for each component:
5. A summary of relevant activities already taken and a work plan of work to be done in the future in relation to each component (e.g., studies, data collection, pilot programs, workshops, etc.). The body of this guideline document contains space to this effect in each component. Feel free to take as much space as necessary, but strive to limit the length of each component to the page length estimates if possible; and
6. An optional annex allowing the country to present more details, or a fuller plan and/ordraft input to terms of reference (ToR) for the work to be undertaken for that component. Important information should not be left in the annexes only; instead it should be presented, or at least summarized, in the main text of the R-PP.
7. Standards: Note that the standard to be met for each subcomponent is included in the component, to guide your decisions about what text to include and what to stress or delete.
8. Good practices: Emerging good practices are listed in some components that provide guidelines on how a country should work to address that component based on experience that has emerged from previous FCPF countries developing their R-PPs and presenting them to the FCPF Participants Committee and the independent Technical Advisory Panel experts for assessment. These good practices should be followed, to the extent feasible.
9. Annexes: Annexes to this document are provided to offer specific guidelines on some components, draft terms of reference for studies, lists of analytic tools that may help you organize your work, etc., by component.
10. Length: Please keep the length of the body of the R-PP to 75 pages, and the total length of the document (including annexes) to a maximum of 150 pages. Include in the main text any material you consider essential in order for others to understand the work you propose to perform, and why, to address your specific country context. Other details, lists, and background should be noted in the main text, but moved to an annex
11. Submission date and revision: Please put the date of submission on the first page. For any revision to the R-PP, add the new date, and show your changes in Track Changes mode in Word, as underlined text, or in a clear table of changes made, to help reviewers assess the revisions.
12. Submission: The national focal point for REDD-plus should submit the completed R-PP to the FCPF Facility Management Team at [fcpfsecretariat@worldbank.org](mailto:fcpfsecretariat@worldbank.org) If the country is participating under UN-REDD Programme, once agreed between the government and the three participating UN agencies, the completed R-PP should be submitted to the UN-REDD Programme’s Secretariat at [un-redd@un-redd.org](mailto:un-redd@un-redd.org). It should be submitted through the country’s UN Resident Coordinator, along with signed validation meeting (or equivalent) minutes.
13. Disclaimer: Please note the disclaimer on the front of this document regarding use of maps or other information and include it on the front of your submitted R-PP document. Review the R-PP text, maps, data, etc. to be certain they do not contain any information that may reflect national political or other positions but may also be policy sensitive to other countries or parties.

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| **Box 1: Early Lessons from FCPF R-PPs and UN-REDD National Programmes**  Assessment of early R-PPs by the Participants Committee and by the UN-REDD Programme suggests the following early lessons for countries preparing an R-PP, as well as preparing and implementing National Programmes:   1. **Develop some form of cross-sectoral REDD-plus working group:** The working group composition and national REDD-plus management processes need to be cross-sectoral and engage relevant sectors and stakeholders. Some working groups described to date in R-PPs were dominated by a single agency and did not include other key agencies (e.g., agriculture, mining, transportation) and interest forest agency. FCPF experience in R-PP and UN-REDD experience in developing National Programmes has made clear that REDD-plus readiness requires cross-sectoral coordination within multiple government agencies. These need to include forestry and environmental authorities, land management authorities, finance ministries, sub-national government agencies, all of whom may have responsibility on some aspects of the process. In some countries, forestry and environment agencies have to learn to work more closely together and cooperatively with civil society and indigenous peoples, as all have competencies related to REDD-plus. 2. **Create platforms for meaningful and effective stakeholder participation:** Participation and engagement is critical to developing viable REDD-plus strategies and implementation frameworks, and should begin as early as possible when a country begins considering participation in REDD-plus. REDD-plus requires extensive information sharing with and consultation among interested stakeholders including multi-sectoral government agencies, civil society, private sector, indigenous peoples, and development partners. Stakeholder consultation processes not only ensure wide-ranging acceptance and interest in REDD-plus, but also build the trust of stakeholders and support their capacity to participate in REDD-plus in a meaningful and effective way. The readiness process needs to establish both formal and informal mechanisms to ensure adequate consultation among all these stakeholders.   For countries in UN-REDD or that otherwise follow a policy of Free, Prior and Informed Consent (FPIC) , its implementation is an on-going process, rather than a single event. Adequate time needs to be allowed for the careful management of awareness raising and engagement with local authorities and other key stakeholders. Provision of enhanced local capacity for effective awareness raising and discussion of issues is important, as is carefully structuring an FPIC process and documenting its decisions.   1. **Invest significant effort in the Assessment of Land Use, Forest Law, Policy and Governance**: In order to provide insights for the REDD-plus strategy development, detailed qualitative and quantitative analysis of existing data and studies of land use trends and previous efforts to slow deforestation is required. Trends in sectors outside forests (e.g., mining, agriculture, transportation) may be important drivers of deforestation and degradation. REDD-plus strategy programs and actions need to respond to specific drivers in given regions and socioeconomic conditions in the country. Try to address key drivers and regions with REDD-plus strategy elements, or the solution will not match up with the causes. Begin consultation on the R-PP with relevant stakeholders during its development and discuss the structure of the Consultation and Participation Plan required in the R-PP. Discuss the consultations held to date, and the plans for further consultations, especially with forest-dependent indigenous peoples and other forest dwellers. 2. **Address proposed institutional arrangements for implementing REDD-plus and governance:** Discuss issues associated with the drivers of deforestation and the proposed REDD-plus strategy as thoroughly as possible. They are considered critical to the potential success of REDD-plus, and considerable attention is focused on them during the PC's assessment of each R-PP. Examples of institutional and governance issues in the REDD-plus context include: Does the country recognize the importance of evaluating current institutional arrangements, functioning, transparency, equity, etc. relevant to its proposed REDD-plus strategy and programs? Are there uncertainties regarding land tenure arrangements for some land uses or types of land ownership that may pose a barrier to realizing a specific proposed REDD-plus program?   Description of REDD-plus strategies should include discussion of how countries plan to address assessments of tradeoffs between REDD-plus and other development objectives or land uses and costs-- including opportunity costs-- and benefits. Countries will need to consider how the strategy could enhance or detract from the multiple benefits of REDD-plus. Such potential benefits may include conservation of forest biodiversity, water regulation, soil conservation, timber, forest foods and other non-timber forest products. In order to effectively address the drivers and causes of deforestation, this assessment of tradeoffs will need to take into account social and environmental costs and benefits of retaining and restoring forests to ensure that these benefits continue to accrue to local communities and indigenous peoples dependent upon them.   1. **Provide detail and specifics wherever possible:** Overly general descriptions of consultations, drivers of deforestation, or REDD-plus strategy options in R-PPs have resulted in many questions, and requests for more specific, detailed revisions. Lists of potential activities have been considered less useful than an R-PP that clearly describes specific, high-priority activities directly aimed at addressing the prioritized drivers and underlying causes of deforestation, or other components. Include all information necessary to describe the full set of proposed activities in and background for the R-PP right in the text under the proper component, rather than in a set of many annexes. Use the annexes for supplementary material, not to provide information essential to understanding the R-PP. 2. **Work diligently to make clear connections throughout the R-PP across these strongly interconnected components:** component 2a) assessment of the key drivers of deforestation and degradation; 2b) the REDD-plus strategy that is designed directly to address the drivers in 2a; 3) the reference level, which summarizes land use change and GHG emissions over time from the drivers, and may also project how existing or new drivers affect forest lands into the future, and 4) MRV, which needs to be designed to be capable of monitoring changes in the drivers, capture the effects of the REDD-plus strategy options as they are implemented, and compare results to the reference level. 3. **Establish coherence with work being conducted** in the context of other related initiatives, for example FLEGT, Forest Investment Program, and any other bilateral initiatives. The design of national REDD-plus strategies will be stronger and more likely to be effective if it builds upon lessons learned from experiences on implementing forest conservation and restoration, payment for environmental services (PES) and integrated conservation and development projects. 4. **Clearly show how proposed activities would be supported by the anticipated sources of funding:** Clearly identify which of the many activities discussed in the R-PP are expected to be funded with financial support from the FCPF and/or UN-REDD, which your government is contributing toward, and which are expected to be supported by other potential sources of funding. The summary budget tables after each component in this document should be used for this purpose. Component 5 should synthesize all this information into a coherent set of tables and text. |

**Guidelines Table 1: Overview of SESA Activities Prepared by the REDD-Plus Country,**

**by Readiness Preparation Phase and R-PP Components**

Note: This table provides specific guidelines to FCPF countries where the World Bank is the delivery partner or the country elects to use SESA and ESMF. Otherwise, it is not applicable for UN-REDD countries. Guidance on social and environmental principles applicable to UN-REDD countries will be added in August, 2011.

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| **SESA Activities, and Relevant R-PP Component** | **Document Produced, and By Whom** |
| **R-PP Formulation Phase: After the Readiness Formulation Grant (USD$ 200K) is signed.**  **SESA Tasks to be completed during this phase and documented in the R-PP:** | |
| Organize and consult for integrating environmental and social considerations in REDD-plus strategy options as explained in component 2d of the guidelines for R-PP development. | R-PP, by REDD country |
| Component 1a: A stakeholder analysis should be conducted early, to feed into the composition of the cross-sectoral, national-level working group. Set up coordination arrangements for SESA so that social and environmental considerations can be integrated into the REDD-plus readiness process and REDD-plus strategy development. | R-PP, by REDD country |
| Component 1b, 1c and 2: Establish outreach, communication and consultative mechanisms with relevant stakeholders for components 1b, 1c, 2a, 2b, 2c, and 2d. The consultations for the REDD-plus readiness process and the country’s consultation plan also serve as the consultations for the SESA process, and therefore there is a need to include the consultations on the social and environmental considerations into the overarching consultation plan for the REDD-plus readiness. The following should be documented:   * The key drivers of REDD-plus identified by stakeholders, and social and environmental concerns heard during the meetings/ workshops held during the R-PP formulation phase. * In the Consultation and Participation Plan (1c) for the overall consultation for REDD-plus readiness, show how the consultations on social and environmental issues will be undertaken. | R-PP, by REDD country |
| **Readiness Preparation Phase (implementation of the R-PP workplan):** | |
| **After PC has assessed the Readiness Preparation Proposal and authorized the Readiness Preparation grant (up to $USD 3.6M) and before the grant is signed:** | |
| Identify which of the ten World Bank safeguards policies could be applied by the REDD-plus program | REDD Country assesses, with assistance from World Bank.  R-PP Assessment Note, by World Bank; and REDD country |
| **After the Readiness Preparation Grant is signed:** | |
| Component 2a: Analyze the linkage of drivers of deforestation and forest degradation with environmental and social impacts; and vice versa. Identify key challenges to be addressed, and data on these challenges and causal factors, including those issues linked to the Bank safeguard policies. | Include draft in R-PP Progress Report, by REDD country  Final version in R-Package by country |
| Component 2b: Select environmental and social priorities in a participatory way.  Assess existing legal, institutional, regulatory arrangements and capacity gaps to manage these priorities. The results of the gaps assessment should feed into the selection and/or formulation of the REDD-plus strategy options.  Assess environmental and social risks and potential impacts of proposed REDD-plus strategy options which should also inform the final selection and formulation of REDD-plus strategy options. | Include draft in R-PP Progress Report, by REDD country  Final version in R-Package by REDD country |
| Component 2c: Describe how findings in 2b were used to guide the design of the ESMF, specifically, and the REDD-plus implementation framework more generally. | Include draft in R-PP Progress Report, by REDD country  Final version in R-Package by country |
| After the REDD-plus strategy options start to become known:   * Revisit initial determination of applicable World Bank safeguard policies, and make final determination if possible * ESMF ToR: Using Annex C, develop Terms of Reference for preparing ESMF, as soon as feasible | Include in R-PP Progress Report, by REDD country, with contributions by World Bank |
| Component 2d: Prepare ESMF consistent with World Bank safeguard policies to mitigate and manage impacts and risks associated with the implementation of the REDD-plus strategy options. Include final listing of safeguard policies triggered.  ESMF should include the following components, as relevant:   * + Environmental Management Framework   + Resettlement Policy Framework   + Process Framework   -- Indigenous Peoples Planning Framework | R-Package by REDD country |
| Summary of SESA: Provide summary of SESA activities and outcomes, using Annex D. | Include draft in R-PP Progress Report, by REDD country  Final version in R-Package by REDD country |
| **During Implementation of R-Package (when supported by the World Bank):** | |
| As specific project(s), activity(ies), policy(-ies)/regulation(s) related to REDD-plus strategy implementation are developed, the country will follow procedures specified in the ESMF if Bank funding is used, and develop impact mitigation/management plans for them. | REDD Country and the World Bank |
| If other World Bank safeguard policies should be applied during implementation, the ESMF is updated accordingly. | Revised ESMF, by REDD Country |

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| R-PP Table of Contents |

[Component 1: Organize and Consult 13](#_Toc280871160)

[1a. National Readiness Management Arrangements 13](#_Toc280871161)

[1b.Information Sharing and Early Dialogue with Key Stakeholder Groups 16](#_Toc280871162)

[1c. Consultation and Participation Process 21](#_Toc280871163)

[Component 2: Prepare the REDD-plus Strategy 26](#_Toc280871164)

[2a. Assessment of Land Use, Forest Law, Policy and Governance 26](#_Toc280871165)

[2b. REDD-plus Strategy Options 30](#_Toc280871166)

[2c. REDD-plus Implementation Framework 35](#_Toc280871167)

[2d. Social and Environmental Impacts during Readiness Preparation 39](#_Toc280871168)

[and REDD-plus Implementation 39](#_Toc280871169)

[Component 3: Develop a Reference Level 43](#_Toc280871170)

**Component 4: Design a Monitoring System**

[4a. Emissions and Removals 51](#_Toc280871171)

[4b. Multiple Benefits, Other Impacts, and Governance 54](#_Toc280871172)

**Component 5: Schedule and Budget**

**Component 6: Design a Program Monitoring and Evaluation Framework**

[Suggested Annexes for the R-PP (Optional) 62](#_Toc280871173)

[Annex 1a: National Readiness Management Arrangements 62](#_Toc280871174)

[Annex 1b: Information Sharing and Early Dialogue with Key Stakeholder Groups 62](#_Toc280871175)

[Annex 1c: Consultation and Participation Process 63](#_Toc280871176)

[Annex 2a: Assessment of Land Use, Forest Law, Policy and Governance 63](#_Toc280871177)

[Annex 2b: REDD-plus Strategy Options 63](#_Toc280871178)

[Annex 2c: REDD-plus Implementation Framework 64](#_Toc280871179)

[Annex 2d: Social and Environmental Impact during Readiness Preparation 64](#_Toc280871180)

[and REDD-plus Implementation 64](#_Toc280871181)

[Annex 3: Develop a Reference Level 65](#_Toc280871182)

[Annex 4: Design a Monitoring System 65](#_Toc280871183)

[Annex 5: Schedule and Budget 65](#_Toc280871184)

[Annex 6: Design a Program Monitoring and Evaluation Framework 65](#_Toc280871185)

**Annexes Providing Additional Guidelines or Information: [in separate Annexes document]**

[Annex A: Available Tools for Potential Reference](#_Toc276209456)

[Annex B: Guidelines on Stakeholder Engagement in REDD+ Readiness, FCPF and UN-REDD Programme](#_Toc276209457)

[Annex 1: UN Declaration on the Rights of Indigenous Peoples and Free, Prior and Informed Consent](#_Toc276209458)

[Annex 2: Summary of World Bank Operational Policy 4.10 on Indigenous Peoples](#_Toc276209459)

[Annex 3: SESA and ESMF](#_Toc276209460)

[Annex 4: Guidelines for the UN-REDD Programme specify the following:](#_Toc276209461)

[Annex 5: Links to Useful Resources](#_Toc276209462)

[Annex C: Generic Guidelines for Draft Input to ToR for ESMF](#_Toc276209463)

[Annex D: Summary of How the Integrated SESA Will be Included in the REDD-plus Readiness Package](#_Toc276209464)

[Annex E: Generic Guidelines for Assessing Drivers of Deforestation and Forest Degradation (in development)](#_Toc276209465)

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| **General Information** |

**Note:** For submission to UN-REDD, an additional cover page with required signatures and information should be attached, which will be provided by the UN-REDD Secretariat.

**Contact Information**

Please provide the details for the national REDD-plus focal points (lead official, and day-to-day contact) submitting the R-PP in the table below.

|  |  |
| --- | --- |
| Name |  |
| Title |  |
| Organization |  |
| Address |  |
| Telephone |  |
| Fax |  |
| Email |  |
| Website |  |

**R-PP Development Team**

**Please list the names and organizations of the authors and contributors to the R-PP** (insert as many rows as necessary in the table below).

|  |  |
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| **Name** | **Organization** |
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**Summary of the R-PP**

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| Dates of R-PP preparation (beginning to submission): |  |
| Expected duration of R-PP implementation (month/year to month/year): |  |
| Total budget estimate: |  |
| Anticipated sources of funding: | from FCPF:  from UN-REDD:  National government contribution:  other source:  other source: |
| Expected government signer of R-PP grant request (name, title, affiliation): |  |
| Expected key results from the R-PP implementation process: | Outcome 1)  Outcome 2)  Outcome 3)  Outcome 4) |

**Executive Summary**

**Please provide a one- to three-page summary of the R-PP in the space below, including:** your assessment of the current situation, overarching goals of R-PP preparation, your proposed activities and expected results of each component, schematic of the expected readiness process, and the total funding requested and timing.

***Add your description here:***

**Acronyms the country uses in the R-PP [please add your own acronynms to this list]**

ESMF: Environmental and Social Management Framework

MRV: Measurement, Reporting and Verification System

REDD: Reducing Emissions from Avoided Deforestation and Forest Degradation

RL/REL: Reference Level/ Reference Emission Level

SESA: Strategic Environmental and Social Assessment. SESA is defined as “a range of analytical and participatory approaches that aim to integrate environmental and social considerations into policies, plans and programs (PPPs) and evaluate the inter linkages with economic, political, and institutional considerations” SESA can be described as a family of approaches which use a variety of tools, rather than a single, fixed, prescriptive approach.

ToR: Terms of References

UN-REDD:UN-REDD Programme

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| **Component 1: Organize and Consult** |

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| 1a. National Readiness Management Arrangements |

**Rationale**

The purpose of setting up the national readiness management arrangements is to manage and co-ordinate the REDD-plus readiness activities whilst mainstreaming REDD-plus into broader strategies such as the national low carbon strategies and national development plans. A country may approach the management arrangements for REDD-plus via existing coordinating bodies or may establish a cross-sectoral and functional working group that is inclusive of key stakeholders with well defined roles and responsibilities essential for this purpose but which feeds into an overarching national climate change mitigation management arrangements. Such arrangements are likely to require the involvement of a number of government agencies (e.g., forests, environment, agriculture, transportation, planning, finance, Prime Minister’s or President’s office, etc.), civil society, and other affected stakeholders in a meaningful way. A stakeholder analysis for this component should ideally be conducted early on, to feed into the composition of the working group, and needs to be linked with component 1b and 1c.

**Guidelines**

Please use the following as a guide to explain the design and functions of the national readiness management arrangements:

Describe the national readiness management arrangements such as the design and methods of operation, the roles and responsibilities at various levels of management, and the relative hierarchy between institutions across sectors. Describe mechanisms to manage potential disagreement between working group members or across sectors/institutions (e.g., potential use of legislative provisions, ultimate decision making authority, level of transparency etc.). Explain how Readiness activities for REDD-plus will be coordinated, and ultimately, how REDD-plus implementation will be managed. Explain how the integration of environmental and social issues, including assessments of environmental and social risks and potential impacts of REDD-plus, and the preparation of an ESMF will be coordinated during the preparation and implementation of REDD-plus readiness activities (e.g., a SESA sub-committee). Present the composition of the existing or a new working group, i.e., names of the member ministries and agencies; key stakeholders at national level, representatives of sub-national stakeholder groups and experts from NGOs, community-based organizations, indigenous peoples’ organizations, private sector, etc.; and individuals represented in the working group that will be responsible for managing readiness, including the sub-group responsible for overseeing the integration of environmental and social issues into the readiness process. If a new working group will be formed, describe how representatives from stakeholder groups in the working group will be chosen. Also provide the name of the ministry/organization responsible for overall coordination of REDD-plus activities and of donor efforts supporting REDD-plus or land use activities.

1. Describe the specific roles and responsibilities of each member of the working group, if already defined, towards achieving the objectives of each component of the R-PP including integration of environmental and social issues in the readiness process. Describe the relationship of the REDD-plus working group to the existing working structure and processes for national forestry and land use policy dialogue (in light of the need for REDD-plus strategies to be integrated into the context of ongoing policy and stakeholder discussions on economic development, land use and forestry and national climate change mitigation action plans).
2. Explain the type of practical activities conducted as part of management of readiness, e.g., workshops, meetings for key government agencies beyond the forestry sector and other stakeholder consultations, consultations on environmental and social priority issues and concerns of key stakeholders, modes of communication, outreach and communication and budgetary requirements. Include the schedule and sequencing of such activities.
3. Where readiness management arrangements are not yet established, explain the activities that would be undertaken (by the nodal agency) leading to establishing management arrangements (e.g., consultations for early engagement of government agencies, early engagement of civil society including Indigenous Peoples, NGOs, donors, and assessment of current and potential roles and responsibilities for members of the WG).
4. Explain how the working group will report, disclose, and disseminate information, and incorporate stakeholder views so as to promote transparency, accountability, and public outreach and compliance with the World Bank’s applicable safeguards policies, or those in use for UN-REDD.
5. Address the issue of government ownership of the R-PP: When a R-PP writing team relied significantly on external consultants or other expertise (e.g. for reference scenario, MRV, analysis for REDD-plus strategy , assessment of environmental and social issues and integration into REDD-plus strategy), the R-PP review process has raised questions about the ownership of the document by the government and stakeholders. If significant external assistance has been relied on, then country capacity building activities need to be included in the relevant component work plans.
6. Feedback and Grievance Redress Mechanism: [New text is under consideration on this topic]

**It is good practice for this component to:**

* Assess previous experience, and determine the highest level of decision making authority in the country at which a REDD steering group should be created in order to be effective. Describe in the workplan how to inform and engage the higher levels of political authority.
* Design the role of the highest REDD governance body such that it is in a position to coordinate and influence actions and programs of forestry and other relevant sectors. Draw an organogram illustrating the hierarchical levels and interconnections between the various bodies.
* Define clear roles and mandates for these bodies, to facilitate coordination among them.
* Propose to strengthen existing coordinating bodies/mechanisms, rather than create new entities, unless existing bodies are not effective.
* Identify policies and laws that need to be reviewed or reformed to allow for successful collaboration.

**Please provide the following information:**

* **Summarize the national readiness management arrangements in the space below in a few pages;**
* **Provide a brief summary activity and budget and funding in Table 1a (detailed budget data and funding table go in Component 5);**
* **If necessary, attach a work program or draft input to ToR for activities to be undertaken in Annex 1a.**

***[Please include each component's standard box like this one in your submission]***

**Standard 1a** **the R-PP text needs to meet for this component:**

**National readiness management arrangements**

The cross-cutting nature of the design and workings of the national readiness management arrangements on REDD, in terms of including relevant stakeholders and key government agencies in addition to the forestry department, commitment of other sectors in planning and implementation of REDD+ readiness. Capacity building activities are included in the work plan for each component where significant external technical expertise has been used in the R-PP development process.

***Add your description here:***

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Table 1a: Summary of National Readiness Management Arrangements Activities and Budget (and hypothetical example)** | | | | | | |
| **Main Activity** | **Sub-Activity** | **Estimated Cost (in thousands US$)** | | | | |
| **2011** | **2012** | **2013** | **2014** | **Total** |
|  | ***(HYPOTHETICAL EXAMPLE)*** | | | | | |
| REDD-plus Working Group management | Meetings (e.g., travel for stakeholders on WG) | $30 | $30 | $ | $ | **$** |
| Dissemination of reports | $20 | $20 | $ | $ | **$** |
| Hire 2 staff for working Group | Hire information specialist | $30 | $30 | $ | $ | **$** |
| Hire economist | $30 | $30 | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
| **Total** | | **$110** | **$110** | **$** | **$** | **$** |
| Domestic Government | | $30 | $40 | $ | $ | **$** |
| **FCPF** | | **$80** | **$70** | $ | $ | **$** |
| UN-REDD Programme (if applicable) | | $ | $ | $ | $ | **$** |
| Other Development Partner 1 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 2 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 3 (name) | | $ | $ | $ | $ | **$** |

|  |
| --- |
| 1b. Information Sharing and Early Dialogue with Key Stakeholder Groups |

**Rationale**

Stakeholders are those individuals and groups that live in and/or have a social, cultural or economic interest in forests and adjacent lands, and those that may be affected either negatively or positively by proposed or enacted REDD-plus activities. They include local communities, formal and informal forest users, private sector entities, civil society, and relevant local and federal government agencies. Among the various stakeholders in REDD-plus, forest-dependent indigenous peoples and other forest dwellers and forest-dependent communities especially rely on forests for their social and economic livelihoods as well as cultural and spiritual well-being. They have a special role to play in REDD-plus given their traditional knowledge and relationship to the forests and their presence on the ground.

Component 1b is focused on awareness raising and information sharing and dialogue with representative groups of stakeholders, in order to prepare the way for later broad consultations. Some REDD-plus countries, indigenous peoples and other stakeholders are recognizing the difficulty of abstractly discussing REDD-plus without being able to discuss any specific proposals for REDD-plus policies in a given region or land use or land tenure system. Starting consultations before the strategy has been discussed may raise expectations about potential revenue from REDD-plus programs before any sources of REDD-plus financing have been identified. Finally, countries have realized the high financial cost of consultation with geographically dispersed stakeholders at a stage when financing for such consultations is not yet available.

Component 1c provides a framework and process for engagement of stakeholders in the development of REDD-plus institutional arrangements and, policies and programs to address deforestation and forest degradation and the other REDD-plus activities. Through this component are also identified stakeholders concerns about potential social economic and environment risks and impacts, and expectations of potential delivery of REDD-plus benefits of proposed REDD plus activities.

Early information sharing should establish a two-way dialogue. It could include the basic concepts of REDD-plus what an R-PP is and how the R-PP process would work, and any early ideas about what kinds of activities or programs might be included in the country's REDD-plus strategy and how environmental and social issues will be managed in the REDD-plus readiness process. This early information and outreach phase should build on lessons learned from previous and ongoing consultation processes for other topics. Examples include FLEGT (Forest Law Enforcement, Governance and Trade) voluntary participation agreements, forest policy consultations, and pilot programs.

Countries are required in this component to conduct initial information sharing on basic REDD-plus concepts and the various components of the R-PP to the relevant stakeholders. This will enable stakeholders to:

i. Understand what REDD-plus means,

ii. Understand what the government plans to do in order to begin to develop the various component of the R-PP,

iii. Share existing and new assessments of the underlying causes and environmental and social impacts of deforestation and forest degradation.

iv. Share stakeholder experience and early views on previous programs to slow deforestation and manage forest in other lands, and governance issues associated with them, and

v. Understand what stakeholder role will be in supporting the government work in developing the R-PP and implementing early studies under it.

A guideline note developed by FCPF and UN-REDD provides key elements of effective stakeholder engagement in the context of these programs. It outlines: 1) principles for effective participation and consultation; 2) operational guidelines; and 3) practical “how-to” guideline on planning and implementing consultations. It is available at <http://www.forestcarbonpartnership.org/fcp/> and http://www.un-redd.org/

Of the eight common guiding principles for effective stakeholder engagement that underpin both the FCPF and UN-REDD Programme (listed under component 1c), one is especially relevant to this component:

i. The diversity of stakeholders needs to be recognized and the voices of vulnerable groups must be heard. Different stakeholders have different stakes and/or interests in REDD-plus and some may be positively or negatively impacted, so the consultation should be held at various levels.

**Guidelines:**

Under this component, countries will begin information sharing in order to lay the foundation for effective consultation and participation to be conducted during the implementation phase, as described in component 1c. The following steps provide guidelines for this component:

1. Undertake and describe your stakeholder mapping/analysis exercise to identify the relevant stakeholders that have an interest in the forest and those that may be affected either negatively or positively by proposed REDD-plus activities.
2. Convene and describe a national level multi-stakeholder workshop to initiate the REDD-plus/R-PP information sharing, sensitization and awareness process. The workshop should include a broad range of local and national stakeholders. The goal of this workshop is to formally present the REDD-plus concept, the R-PP process, and discuss a plan for rolling out the Information sharing campaign proposed by the national government. This information sharing campaign should include:
3. Identifying various stakeholders in each region (based on forest coverage, deforestation and forest degradation and the other REDD-plus activities), to target for the awareness campaign. A variety of tools and methods can be used to allow for bottom-up participation and ensure that information is rigorously gathered and fairly presented.
4. Identify which issues will be discussed relevant to concept of REDD-plus and development of R-PP.
5. Prepare relevant information about REDD-plus and the R-PP process and share ahead of time with relevant stakeholders. This will allow sufficient time for stakeholders to digest the information, and organize themselves for meaningful discussions during the actual meeting.
6. Prepare a communication and outreach strategy for public dissemination of this information and of results of the outreach efforts.
7. Prepare and disseminate a document summarizing all issues raised by participants in attendance, names affiliation of participants attending, and views on the next outreach steps. Information from these various meetings/workshops should be disclosed through existing public information channels.
8. Feed the most critical information distributed and comments received during the outreach session into the drafting process for relevant components of the R-PP.
9. Discuss the potential elements of a consultation and participation plan that would be drafted during the R-PP implementation phase.
10. (Note that mechanisms for grievance, conflict resolution and redress are included under component 2c, and should be established and accessible during the consultation process proposed in under component 1c.) [New text on this topic is under consideration in component 1a.]

**It is good practice for this component to:**

* Identify and define the interests of those who should be consulted, paying particular attention to forest-dependent communities, and indigenous and marginalized rural populations.
* Build the information sharing campaign on lessons learned from previous or ongoing consultation processes for other initiatives, avoiding their drawbacks and extending their insights and successes.
* Consider involving regional government bodies and processes, as many countries are in decentralization processes.
* Identify key issues on which there are common interests and those that are potentially contentious.
* Present information to each stakeholder group in a format and manner culturally appropriate. E.g., use of local languages, radio broadcast, dramatic presentation etc may be appropriate.

**Box 1b-1: The Cancun COP *Decision 1/CP.16,Appendix I*:**

**Indigenous Peoples and Local Communities (selected text)**

*“2…(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;*

*(d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;…”*

***Appendix I* Guidance and safeguards (selected text):**

*“…2. When undertaking the activities referred to in paragraph 70 of this decision, the following safeguards should be promoted and supported:*

*…(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;*

*(d) The full and effective participation of relevant stakeholders, in particular, indigenous peoples and local communities, in actions referred to in paragraphs 70 and 72 of this decision; …*

*1  Taking into account the need for sustainable livelihoods of indigenous peoples and local communities and their interdependence on forests in most countries, reflected in the United Nations Declaration on the Rights of Indigenous Peoples, as well as the International Mother Earth Day."*

source: http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf

**Resources available:** Several forest governance guidelines toolkits or documents are available that might be important references or offer useful approaches for work on this component. Some such tools include: *Governance of Forest Toolkit* by World Resources Institute, *Analytical Framework for Governance Reform* by the World Bank, and *REDD+ Social and Environmental Standards* by the Climate Community and Biodiversity Alliance (CCBA) and Care International. Please refer to the annex of this document for the links to access these tools.

***[Keep this box in your R-PP submission]***

**Standard 1b the R-PP text needs to meet for this component:**

**Information Sharing and** **Early Dialogue with Key Stakeholder Groups**

The R-PP presents evidence of the government having undertaken an exercise to identify key stakeholders for REDD-plus, and commenced a credible national-scale information sharing and awareness raising campaign for key relevant stakeholders. The campaign's major objective is to establish an early dialogue on the REDD-plus concept and R-PP development process that sets the stage for the later consultation process during the implementation of the R-PP work plan. This effort needs to reach out, to the extent feasible at this stage, to networks and representatives of forest-dependent indigenous peoples and other forest dwellers and forest dependent communities, both at national and local level. The R-PP contains evidence that a reasonably broad range of key stakeholders has been identified, voices of vulnerable groups are beginning to be heard, and that a reasonable amount of time and effort has been invested to raise general awareness of the basic concepts and process of REDD-plus including the SESA.

**Please provide the following information:**

* **Pre-consultation activities to date and additional activities planned under this component, to contribute to the development of the R-PP in less than five pages**
* **Provide a brief summary activity and budget and funding in Table 1b (detailed budget data and funding table go in Component 5);**
* **If necessary, attach a work program or draft input to ToR for activities to be undertaken in Annex 1b.**

***Add your description here:***

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Table 1b: Summary of Stakeholder Consultation and Participation Activities and Budget** | | | | | | |
| **Main Activity** | **Sub-Activity** | **Estimated Cost (in thousands)** | | | | |
| **2011** | **2012** | **2013** | **2014** | **Total** |
|  |  | **$** | **$** | **$** | **$** | **$** |
|  | **$** | **$** | **$** | **$** | **$** |
|  |  | **$** | **$** | **$** | **$** | **$** |
|  | **$** | **$** | **$** | **$** | **$** |
|  |  | **$** | **$** | **$** | **$** | **$** |
|  | **$** | **$** | **$** | **$** | **$** |
| **Total** | | **$** | **$** | **$** | **$** | **$** |
| **Government** | | **$** | **$** | **$** | **$** | **$** |
| **FCPF** | | **$** | **$** | **$** | **$** | **$** |
| **UN-REDD Programme (if applicable)** | | **$** | **$** | **$** | **$** | **$** |
| **Other Development Partner 1 (name)** | | **$** | **$** | **$** | **$** | **$** |
| **Other Development Partner 2 (name)** | | **$** | **$** | **$** | **$** | **$** |
| **Other Development Partner 3 (name)** | | **$** | **$** | **$** | **$** | **$** |

|  |
| --- |
| 1c. Consultation and Participation Process |

**Rationale**

The success of REDD-plus interventions will significantly depend on active involvement of relevant stakeholders. This component aims to ensure that the national agency or organization responsible for leading the REDD-plus process conducts consultations with relevant stakeholders and facilitates their participation in both stages of preparing the R-PP and implementing it. In order to make the REDD-plus readiness process inclusive and transparent, the country should present evidence of how meaningful consultation with relevant stakeholders would be carried out when activities proposed in the R-PP are conducted during R-PP implementation.

The consultation and participation plan should be designed to increase inclusiveness, transparency, and accountability of decision-making over the lifetime of the preparatory work leading to REDD-plus readiness. While implementing the contents of the R-PP and designing the various components of REDD-plus readiness, the country applies this Consultation and Participation Plan by running the core components of readiness through the planned consultation process. This makes the consultation and participation plan a central piece in the national process of getting ready for REDD-plus.

Note that only a single consultation and participation plan and process is required in the R-PP, and would serve the needs of component 1c as well as consultations under SESA in component 2d.

This consultation and participation phase should build on early dialogues with key stakeholders as in component 1b. Work in this component shall develop a plan for consultation, participation, and outreach to be implemented after the country receives readiness funding. It should also lead to establishment of an enduring institutional structure that will ensure meaningful participation in decision-making concerning REDD-plus strategies and activities beyond the Readiness phase. The plan should show how the various components of the R-PP and REDD-plus activities will be consulted on during the R-PP implementation phase, including for components 2, 3 and 4.

Following the completion of the consultation and participation plan and budget, the government should organize a national level multi-stakeholder workshop to validate both the activities proposed in the R-PP and the consultation and participation plan. A validation meeting involving key stakeholders and including vulnerable groups should be held to follow up on an inclusive and culturally sensitive consultative process during R-PP formulation. The validation meeting is not a substitute to an inclusive and transparent consultation process, and stakeholder participation is expected from the beginning of R-PP development. The objective of this workshop is to ensure that issues raised during pre-consultation with key stakeholder groups are incorporated into the plan, and that it receives broad support.

The common guiding principles for effective stakeholder engagement and consultation that underpin both the FCPF and UN-REDD Programme include:

(Note: One of the eight principles is especially relevant to component 1b and is presented there. Source: Guidelines on Stakeholder Engagement in REDD-plus Readiness, FCPF and UN-REDD Programme, Annex B).

1. Consultations should be premised on transparency and facilitate access to information.
2. The consultation process should include a broad range of relevant stakeholders at the national and local levels. It is important that participatory structures and mechanisms exist to manage the process. For example, national REDD-plus committees should include representatives from relevant stakeholder groups, including indigenous peoples (IPs) and NGO groups (see Annex C for more details). Beyond the national level, participatory fora need to be established (or existing ones used) at the local level to ensure active engagement of local stakeholders. Special emphasis need to be made when consulting with IPs to recognize their own existing processes, organizations and institutions, e.g., councils of elders, headmen and tribal leaders. It is also important to ensure that consultations are gender sensitive.
3. The consultation process should start early and with adequate lead time since decision-making among some local communities may be slow and iterative. The consultation process should also occur voluntarily. Sufficient time is needed to fully understand and incorporate concerns and recommendations of local communities in the design of consultation processes.
4. Consultations should facilitate dialogue, exchange of information and consensus building reflecting broad community support should emerge from consultation. In the case of IPs, such consensus should include support from the community as expressed by their leaders. This requires time for mutual understanding and the acceptance of goals and strategies.
5. Mechanisms for grievance, conflict resolution and redress that are included under component 2c should be established and accessible during the consultation process. New text on this topic is under consideration in component 1a.
6. There should be records of consultations and a report on the outcome of the consultations that is publicly disclosed in a culturally appropriate form, including language. Furthermore, consultation process should clearly document how views gathered through the consultation process have been taken into account and, where they have not, explanations provided as to why.
7. Special emphasis should be given to the issues of land tenure, resource use rights and property rights (see Box 2b-1 on COP 16 decision language). In many tropical forest countries, land tenure and policy frameworks for IPs are unclear as these often have customary/ancestral rights that are not necessarily codified in, or are consistent with, national laws. The other important issue to consider for IPs and other forest dwellers is that of livelihoods. Thus clarifying rights to land and carbon assets, including community (collective) rights, and introducing better control over the resources will be critical priorities for REDD-plus formulation and implementation. Consultations with IPs and other forest-dependent people should use existing networks and local level institutions wherever possible.

World Bank Operating Policy 4.01 on Indigenous Peoples utilizes the policy of free, prior, and informed consultation resulting in broad community support.

Countries that have both adopted or endorsed the UN Declaration on the Rights of Indigenous Peoples (UNDRIP) and enacted legislation to implement the principle of free, prior and informed consent (FPIC) should conform to their legislation that concerns FPIC.[[2]](#footnote-2)

The UN-REDD Programme requires that the right to FPIC shall be upheld in UN-REDD Programme activities. UN-REDD Programme guidelines on FPIC and Recourse will be provided separately[[3]](#footnote-3).) For countries operating under the UN-REDD Programme, they should take into consideration key documents and processes related to consultations, including the UN Development Group Guidelines on Indigenous Peoples’ Issues, and the International Labor Organization Convention No.169.

In the R-PP Annexes, [Annex B: Guidelines on Stakeholder Engagement in REDD+ Readiness, FCPF and UN-REDD Programme, contains:](#_Toc276209457) [Annex 1: UN Declaration on the Rights of Indigenous Peoples (which includes Articles on the right to Free, Prior and Informed Consent); and](#_Toc276209458) [Annex 2: Summary of World Bank Operational Policy 4.01 on Indigenous Peoples.](#_Toc276209459)

**Guidelines[[4]](#footnote-4)**

Please provide the following information in this component:

1. Present the consultation and participation plan for engagement of stakeholders in the REDD-plus development process (required to be presented here), which should discuss how the existing consultations will be broadened during the R-PP implementation phase.
2. Explain how representative participation of forest-dependent indigenous peoples and other forest dwellers and forest-dependent communities and other civil society would be ensured. Present outreach mechanisms to reach different stakeholders, especially to those groups whose livelihoods will likely be negatively impacted by REDD-plus.
3. Describe the methods used for consultations for the different components of the R-PP. Explain how publicly available summary reports of the consultation meetings, workshops, etc., e.g., dates and venues, list of attendees, issues raised will be ensured and made available. Describe how neutral facilitation of the consultations will be achieved.
4. Explain how the feedback from stakeholders will be incorporated into the REDD-plus readiness process, including feedback on key environmental and social risks as perceived by the stakeholders.
5. Explain how stakeholders will participate in (i) selection of environmental and social issues and priorities associated with the drivers of deforestation in components 2a and 2d, (ii) scoping of key environmental and social risks associated with REDD-plus strategy options in component 2b; (iii) validation of the legal, institutional, regulatory and capacity building recommendations to address existing gaps or issues in managing environmental and social priorities in components 2c and 2d; and, (iv) validation of mitigation and compensation measures developed to address any potential environmental and social impacts of REDD-plus strategy options in component 2d.
6. Describe procedures for disclosure of information in the preparation and implementation of the R-PP and specify the procedures for disclosure of information on environmental and social issues.

1. Development of the plan should be informed by the consultation guidelines note in annex B developed by FCPF and the UN-REDD programme, and guidelines in component 2d. This guidelines note identifies eight practical steps for effectively conducting consultations:
   1. Define the desired outcomes of consultations
   2. Develop a Consultation and Participation Plan and request endorsement through a national stakeholder workshop
   3. Select the consultation and outreach methods
   4. Define the issues to consult on that broadly correspond to the Readiness Preparation Proposal components
   5. Identify stakeholders that have a stake/interest in the forest and those that will be affected by REDD-plus activities
   6. Establish a grievance redress mechanism
   7. Conduct the consultations with relevant stakeholders at different levels within community and organizations
   8. Analyze and disseminate results.

Note: names and sources of some other guiding documents that may be of interest to develop consultation and participation plan are presented in annex A.

**It is good practice for this component to:**

* Provide detailed information about the consultation, such as how attendees in consultation meeting would be selected, how advance notice of the meeting would be given, etc.
* Looking forward, design a consultation process that goes beyond merely sharing information and has clear objectives, results, and outputs.
* Outline the timeframe for consultation and develop a communication strategy to generate and maintain public interest in the consultation process.
* Plan a way in writing for the outcome of consultations to be used in implementing the REDD-plus strategy, the SESA integrated into the REDD-plus Package and other REDD-plus activities.

**Box 1c-1: The Cancun *COP Decision 1/CP.16*, Considerations to Address in National Action Plans**

*“72. Also requests developing country Parties, when developing and implementing their national strategies or action plans, to address, inter alia, the drivers of deforestation and forest degradation, land tenure issues, forest governance issues, gender considerations and the safeguards identified in paragraph 2 of appendix I to this decision, ensuring the full and effective participation of relevant stakeholders, inter alia indigenous peoples and local communities;…”*

source: http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf

**Box 1c-2: The Cancun COP *Decision 1/CP.16, Appendix I*: Guidance and safeguards for policy approaches to REDD-plus (selected text)**

*“(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;*

*(d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;…”*

source: http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf

**Standard 1c the R-PP text needs to meet for this component:**

**Consultation and Participation Process**

Ownership, transparency, and dissemination of the R-PP by the government and relevant stakeholders, and inclusiveness of effective and informed consultation and participation by relevant stakeholders, will be assessed by whether proposals and/ or documentation on the following are included in the R-PP (i) the consultation and participation process for R-PP development thus far (ii) the extent of ownership within government and national stakeholder community; (iii) the Consultation and Participation Plan for the R-PP implementation phase (iv) concerns expressed and recommendations of relevant stakeholders, and a process for their consideration, and/or expressions of their support for the R-PP; (v) and mechanisms for addressing grievances regarding consultation and participation in the REDD-plus process, and for conflict resolution and redress of grievances.

**Please provide the following information in the space below:**

* **Consultations held so far in the development of the R-PP in one to three pages: Detail and document the contents of the consultation materials, the consultation outcomes, any next steps, and how the outcomes have been taken into account into the R-PP. If necessary, please use Annex 1c to present additional materials.**
* **Proposed full consultation and participation plan in three to ten pages. If necessary, please use Annex 1c to present additional materials. Note that the full consultation and participation plan is required, not a summary or draft input to ToR.**
* **The summary budget and funding request in Table 1b (the detailed budget and funding data go in Component 5).**

**Consultations held so far in the development of the R-PP:**

***Add your description here:***

**Proposed full consultation and participation plan (describe here):**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Table 1c: Summary of Consultation and Participation Activities and Budget** | | | | | | |
| **Main Activity** | **Sub-Activity** | **Estimated Cost (in thousands)** | | | | |
| **2011** | **2012** | **2013** | **2014** | **Total** |
|  |  | **$** | **$** | **$** | **$** | **$** |
|  | **$** | **$** | **$** | **$** | **$** |
|  |  | **$** | **$** | **$** | **$** | **$** |
|  | **$** | **$** | **$** | **$** | **$** |
|  |  | **$** | **$** | **$** | **$** | **$** |
|  | **$** | **$** | **$** | **$** | **$** |
| **Total** | | **$** | **$** | **$** | **$** | **$** |
| **Government** | | **$** | **$** | **$** | **$** | **$** |
| **FCPF** | | **$** | **$** | **$** | **$** | **$** |
| **UN-REDD Programme (if applicable)** | | **$** | **$** | **$** | **$** | **$** |
| **Other Development Partner 1 (name)** | | **$** | **$** | **$** | **$** | **$** |
| **Other Development Partner 2 (name)** | | **$** | **$** | **$** | **$** | **$** |
| **Other Development Partner 3 (name)** | | **$** | **$** | **$** | **$** | **$** |

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| **Component 2: Prepare the REDD-plus Strategy** |

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| 2a. Assessment of Land Use, Forest Law, Policy and Governance |

**Rationale**

The purpose of the assessment of land use, forest law, policy and governance is to: 1) help the country identify key drivers of deforestation and/or forest degradation, as well as conservation, sustainable management of forests, and enhancement of forest carbon stocks; and 2) identify how shortcomings in current forest law, policy and governance structures contribute to the drivers of deforestation and forest degradation. This assessment shall review the country’s past experiences with reducing deforestation, degradation and enhancing carbon stocks, including associated key environmental and social issues, in order to identify promising approaches for the emerging REDD-plus strategy. This analysis should provide data on land use and other trends and important insights into lessons learned, challenges, and opportunities to overcome those challenges. The REDD-plus strategy should then be developed precisely to address the key deforestation and degradation drivers identified and prioritized in this assessment, and designed to overcome the challenges and previous program issues that led to underperformance.

Identification of drivers of deforestation and forest degradation is the backbone of analyzing land use change, and the central organizing principle for components 2b (REDD-plus strategy), 2c (Implementation Framework), and 2d (Impacts).This component requires an insightful summary of existing, high-quality analytical studies, or the commissioning of new studies during the implementation of the R-PP work plan to fill in any areas for which additional results are necessary to develop the rest of component 2.

**Guidelines**

Please prepare an assessment of land use, forest law, policy and governance, with respect to national law and policy in other sectors and international obligations, using the guidelines below:

1. Identify the underlying causes of deforestation and forest degradation, considering implications for REDD-plus of direct and indirect drivers and factors both within and outside the forest sector, major land use trends and forest policy and governance issues.
2. Present an overview of the country situation in relation to deforestation and forest degradation, and forest enhancement activities. Briefly summarize all key laws, policies, strategies, and programsrelev*a*nt to REDD-plus, potentially in a tabular form.
3. Identify the major relevant knowledge gaps and capacity constraints that play a role in deforestation, forest degradation and the other REDD-plus activities that need to be analyzed in more detail*.* Cou*n*tries may institute a new *a*ssess*m*ent or choose evid*e*nce-b*a*sed causality analysis and existing studies/reports of assessments already available. The assessments should outline the economic, social, political, environmental and institutional context; identify the challenges to be add*r*essed*,* the disaggregateddata *o*n these challen*g*es an*d* the causal factors. Include references to existing studies, data sources used in the assessment together with names of relevant Partners and organizations involved in the assessment.
4. Considerations in this assessment include, e.g., whether policies and laws provide positive or perverse incentives that drive deforestation; pertinent laws, policies, and issues surrounding land tenure and resource rights, and traditional land use of indigenous people, extent of titled and untitled indigenous lands, indigenous claims for additional land “extensions;” and process of land title demarcations; how accountability in existing revenue distribution systems is addressed or planned to be addressed; the effectiveness of law enforcement systems; and how coordination of existing policy processes occurs, especially relating to land use decisions.
5. Include an analysis of the performance of the most relevant and important past efforts to reduce deforestation or forest degradation and promote conservation and sustainable management of forestsin your country. Evaluate past governance and enforcement challenges, and lessons learned, potential opportunities, and key barriers to inform REDD-plus strategy development. Present relative successes and shortcomings, leading to identification of major potential deforestation reduction approaches, by major cause and driver of deforestation and degradation.
6. Forest governance assessment framework for REDD-plus: Strongly consider using a forest or other governance assessment framework consisting of principles and criteria for good forest and/or other relevant sector governance. Some evolving tools that might be of potential use for this are presented in Annex A. Generic steps include: Carry out country diagnostic analyses of the governance systems and structures in place with the help of this framework; formulate a governance reform strategy based on the diagnosis; and then select indicators relevant to stakeholders through a qualitative and participatory process; and then monitor whether the reform strategy is being implemented properly and with the right kinds of impacts and outcomes. It is in the choice of indicators that a country has the option to choose this set of (say) six vs. that set of (say) ten, or the other. The choice will clearly depend on the scope of its REDD-plus program and its baseline assessment of the quality of governance. Also describe, if possible at this time, how shortcomings in governance structures and systems will be addressed and corrected in your REDD-plus strategy in component 2b.Include reference to these governance issues in component 4b to the extent possible at this time.
7. Identify key environmental and social issues leading to deforestation and forest degradation, e.g., perverse synergies between immigration and soil degradation; and, deforestation and forest degradation processes that have affected environmental quality and quality of life, e.g., degradation and/or pollution of water catchment areas, abandoned pits and small mines which were mined for precious metals that are sources of water pollution, malaria transmitting mosquitoes and soil degradation.
8. Explain if any information sharing or consultation has occurred in the development of the assessment and if any is planned as part the Consultation and Participation Plan discussed in Section 1c.
9. Refer to annex D for detailed inputs to potential terms of reference for a body of analytic work on this component, and annex A for information on available tools that could assist in the analyses for this component.
10. Linkage to the Environmental and Social Management Framework (ESMF): The analytical findings and recommendations of this component, as well as those of components 2b and 2c, input into component 2d for developing the ESMF.

**It is good practice for this component to:**

* Identify major historical land use trends in major ecological zones, provinces or any other geographic units.
* Identify and describe the state, extent, and characteristics of the direct and indirect causes of deforestation and forest degradation in the main regions noted above pertaining to the REDD-plus context. Examples of direct drivers and causes include harvesting, cutting for fuel and charcoal, land conversion, tree planting programs, etc. Examples of indirect drivers include governance policies, infrastructure development, domestic and international commodity price changes, emergence of new markets for crops, timber or bio-fuels, etc.
* Provide a thorough analysis of the legal rights to property and access to land, forests and related natural resources (e.g., minerals), and regulatory situation pertinent to REDD-Plus.
* Analyze the linkage of drivers of deforestation and forest degradation with environmental and social impacts; and vice versa, the linkage between environmental and social conditions with the drivers of deforestation. Avoid simply listing drivers of deforestation and forest degradation, but also explain the status, extent, etc.
* Allow for meaningful participation of relevant stakeholders in analyzing the governance situation, recommendations for policy reform, as well as identifying key indicators for potential inclusion in the monitoring system.

**Standard 2a the R-PP text needs to meet for this component:**

**Assessment of Land Use, Forest Policy, and Governance:**

A completed assessment is presented that: identifies major land use trends; assesses direct and indirect deforestation and degradation drivers in the most relevant sectors in the context of REDD; recognizes major land tenure and natural resource rights and relevant governance issues and shortcomings; documents past successes and failures in implementing policies or measures for addressing drivers of deforestation and forest degradation; identifies significant gaps, challenges, and opportunities to address REDD; and sets the stage for development of the country’s REDD strategy to directly address key land use change drivers.

**Please provide the following information:**

* **The assessment of land use, forest law, policy and governance in the space below in five to ten pages.**
* **Fill in the activity and budget in Table 2a for any follow-up activities or studies needed (detailed budget data go in Component 5)**
* **If necessary, attach additional materials, a further work program, or draft input to ToR for further work in Annex 2a.**

***Add your description here:***

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Table 2a: Summary of Assessment of Land Use, Forest Policy and Governance Activities and Budget (Follow-up Activities Needed)** | | | | | | |
| **Main Activity** | **Sub-Activity** | **Estimated Cost (in thousands)** | | | | |
| **2011** | **2012** | **2013** | **2014** | **Total** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
| **Total** | | **$** | **$** | **$** | **$** | **$** |
| Government | | $ | $ | $ | $ | **$** |
| **FCPF** | | **$** | **$** | **$** | **$** | **$** |
| UN-REDD Programme (if applicable) | | $ | $ | $ | $ | **$** |
| Other Development Partner 1 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 2 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 3 (name) | | $ | $ | $ | $ | **$** |

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| 2b. REDD-plus Strategy Options |

**Rationale**

The purpose of the REDD-plus strategy is to develop a set of policies and programs for addressing the drivers of deforestation and/or forest degradation identified in Component 2a, and hence reducing emissions from these drivers and enhancing carbon uptake from the other REDD-plus activities. This strategy should be developed in the context and in support of the national priorities for sustainable development.

**Guidelines**

Please follow the guidelines below:

* + - 1. Propose a workplan for developing, assessing, and prioritizing various REDD-plus strategy options that will address the drivers of deforestation and/or forest degradation outlined in Component 2a. This workplan should include a sequence and schedule of activities, and the consultation aspects (included in the Consultation and Participation Plan). Strategy options and interventions that are robust in their ability to address the challenges identified in Component 2a for achievement of planned results will be required.
      2. The work is likely to require an assessment of the various REDD-plus strategy options from the following standpoints:
  1. How the proposed activity would address the specific drivers of deforestation and/or forest degradation, for given land uses and socioeconomic contexts;
  2. How cost benefit analysis of REDD-plus strategy options is being considered (including opportunity costs, investment costs, transaction costs, and abatement costs). These analytic methods are especially useful for comparing potential strategy options and assessing their cost and relative benefits. For assistance, refer to annex A for information on some available tools that might be of interest.
  3. Sustainability and integration with other sector policies and strategies:

1. Synergies (or conflicts) between the identified options and other national development priorities, including assessment of trade-offs across development goals or sectors, or consideration of any relationship to an evolving low carbon development strategy (e.g., enhanced carbon stocks or land management capacity, but reduced local rural incomes or biodiversity in surrounding lands);
2. Linkages between the identified options and the key governance issues identified in Section 2a, including support for the emergence of a more transparent, participatory, and accountable governance system)
3. Ways of mitigating conflicts or modifying the options to compensate affected institutions and various stakeholder groups.
   * + 1. Risk analysis: Present a simple risk analysis framework that summarizes major types of risks, and how significant they are (e.g., low, medium, high) for the major REDD-plus strategy activities. Risks include domestic political risks for a new policy and uncertainties of the international policy process. Some other significant risk factors include: environmental risks; and major financial, operational, organizational, political, regulatory, and strategic risks potentially associated with major strategy activities. For example, assess the risk of domestic leakage caused by the REDD-plus strategy options, i.e., the risk of strategy options displacing deforestation and/or forest degradation from one area to another within the country, through activity shifting or market leakage.
       2. Feasibility assessment (socioeconomic, political and institutional): Assess the feasibility of the options through analysis of risks, as described in guideline 3 above, and opportunities for the proposed options. Include an analysis of institutional capacity and in the case of weak institutions, how they will be strengthened to enforce forest laws and governance issues and viability in terms of political and economic context, livelihood impacts and sustainable alternate livelihood opportunities for the identified options.
       3. Addressing environmental and social issues: During the evaluation of potential REDD-plus strategy options, for eventual use in the preparation of the Readiness Package at the end of the R-PP implementation phase, key environmental and social issues should be considered for enhancing the formulation of the REDD-plus strategy and for safeguarding the preparation and implementation of the Readiness Package. Consideration of social and environmental issues has two parts, which together constitute the SESA:
   1. **Enhancing preparation of the REDD-plus Strategy*:*** Based on the identification of key environmental and social considerations associated with the drivers of deforestation and forest degradation (component 2a), environmental and social priorities will be selected in a participatory way. Then, an assessment of legal, institutional, regulatory, and capacity gaps to manage these priorities should be undertaken. The results of the gaps assessment should inform the preparation of recommendations to address these gaps that should feed into the selection and/or formulation of the REDD-plus strategy options.
   2. **Applying environmental and social safeguards:**Assessment of environmental and social risks and of potential impacts associated with the REDD-plus strategy options and other actions included in the Readiness Package should follow a work plan to comply with the World Bank safeguard policies[[5]](#footnote-5). This work should be undertaken during the implementation of the various R-PP components. The Strategic Environmental Social Assessment framework (SESA) is the assessment tool to be used in World Bank-supported countries for R-PP implementation and REDD-plus readiness.

SESA can be defined as *“*A range of analytical and participatory approaches that aim to integrate environmental and social considerations into policies, plans and programs (PPPs) and evaluate the inter linkages with economic, political, and institutional considerations”. SESA can be described as a family of approaches which use a variety of tools, rather than a single, fixed, prescriptive approach.

The sequence of the assessment process generally would be: A country submits an R-PP for assessment by the PC at a PC meeting that includes early information about environmental social considerations, both existing and potential, of relevance for REDD-plus. Once the PC has assessed the R\_PP and authorized the funding of a Readiness Preparation grant for a country, but before the grant is signed, the REDD-plus Country Participant and the World Bank jointly identify which of the ten safeguards policies are likely to be triggered by the REDD-plus program. Not all the ten safeguards policies are necessarily triggered.

This initial determination of applicable safeguard policies is revisited during the Readiness Preparation phase as more clarity emerges on what REDD-plus strategy options are likely to be used. The updated determination is reflected in the progress report that is produced by the country during readiness preparation. The Bank’s Access to Information policy also applies to the preparation of the R-PP and R-Package. Selection of the REDD-plus strategy options should be informed by an assessment of environmental and social risks, and of potential impacts associated with the specific REDD-plus strategy options being considered. For example, if expansion of existing conservation areas is being considered, then social impacts potentially could include any displacement of local communities to outside of the conservation zone, or new limitations on community harvesting of medicinal plants or fuelwood. An analysis of these potential impacts would inform both the design of the REDD-plus strategy with a view to mitigating the adverse impacts and the selection of the strategy option itself.

The preparation of an Environmental and Social Management Framework (ESMF) provides the framework for avoiding, mitigating, and managing environmental and social risks of selected REDD-plus strategy options. The ESMF will be guided by the work undertaken in other components of the R-PP, predominantly in components 2a, 2b and 2c. This ESMF should be drafted during R-PP implementation, and will form part of the readiness package produced at the end of the implementation phase.

An overview of the key elements of the SESA process, by the phases in the R-PP process, is presented in Guidelines Table 1 (at the end of the introductory guidelines section). Refer to this table as necessary throughout the R-PP writing process, to help understand where various elements of SESA take place.

* + - 1. Other safeguards: The COP decision 1/CP.16 Appendix I on safeguards notes that safeguards should be promoted for REDD-plus activities, listing seven safeguard issues, including: 2 (f) “Actions to address the risks of reversals” (or unplanned emissions of GHG benefits, often referred to as considering non-permanence); and (g) “Actions to reduce displacement of emissions” (often referred to as leakage).This component should identify studies or any anticipated activities to consider and address safeguards for the REDD-plus strategy activities, including these two. Consideration of these two and the other safeguards issues may alter the relative attractiveness of some candidate activities for the REDD-plus strategy.

**It is good practice for this component to:**

* Describe how REDD could fit into the context of your national development framework and path.
* Work to identify specific policy options that directly address the land use factors driving deforestation and forest degradation, and hence change the economic and other incentives for managing land using the current practices.

**Standard 2b the R-PP text needs to meet for this component: REDD strategy Options**

The R-PP should include: an alignment of the proposed REDD strategy with the identified drivers of deforestation and forest degradation, and with existing national and sectoral strategies, and a summary of the emerging REDD strategy to the extent known presently, and of proposed analytic work (and, optionally, ToR) for assessment of the various REDD strategy options. This summary should state: how the country proposes to address deforestation and degradation drivers in the design of its REDD strategy; a plan of how to estimate cost and benefits of the emerging REDD strategy, including benefits in terms of rural livelihoods, biodiversity conservation and other developmental aspects; socioeconomic, political and institutional feasibility of the emerging REDD strategy; consideration of environmental and social issues; major potential synergies or inconsistencies of country sector strategies in the forest, agriculture, transport, or other sectors with the envisioned REDD strategy; and a plan of how to assess the risk of domestic leakage of greenhouse benefits. The assessments included in the R-PP eventually should result in an elaboration of a fuller, more complete and adequately vetted REDD strategy over time.

**Please note that, at this stage, the requirement is not to reach agreement on the REDD-plus strategy itself (as this may require analytic studies, consultations, etc., which are identified in the R-PP, but have not yet been carried out). However, if the national REDD-plus Strategy is already available, please provide it. Please provide the following information:**

* **A summary of preliminary REDD-plus strategy options in the space below, and a description of the process proposed for developing and assessing various strategy options (in three to six pages);**
* **The budget and funding request in Table 2b (detailed budget and funding data go in Component 5);**
* **If necessary, attach the work program and/or draft input to ToR for activities identified to be part of the REDD-plus Strategy as Annex 2b.**

***Add your description here:***

**Table 2b: Summary of Strategy Activities and Budget (or Results Framework)**

Note: UN-REDD requested this table in a slightly different format from the rest of the tables.

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Output (major activity)** | | **Organizations involved** | **Activities or Sub-activities** | **Budget allocation in thousand (estimated cost in thousands)** | | | | |
| **2011** | **2012** | **2013** | **2014** | **Total** |
| Outcome 1: | | | | | | | | |
| Output 1.1 |  | | 1.1.1 main activity | $ | $ | $ | $ | **$** |
|  | | Sub activity 1 | $ | $ | $ | $ | **$** |
|  | | Sub activity 2 | $ | $ | $ | $ | **$** |
| Output 1.2 |  | | 1.2.1 Main activity | $ | $ | $ | $ | **$** |
|  |  | | Sub activity 1 | $ | $ | $ | $ | **$** |
|  |  | |  | $ | $ | $ | $ | **$** |
| **Total** | | | | **$** | **$** | **$** | **$** | **$** |
| Government | | | | $ | $ | $ | $ | **$** |
| **FCPF** | | | | **$** | **$** | **$** | **$** | **$** |
| UN-REDD Programme (if applicable) | | | | $ | $ | $ | $ | **$** |
| Other Development Partner 1 (name) | | | | $ | $ | $ | $ | **$** |
| Other Development Partner 2 (name) | | | |  |  |  |  |  |
| Other Development Partner 3 (name) | | | |  |  |  |  |  |

Notes: 1. Countries are encouraged to include outcomes, outputs, and organizations involved in this table for this component, for consistency with normal program outcomes and indicator procedures. If identifying outcomes and outputs is difficult at this stage, include your tentative early ideas and then revisit them during Readiness Preparation.

2. Outcome: Actual or intended change in development condition that project interventions are seeking to support. Outcome includes key results such as governance reforms functioning national inter-ministry coordination, national or regional policy or legal reforms, etc.

3. Output: The direct result of project inputs, achieved through the completion of project activities, including tangible products for services necessary to achieve the outcomes of a program or project. E.g., workshop reports, studies, new training courses, etc.

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| 2c. REDD-plus Implementation Framework |

**Rationale**

The REDD-plus strategy will be conceived and implemented in the context of a country’s national development priorities, as discussed earlier. In many countries, these priorities are well established and the framework for implementing them may exist. However, a REDD-plus policy is likely to require amendments or complements to the existing framework.

The purpose of this component is to set out credible and transparent institutional, economic, legal and governance arrangements that may be necessary to enable the country to implement its provisional REDD-plus strategy options discussed in Section 2b, and to meet potential country obligations under any future REDD-plus regime. The institutional and governance issues required to be addressed to design effective REDD-plus strategy options are addressed in Component 2b.

The findings of that process should be used to guide the design of a REDD-plus implementation framework that operationalizes REDD-plus in the specific context of a given country’s land uses and legal and social settings. This includes addressing REDD-plus specific issues like the ownership of carbon rights, the distribution and delivery of REDD-plus benefits to local communities, land tenure questions, etc. The success of REDD-plus implementation is likely to be built on stakeholder confidence in the ability of the framework to create sufficient and fair incentives for the strategy options to be implemented.

**Guidelines**

Countries have flexibility in deciding how best to explain their approaches to REDD-plus interventions within the context of their socioeconomic conditions, drivers of deforestation, and development paradigm. Similarly, countries may have unique early ideas on how to design the institutional, economic, legal and governance arrangements necessary to implement the country’s REDD-plus strategy options in Component 2b, and to meet potential obligations under any future international REDD-plus regime. Since these are new topics in a highly uncertain international policy context, the FCPF and UN-REDD do not expect a country to have these arrangements fully understood at this time.

**Step 1: Discuss issues unique to REDD-plus:**

Provide a discussion of the following questions and issues unique to REDD-plus, but building on lessons learned and young institutions evolving from prior programs and initiatives conceived to tackle other topics. For example, a FLEG-T pilot or village-controlled biodiversity conservation project might have experimented with local decision-making arrangements, or how to allocate profits from harvest and sale of communally managed sustainable timber and non-timber products, that could offer a path to explore for implementing a widely dispersed, national and local partnership for REDD-plus activities.

Key questions to address may include:

1. Which forest areas, of what type of forests and of what size, are considered for involvement in the REDD-plus strategy in each major region?
2. Who owns the forest under statutory or customary law? Is there regulatory or legal clarity on and who owns carbon benefits generated by REDD-plus activities? Is there a relationship between carbon ownership and land tenure? How would any land tenure, or carbon ownership, issues that arise be resolved or mediated?
3. What is the government or other institutions that have capacity and authority to plan, implement and monitor REDD-plus activities? Who is authorized to participate in domestic and/or international transactions based on GHG emissions reductions following reductions in deforestation and/or forest degradation?
4. What would be the role of the national government in these transactions? Are the respective roles of government, landowner and other participants in potential REDD-plus transactions spelled out in regulations or law?
5. What would the financing mechanisms be for REDD-plus activities and transactions in the country, if that is known at this time? Present a synthesized discussion of anticipated co-financing which could potentially include potential donor or partner agencies, type of support such as technical, or financial, and amount of contribution for the R-PP implementation.
6. Benefit sharing arrangements: How would the REDD-plus revenues generated by these transactions be assigned and/or shared? What methodology (studies, workshops, pilots etc) would the country intend to follow, that recognizes previous experience and expected obstacles to design such a benefit sharing system? How will transparency and accountability be ensured?
7. If the REDD-plus strategy options involve interventions at the sub-national level, how will the carbon, land use, and emissions accounting of these interventions be reconciled with the national MRV system?
8. Is the country considering development of a national carbon tracking system or registry for REDD-plus activities and transactions? If so, what would be the arrangements for such a system or registry, and would it be integrated with the MRV system design?
9. How will the performance of the implementation framework be monitored and reported, and who will be responsible for it? Are there any independent institutions with the capacity to monitor and verify information? This may be a separate activity from the MRV system or incorporated within it. (This may be addressed in component 6.)
10. Will the envisaged arrangements enable the country to comply with possible obligations under a future UNFCCC REDD-plus mechanism, e.g., with respect to reporting?
11. What checks and balances could be included in the implementation framework to ensure transparency, accountability and equity? Is there need for development of capacity to operationalize accountability?
12. How could stakeholders be engaged in the implementation framework and the establishment of robust mechanisms for independent monitoring, assessment and review?
13. What other institutional and governance reforms might be needed? E.g., anti-corruption laws and measures, national best practices for fiscal transparency, clarifying roles and responsibilities within a decentralized forest management system, role and the capacity of governmental and non-governmental institutions, including the local and traditional institutions etc.?

**Step 2: Present a proposed work program:**

Present a work program to address these questions and issues over the next few years of implementation of the R-PP studies. This might be planned via a set of carefully designed analytic efforts, pilot projects to explore specific problems or resource use patterns, or other credible, transparent ways that test how to develop the national and local framework of regulations, laws, and institutional arrangements to provide equitable REDD-plus benefits to the field. It may also help meet the requirements of potential investors.

**Feedback and Grievance Redress Mechanism:** [New text on this topic is under consideration in component 1a]

**Good practices are only just becoming evident for this component, as there is little experience to date. Promising ideas include:**

* Describe current legislation pertaining to who owns the rights to carbon, and land tenure where relevant, and secondly, the current status of debate on what form any proposed revisions to national legislation or regulations would or could take to address this important issue.
* Present a list of institutions and their responsibilities for implementation under this component. Describe clear rules on how stakeholders can engage in REDD-plus, e.g., through government regulations that specify how REDD-plus transactions could occur, development of a plan to clarify and legislate carbon rights which specifies benefit sharing mechanisms where relevant, or creation of a clearinghouse for REDD-plus programs.
* Discuss anticipated co-financing of REDD-plus activities (including potential pilot projects) and the R-PP as a whole. This potentially could include potential donor or partner agencies, type of support such as technical, or financial, and amount of contribution for the R-PP implementation.
* Consider the potential use of a national tracking system [or registry] that manages data collected about sub-national and national REDD-plus activities, ownership of REDD benefits generated, the exchange or trading of REDD benefits, and eventually produced by an MRV system.
* If you so choose, also describe how the REDD-plus strategy and Readiness process contribute to any emerging low carbon development planning underway.
* Refer to component 1c’s discussion of developing a system for conflict resolution among stakeholders.

**Standard 2c the R-PP text needs to meet for this component:**

**REDD implementation framework:**

Describes activities (and optionally provides ToR in an annex) and a work plan to further elaborate institutional arrangements and issues relevant to REDD-plus in the country setting. Identifies key issues involved in REDD-plus implementation, and explores potential arrangements to address them; offers a work plan that seems likely to allow their full evaluation and adequate incorporation into the eventual Readiness Package. Key issues are likely to include: assessing land ownership and carbon rights for potential REDD-plus strategy activities and lands; addressing key governance concerns related to REDD-plus; and institutional arrangements needed to engage in and track REDD-plus activities and transactions.

**Please provide the following information:**

* **Summarize the relevant information and ideas on your REDD-plus implementation framework in the space below (in three to six pages);**
* **Fill in the budget and funding request in Table 2c (the detailed budget and funding data go in Component 5);**
* **If necessary, attach the work program or draft input to ToR as Annex 2c.**

***Add your description of key REDD-plus implementation issues and questions here:***

***Work Plan: Add your work plan description for studies and other work over the next few years here:***

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Table 2c: Summary of Implementation Framework Activities and Budget** | | | | | | |
| **Main Activity** | **Sub-Activity** | **Estimated Cost (in thousands)** | | | | |
| **2011** | **2012** | **2013** | **2014** | **Total** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
| **Total** | | **$** | **$** | **$** | **$** | **$** |
| Government | | $ | $ | $ | $ | **$** |
| FCPF | | $ | $ | $ | $ | **$** |
| UN-REDD Programme (if applicable) | | $ | $ | $ | $ | **$** |
| Other Development Partner 1 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 2 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 3 (name) | | $ | $ | $ | $ | **$** |

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| 2d. Social and Environmental Impacts during Readiness Preparation and REDD-plus Implementation |

**Rationale**

The purpose of this component is to help ensure that REDD-plus activities are designed to ‘do good’ and that, at a minimum, they ‘do no harm’. The country receiving FCPF funding for Readiness preparation through the World Bank will be required, as an operational mechanism, to ensure compliance with World Bank safeguard policies and prepare a country-specific Environmental and Social Management Framework (ESMF). There also may be national legislative requirements related to safeguards or the management of social or environmental impacts that should be identified and addressed. An overview of the key elements of the SESA process, by the phases in the R-PP process, is presented in Guidelines Table-1 (located at the end of the introductory guidelines section). Refer to this table as necessary throughout the R-PP writing process, to help understand where various elements of SESA take place.

The readiness preparation phase is meant primarily for technical assistance and capacity building activities, with the objective to prepare the country for large-scale intervention yet to come. The grant will not finance any implementation of REDD-plus activities on the ground (investments, pilot activities). However, should it become necessary, on an exceptional basis, to finance the implementation of policies and projects during the preparation of the Readiness Package (e.g., a pilot project in a given area of the country to test a specific approach to MRV, or the implementation of a forest management plan at a given location as a way to test a REDD-plus strategy option), the safeguard policies would have to be prepared and applied to that project or activity separately, just as they are in standard World Bank-financed projects.

In the context of joint co-financing situations, where there is co-mingling of funds (including from the Bank) for a single REDD-plus readiness activity, the donors and the government will agree on which procedures and safeguards will apply. The donors and government will conduct consultations to agree which safeguards will apply. In the context of parallel co-financing situations, where a REDD-plus readiness activity is financed by a different donor and is not included in the Bank’s grant agreement, the Bank will not apply its procedures and safeguards, even though the activity may have been reviewed by the Participants Committee of the FCPF and by the Bank as part of the country’s readiness proposal.

For a country receiving funding through the UN-REDD Programme, UN-REDD Programme guidelines may be provided separately.

**Guidelines**

An ESMF is a component of SESA that provides a framework to examine the issues and impacts associated with projects, activities, or policies/regulations that may occur in the future but are uncertain or not known at the present time. The ESMF sets out the principles, rules, guidelines, and procedures to assess potential environmental and social impacts and risks, and contains measures to reduce, mitigate, and/or offset adverse environmental and social impacts and enhance positive impacts and opportunities of said projects, activities, or policies/regulations. Guidelines for the development of terms of reference for the development of an Environmental and Social Management Framework is available in Annex C

In the context of preparation of the Readiness Package, the ESMF provides the framework to address the key environmental and social issues associated with selected REDD-plus strategy options and draws on the assessment undertaken in other R-PP components in order to ensure compliance with World Bank safeguard policies and procedures. Based on inputs from the SESA, the country will prepare an ESMF[[6]](#footnote-6) that would be applied to specific investments, actions, policies and regulations, and programs, including carbon finance transactions, in the context of the future implementation of the Readiness Package.

The ESMF should be prepared as a stand-alone document. A draft ESMF should be prepared as early as possible in the Readiness preparation phase so that it can be publicly disclosed and be the subject of meaningful public consultation. By disclosing and consulting elements of the ESMF or draft ESMF during the readiness preparation phase, the country uses the ESMF to help ensure that stakeholders are kept informed of relevant issues that may affect them before projects, activities (including investments), or policies/regulations with environmental and social impacts are adopted. Such projects, activities, or policies/regulations could include, but not be limited to, adoption of legal or regulatory measures that affect land rights, or involve revenue sharing mechanisms or the definition of carbon rights. The ESMF should at least be in an advanced draft stage by the end of the implementation of the Readiness Preparation Grant when the grant is channeled through the World Bank. The ESMF or the advance draft ESMF would also be a part of the Readiness Package.

An ESMF acceptable to the World Bank should be consistent with the World Bank’s safeguard policy on Environmental Assessment (OP 4.01) and contain specific sections addressing the requirements of other applicable safeguards policies, including as relevant:

* 1. Environmental Management Framework (EMF) to address any potential environmental impacts;
  2. Resettlement Policy Framework (RPF) to address any potential land expropriation and/or physical relocation, as required by the World Bank Involuntary Resettlement policy (OP 4.12);
  3. Process Framework (PF) for restriction of access to natural resources within legally designated parks and protected areas as required by the World Bank Involuntary Resettlement policy (OP 4.12); and
  4. Indigenous Peoples Planning Framework (IPPF) as required by the World Bank Indigenous Peoples policy (OP 4.10).

The ESMF should incorporate procedures for: (i) ongoing consultations with concerned stakeholder groups; (ii) appropriate capacity building measures; and (iii) environmental and social impact screening and assessments. The Framework also provides for the preparation of time-bound action plans for mitigating adverse impacts related to the future programs and/or projects (Environmental Assessment Reports as provided for in the EMF; Resettlement Action Plans as provided for in the RPF; and so on).

Given the nature of likely REDD-plus strategy options, the ESMF should give special consideration to livelihoods, rights (including those of Indigenous Peoples), the special protection of vulnerable groups, biodiversity, cultural heritage, gender, institutional capacity assessment, etc. It should include a mechanism for monitoring implementation of the Framework so that the public can participate in the monitoring processes. Depending on the status of readiness in the country, the ESMF can be applied to pilots, to identify gaps and build capacity for application in the implementation phase.

(For UN-REDD Programme Countries,UN-REDD Programme guidelines may be provided separately.)

It is good practice for this component to

* Draw on SESA results on the gap assessment and the recommendations to address these gaps on legal, regulatory, institutional and capacity building for management of environmental and social priorities and environmental and social risks and impacts.
* If you are an FCPF country, ensure compliance with World Bank’s safeguard policies during both preparation and implementation of the Readiness Package. If you are a UN-REDD country, UN-REDD Programme guidelines may be provided separately. Adapt as much as the preparation of the ESMF to the FCPF country’s existing institutions and procedures for environmental and social management and to help in building capacity to address gaps affecting effective environmental and social management of selected REDD-plus strategy options.
* Establish a realistic and credible monitoring and enforcement system involving to the extent possible civil society and potentially affected parties.

The REDD-plus country eventually will produce a ‘Summary of the Integrated SESA in the REDD-plus Readiness Package in accordance with the guideline provided in Annex D. This summary will be included in the Readiness Package produced towards the end of the readiness preparation process.

**Box 2d-1: The Cancun COP *Decision 1/CP.16*, Safeguards (selected text)**

"71. … (d) A system for providing information on how the safeguards referred to in appendix I to this decision are being addressed and respected throughout the implementation of the activities referred to in paragraph 70, while respecting sovereignty;"

**Appendix I: Guidance and safeguards**

"… 2. When undertaking the activities referred to in paragraph 70 of this decision, the following safeguards should be promoted and supported:

… (e) Actions are consistent with the conservation of natural forests and biological diversity, ensuring that actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;1

(f) Actions to address the risks of reversals;

(g) Actions to reduce displacement of emissions."

source: http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf

**Standard 2d the R-PP text needs to meet for this component:**

**Assessment of social and environmental impacts:**

The proposal includes a program of work for due diligence for strategic environmental and social impact assessment in compliance with the World Bank’s or UN-REDD Programme’s safeguard policies, including methods to evaluate how to address those impacts via studies, consultations, and specific mitigation measures aimed at preventing or minimizing adverse effects. For countries receiving funding via the World Bank, a simple work plan is presented for how the SESA process will be followed, and for preparation of the ESMF.

**Please provide the following information:**

* **Discuss the approach to be followed for ensuring compliance with World Bank’s safeguard policies and how the ESMF will draw on other components of the R-PP as needed.**
* **Present the draft input to ToR for the ESMF if FCPF Country (guidelines for preparation of ToRs is available in Annex C); or relevant equivalent if UN-REDD Programme Country, in the space below (in less than five pages). Since all details will not be available at the RPP formulation stage, it is understood that the draft input to ESMF will need to be revised during preparation phase;**
* **Fill in the summary budget and funding request in Table 2d (the detailed budget and funding data go in Component 5);**

***Add your description here:***

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Table 2d: Summary of Social and Environmental Impact Activities and Budget** | | | | | | |
| **Main Activity** | **Sub-Activity** | **Estimated Cost (in thousands)** | | | | |
| **2011** | **2012** | **2013** | **2014** | **Total** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
| **Total** | | **$** | **$** | **$** | **$** | **$** |
| Government | | $ | $ | $ | $ | **$** |
| **FCPF** | | **$** | **$** | **$** | **$** | **$** |
| UN-REDD Programme (if applicable) | | $ | $ | $ | $ | **$** |
| Other Development Partner 1 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 2 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 3 (name) | | $ | $ | $ | $ | **$** |

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| **Component 3: Develop a Reference Level** |

**Rationale**

Measuring the effect of activities that reduce emissions from deforestation and forest degradation and provide carbon uptake or removals from the atmosphere through conservation of forest carbon stocks, sustainable management of forests, or enhancement of forest carbon stocks, requires an estimate of trends in forest cover and other land uses over time, in the absence of the REDD-plus policy interventions. This estimate of trends is then used to compare the performance of the interventions. Countries are encouraged to use current UNFCCC COP decision text terms “reference emissions level” (REL) and “reference level” (RL). The term RL is used in this document as shorthand for REL or RL (both described below), since REDD-plus now includes the carbon uptake activities like conservation, sustainable management of forests, and enhancement of forest stocks in addition to emissions from deforestation and degradation.

Countries may choose to undertake no-regrets foundation work on a reference level, and later refine their work to match eventual UNFCCC more detailed guidelines, as they become known. This stepwise approach may be warranted, given that UNFCCC negotiations continue to evolve, that the IPCC Good Practice Guidelines have not been revised to address REDD-plus explicitly, and that REDD-plus financing is uncertain for many countries. Such foundation work is likely to include preparatory data collection, capacity building, and analytic work using proven or promising methods likely to be useful for whatever final methods are eventually decreed by the UNFCCC and IPCC.

The task in this stage of R-PP writing is for countries to prepare a proposed work plan about roughly what data, methods and approach it would use to establish a reference level—but not have actually performed that work. Then, later in the R-PP implementation stage, countries will undertake the studies, data collection, and general approach they proposed and perhaps work on establishing a national (and probably several subnational) reference level. This approach may evolve over the course of the early work, as the international policy process provides further guidance, more data become available, and domestic understanding of methods and tools is refined.

UNFCCC text guidance: UNFCCC COP 16 decision 1/CP.16 (see Box 3 -1 ) requests developing countries to develop a national forest reference emission level (REL) and /or forest reference level (RL), or if appropriate, subnational REL or RLs, in accordance with national circumstances and provisions in the COP 15 decision 4/CP.15 in 2010 (see Box 4.2). This places the responsibility to develop a RL squarely on the country, which presumably would propose a RL, subject to some form of international review. The previous COP 15 text takes into account use of historic data, and adjustments for national circumstances, in accordance with relevant decisions of the Conference of the Parties.

Definitions of these terms vary and are still evolving. REL can be thought of as the combination of recent historical data on greenhouse gas *emissions* from deforestation and/or forest degradation, as adjusted (potentially including future projections of forest cover and other land use trends and carbon density). Thus REL is essentially *gross* emissions, without considering carbon uptake activities. RL can be thought of as the combination of recent historical data integrating both *emissions and removal* (or uptake)activitiesthat apply to all the potential REDD-plus activities. RL thus includes conservation of forests, enhancement of forest carbon stocks, and sustainable management of forests as well as deforestation and/or degradation emissions, and can be viewed as essentially the *net* emissions of all these activities. This document uses the term “RL” as a shorthand term for the objective of this component.

Countries also will have to report on their national circumstances, including GHG emissions, and mitigation policies (presumably including REDD-plus activities), as they currently do, in National Communications under the UNFCCC (COP decision 1/CP.16, III B on NAMAs). Countries are free to define their specific national circumstances (e.g., socio-economic patterns and changes in them, development plans and challenges, etc.). This may include estimation of projected emissions and removals from the land use sectors in the absence of additional incentives for REDD-plus, and emissions and removals if REDD-plus projections or incentives are introduced.

Many FCPF country R-PPs to date have included work plans to produce future projections of forest cover change and GHG emissions, especially high-forest-cover/low deforestation countries. Countries may want to undertake such projections as part of their internal evaluation of the relative benefits of engagement in REDD-plus for them, and for comparison to other potential climate mitigation or economic development options; however, projections are not required. Such projections are usually done on a scenario basis, assuming continuation of current land use, policy and economic trends; or assuming alternative land uses, policies or economic trends (e.g., increased commodity crop acreage and prices, decreased timber harvest, expanded biofuel production).

However, at present, little clear guidance exists on which methods to use for either historical or projected RLs, or good practices in applying them. Projections are inherently difficult and complex, with substantial uncertainties which need to be considered in how their design and use. Thus, country R-PP work plans to date are concentrating on capacity building, data collection, pilot analyses and demonstration efforts on this topic.

With the addition of the REDD-plus carbon uptake activities post-Bali, countries now most likely need to develop their REDD-plus strategy, reference level and MRV system for a significant portion of their land base—potentially both lands in forest, and also lands in agriculture, heavily degraded former forest lands, or other lands potentially relevant to REDD-plus (e.g., where afforestation or regeneration might occur). This will vary by country, and by the mix of REDD-plus strategy programs a country selects. Thus in national-scale REDD-plus, countries may need to consider all major sources of GHG emissions from deforestation, degradation, land clearing for new plantations, etc., as well as all major carbon uptake activities like afforestation/reforestation, enhancement of degraded forest lands, conservation of standing forests, and sustainable forest management silvicultural techniques (e.g., reduce impact logging, alternative timber harvest or rotational regimes, etc.).

**Guidelines**

Please consider the following steps as you develop your proposed work plan on how to prepare for establishing your RL:

1. Review historical data available on drivers of deforestation and/or degradation and other REDD-plus activities, and identify data gaps that need to be filled to estimate past and recent land use change and GHG emissions/removals from deforestation and/or forest degradation and any of the other REDD-plus activities. Include assessment of national forest and other key land use data availability, and any gaps in data and in capacity, e.g., forest inventory data and its potential use for carbon density estimation; remote sensing data and interpretation; etc.
2. Review "national circumstances" that might adjust the reference level proposed. This is UNFCCC terminology for national socio-economic and/or climatic conditions that could lead to a country to offer a justification for why past deforestation or other land use trends should not be considered as the basis of future trends of GHG emissions. This might include, e.g., recent or expected land use trends not significant in the past (e.g., massive agricultural expansion into new crops or area); or identification of areas where the country has no control over its forest resources due to conflict or other circumstances. These may include assumptions that deforestation drivers and their magnitude may change significantly in the future, offering a rationale in the UNFCCC context for the future reference level projections that many FCPF countries are planning. It may be desirable to coordinate with other ministries and donor agencies active in the country to identify their projects or programs currently being developed for the next years or decades that may contribute to deforestation or forest degradation or to land conflict.
3. Assess the feasibility of the country being able to implement potential approaches to developing a reference level:
4. Historical: Developing a RL based on historical trends in emissions/removals over the last decade or so, using various data sources: forest inventory data, previous land cover change studies using a variety of remote sensing imagery; other spatial data and analysis is a Geographic Information System (GIS), etc. Data are likely to be needed on: land use activity at the forest boundary and within forest areas, on drivers like local demand for fuelwood, industrial charcoal expansion, mining, crop patterns, ranching, timber harvesting, transportation infrastructure expansion, etc.
5. Projections: Projections involve quantifying forest land uses and carbon stock under current conditions, and then introducing a set of assumptions about how land cover change drivers and macroeconomic trends (e.g., increased demand for biofuels) and national development plans could change land uses and carbon stock over the next few decades. Such projections often use a scenario approach, starting from historical trend data, and then make forecasts using one or more alternate sets of assumptions for the future – e.g., say an aggressive agricultural intensification scenario, or an expanded forest conservation scenario, or a high REDD-plus price and payments scenario. This may involve the use of data and tools (e.g., GDP, population, agricultural expansion, and/or forest industry growth or other forecasts, national or sectoral development plans, specific investment programs, adjustment coefficients otherwise derived from such factors and data, GIS or economic models).
6. Assess the country’s current human, resource, etc. capacity and capacity needs for each approach being considered:
7. What government or other institutions will be involved in this activity? What capacity currently exists? What additional data or capacity building is required for each of the options?
8. Is technical support available? What type of technological capacity is needed, e.g., computer hardware, software, field equipment, laboratory facilities, etc.
9. What is the scope for collaborating with national and international organizations?
10. Develop a work plan identifying the major steps and studies envisioned, in a stepwise manner, moving from current capabilities towards more sophisticated capacity in the years ahead. Given current uncertainties in REDD-plus climate policy, financing, and methods for developing RLs, a stepwise work plan could:
    1. launch the RL process with a national information sharing, outreach, and capacity assessment workshops or other processes
    2. identify potential approaches to developing a RL, country circumstances, and propose criteria and a process for selecting an approach
    3. fund initial work to fill gaps in current capacity that needed to advance work on an RL, including, e.g., missing data dates or types (e.g., missing remote sensing data for certain years, carbon density data in a wide range of dynamic landscapes potentially involved in REDD-plus activities; missing expertise)
    4. start background studies needed, e.g., collection of data for key deforestation drivers (e.g., fuelwood demand by expanding urban areas, or soy or palm oil plantation expansion rates)
    5. explore RL setting in an existing pilot project or region, to learn lessons.
11. Countries need to consider how to integrate RL development with:
    1. component 2a assessment of deforestation drivers because changes in them would need to be captured in the RL, especially an forward-looking projections
    2. components 2b REDD-plus strategy activities, and 4a MRV because progress on REDD-plus activity performance (e.g., say expanding forest conservation areas) would need to be compared against the reference level a measured and monitored by the MRV system
    3. national GHG inventory and reporting process, since country National Communications report historical land use trends and GHG emissions, using IPCC Good Practice Guidelines methods.
12. Subnational reference levels: The COP decision 1-/CP.16 (see Box 3-1) states that, “as an interim measure… national forest reference emission levels … could be a combination of subnational … forest reference levels.” Consider the potential benefits of preparing to establish a RL for each major ecoregion or political unit like a province, linked up into a national RL. Explain how this approach would be organized, implemented, and be consistent with the national REL/RL. Some countries have expressed interest in cooperating on analytic work on RL (and monitoring system design) at a multi-country regional scale, and then having each country select its own level, building on this common work. If this approach is relevant to your country, please explain how you expect this to work, what role your country would play, and how your country would eventually select its own REL/RL.
13. Incorporate spatial disaggregation of changes in forest cover, via use of GIS or other spatial techniques, production of baseline carbon maps, etc. The implementation of REDD-plus strategy activities, and hence carbon benefit and revenue distribution, is likely to vary across regions. Maps are very useful for information sharing and consultation with stakeholders as well.
14. Consider linkages to the monitoring system design, in particular the land use change and emissions parameters that will need to be built into the monitoring system to ensure that comparable data are available in future years to compare to the REL/RL.
15. Use the most recent IPCC guidelines and guidelines, as adopted or encouraged by the Conference of the Parties, as appropriate, as a basis for estimating anthropogenic forest-related greenhouse gas emissions by sources or removals by sinks.
16. Conduct outreach and information sharing activities when work on the reference level begins. Undertake consultations on proposed options for development of a RL with relevant stakeholders, including indigenous peoples and other forest dwellers, and possible choice of adoption of a national RL with the relevant stakeholders. Disseminate information when a draft and final RL are made public.

**It is good practice for this component to:**

* Try to use historical data to develop the RL for the near past in order to produce realistic RL, the last 10 -15 years or so. Take care to recognize and include or exclude major changes in trends as a result of policy, conflict, or economic changes that have had a significant impact on forest cover. Similarly, it is good practice to limit projections to around two or possibly three decades into the future, to build projections on observable patterns of land use change drivers and extrapolate forward in time. Note that UNFCCC negotiations texts are likely to clarify the time period for the RL in the next year or more.
* To build the development of a RL around the major drivers of deforestation, forest degradation and the other REDD-plus activities. This will encourage linkages among the RL, REDD-plus strategy options, and the design of the MRV system.
* Produce a realistic, defendable reference level, subjected to public and peer review, built on the best available data and methods, and reasonable policy, development and economic assumptions.
* Incorporate spatial disaggregation of changes in forest cover, via use of GIS or other spatial techniques, production of baseline carbon maps, etc
* Prepare multiple future RL projections, usually a business as usual scenario as well as at least one other reference scenario (say, a low or high case) based on alternative assumptions about how major government policies, macroeconomic trends, or REDD-plus markets will affect land use change over time.

Review other country R-PP component 3 proposals for ideas.

A summary of reasonable steps in producing a RL that is worth considering is provided by the Kenya R-PP component 3 (on the FCPF web site), which lays out the following steps:

* 1. Enhance capacity, staffing, technological capabilities
  2. Define reference time period and finalize forest definition.
  3. Quantify activity data

3a. Create benchmark land cover map and perform change detection

3b. Classification quality control

3c. Accuracy assessment

3d. Mosaic and stratificationof classification products

4. Develop historic carbon stock change data for REDD-plus-related activities

4a. Identify key carbon pools to include in the historic estimate

4b. Develop protocols for carbon stock change data collection including accuracy/precision targets and QA/QC protocols.

4c. Inventory all existing historical data and evaluate against accuracy and precision targets.

4d. Link field and remote sensing data

4e. Carbon stock measurement

5. Combine activity data with emission factors to develop total historical emissions/removals

6. Develop future trajectory of emissions.

**Box 3-1: The Cancun COP *Decision 1/CP.16*, National Forest Reference Emission Level and/or Forest Reference Level**

*"71. (b) A national forest reference emission level and/or forest reference level6 or, if appropriate, as an interim measure, subnational forest reference emission levels and/or forest reference levels, in accordance with national circumstances, and with provisions contained in decision 4/CP.15, and with any further elaboration of those provisions adopted by the Conference of the Parties;*

*6 In accordance with national circumstances, national forest reference emission levels and/or forest reference levels could be a combination of subnational forest reference emissions levels and/or forest reference levels.”*

source: http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf

**Standard 3 the R-PP text needs to meet for this component: Reference Level:**

Present work plan for how the reference level for deforestation, forest degradation (if desired), conservation, sustainable management of forest, and enhancement of carbon stocks will be developed. Include early ideas on a process for determining which approach and methods to use (e.g., forest cover change and GHG emissions based on historical trends, and/or projections into the future of historical trend data; combination of inventory and/or remote sensing, and/or GIS or modeling), major data requirements, and current capacity and capacity requirements. Assess linkages to components 2a (assessment of deforestation drivers), 2b (REDD-plus strategy activities), and 4 (MRV system design).

(FCPF and UN-REDD recognize that key international policy decisions may affect this component, so a stepwise approach may be useful. This component states what early activities are proposed.)

**Please provide the following information:**

* **Summarize your proposed approach to establishing a reference scenario in the space below in less than five pages;**
* **Fill in the budget and funding request in Table 3 (the detailed budget and funding data go in Component 5);**
* **If necessary, attach a work program detailing how outcomes of this component will be achieved and/or the draft input to ToR for specific activities as Annex 3.**

***Add your description here:***

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Table 3: Summary of Reference Level Activities and Budget** | | | | | | |
| **Main Activity** | **Sub-Activity** | **Estimated Cost (in thousands)** | | | | |
| **2011** | **2012** | **2013** | **2014** | **Total** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
| **Total** | | **$** | **$** | **$** | **$** | **$** |
| Government | | $ | $ | $ | $ | **$** |
| **FCPF** | | **$** | **$** | **$** | **$** | **$** |
| UN-REDD Programme (if applicable) | | $ | $ | $ | $ | **$** |
| Other Development Partner 1 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 2 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 3 (name) | | $ | $ | $ | $ | **$** |

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| **Component 4: Design a Monitoring System** |

**Rationale**

The purpose of the component is to design a monitoring system for two major objectives: (a) measurable, reportable and verifiable (MRV) emissions and removals of greenhouse gases due to avoided deforestation and forest degradation, and enhancement of forest carbon stocks due to conservation and sustainable management of forests; and (b) monitoring multiple benefits, other impacts, and governance. This document uses the term “MRV” to describe this set of capabilities. UNFCCC decisions 1/CP.16 and 4/CP.15 (see boxes 4-1 and 4-2) request developing countries to develop an MRV system for REDD-plus. In the absence of more definitive guidelines on how a potential REDD-plus regime might be structured and its MRV requirements and methods, UNFCCC COP decisions and negotiating texts and discussions offer a broad framework for consideration.

Simply put, this component aims to develop a system to measure and monitor emissions and removals of GHGs caused by key drivers of deforestation, forest degradation, and enhancement of carbon stocks as identified in the component 2a assessment of past trends, and also the performance of REDD-plus strategies being identified in component 2b. Additionally, the MRV system needs to be designed to facilitate comparison of land area and GHG emissions estimates for the reference level being established in component 3; and to monitor multiple benefits, other impacts and governance.

The UNFCCC requests countries to take into consideration the following elements in the design and eventual deployment of an operational national monitoring system (see Box 4 -2 below):

(i) Combine remote sensing and ground-based forest carbon inventory approaches for estimating, as appropriate, anthropogenic forest-related greenhouse gas emissions by sources and removals by sinks, forest carbon stocks and forest area changes;

(ii) Provide estimates that are transparent, consistent, as accurate as feasible, and that reduce uncertainties and estimate remaining uncertainties, taking into account national capabilities;

(iii) Make certain the system results are available and suitable for review, as agreed by the Conference of the Parties.

Countries undertaking REDD-plus are likely to need to demonstrate credible reductions in deforestation, forest degradation and other REDD-plus activities in comparison to this scenario in order to obtain performance-based financial incentives. Component 4a should address this aspect.

In addition, an MRV system also builds accountability and trust among local constituencies. The system design should be presented to affected stakeholders (including indigenous peoples, other forest dwellers, and other stakeholders), who over time would be consulted on the system design and operation. The description of the MRV system in this component should include early ideas on including capability (either within an integrated system, or in coordinated activities) to monitor rural livelihoods, conservation of biodiversity, key governance factors directly pertinent to REDD-plus implementation in the country, and to assess the impacts of the REDD-plus strategy on the forest sector. Component 4b should be targeted to design an operational national system for monitoring these variables. It is possible to integrate (a) and (b) as one system, or to have them as separate monitoring systems.

Note: The FCPF and UN-REDD recognize that countries may not be able to finalize the design of the MRV system for the emission reductions and removals in the absence of definitive guidelines from the UNFCCC policy process. Thus, the MRV system may have to be developed gradually, starting with data collection and analytic work, and with further refinements being made later on to match the guidelines emerging from the UNFCCC policy process.

In the R-PP, countries are asked to prepare a proposed work plan explaining their planned stepwise evolution from their current capacity, via early no-regrets activities that offer value regardless of the outcome of REDD-plus policy negotiations, towards an enhanced MRV system capable of monitoring REDD-plus activities. Similar to the guidelines for component 3, countries may choose to undertake no-regrets foundation work enhancing their national forest inventory and forest management capacity, as a step towards developing their MRV system, and then later refine their work to match eventual UNFCCC guidelines. This stepwise approach reflects the reality that UNFCCC negotiations are still in flux, that IPCC Good Practice Guidelines has not been revised to address REDD-plus explicitly yet, and that REDD-plus financing is uncertain for many countries.

The national forest monitoring system also will be used to support the development of a national GHG inventory that countries will be able to use to report emissions and removals to UNFCCC in their National Communications. The GHG inventory as per UNFCCC decision 4/CP.15 (see box 4 -2 below) should use the most recent Intergovernmental Panel on Climate Change (IPCC) Good Practice guidelines, as adopted or encouraged by the Conference of the Parties, as appropriate, as a basis for estimating anthropogenic forest area changes, forest carbon stocks, and forest-related greenhouse gas emissions by sources and removals by sinks. The national forest monitoring system and other data can be used to generate land use activity data (i.e., number of hectares in various land use classes and their change over time), and be combined with national forest inventory and other data on carbon stocks (carbon density per hectare of various forest or other lands), to generate the emission factors needed to perform GHG inventory reporting. The basic formula is: activity data X emissions factor for that activity = GHG emissions. This basic approach can provide emissions estimates for all five REDD-plus activities, including degradation.

**Box 4-1: The Cancun COP *Decision 1/CP.16*, National Forest Monitoring System**

*"71. … (c) A robust and transparent national forest monitoring system for the monitoring and reporting of the activities referred to in paragraph 70 above, with, if appropriate, subnational monitoring and reporting as an interim measure,7  in accordance with national circumstances, and with the provisions contained in decision 4/CP.15, and with any further elaboration of those provisions agreed by the Conference of the Parties;*

*7 Including monitoring and reporting of emissions displacement at the national level, if appropriate, and reporting on how displacement of emissions is being addressed, and on the means to integrate subnational monitoring systems into a national monitoring system"*

source: http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf

**Box 4-2: Decision 4/CP.15, Methodological guidelines for activities relating to reducing emissions from deforestation and forest degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries**

Note: this COP decision pre-dates the COP 16 decision, but provides useful additional detail on the sense of the Parties relevant to MRV design.

*“…Requests developing country Parties, on the basis of work conducted on the methodological issues set out in decision 2/CP.13, paragraphs 7 and 11, to take the following guidelines into account for activities relating to decision 2/CP.13, and without prejudging any further relevant decisions of the Conference of the Parties, in particular those relating to measurement and reporting: (a) To identify drivers of deforestation and forest degradation resulting in emissions and also the means to address these; (b) To identify activities within the country that result in reduced emissions and increased removals, and stabilization of forest carbon stocks; (c) To use the most recent Intergovernmental Panel on Climate Change guidelines and guidelines, as adopted or encouraged by the Conference of the Parties, as appropriate, as a basis for estimating anthropogenic forest-related greenhouse gas emissions by sources and removals by sinks, forest carbon stocks and forest area changes; (d) To establish, according to national circumstances and capabilities, robust and transparent national forest monitoring systems and, if appropriate, sub- national systems as part of national monitoring systems that: (i) Use a combination of remote sensing and ground-based forest carbon inventory approaches for estimating, as appropriate, forest-related greenhouse gas emissions by sources and removals by sinks, forest carbon stocks and forest area changes; (ii) Provide estimates that are transparent, consistent, as agreed by the Conference of the Parties;…”*

Source: http://unfccc.int/files/na/application/pdf/cop15\_ddc\_auv.pdf

|  |
| --- |
| 4a. Emissions and Removals |

**Guidelines**

Please consider using the following steps as a guide to prepare the monitoring system:

1. Indicate what the monitoring system will be designed for, i.e., deforestation, and degradation, and other ‘REDD plus’ elements. Clearly state the objectives of the MRV system that you wish to propose, providing clear objectives to achieve in order to become REDD-plus ready. Pay special attention to making certain that the design of the system is capable of monitoring change in the land use activities proposed in the REDD-plus strategy and policies to implement it. For example, if your proposed REDD-plus strategy includes a program that would target changing land use behavior among small fuelwood gatherers or agroforestry practitioners, then make certain the geographic coverage and resolution of the forest inventory data or remote sensing imagery to be used would match the scale of the land use practices—or the effectiveness of the program could not be detected.

Propose how the system will address forest land use change, carbon stock change assessment, and which carbon pools will be included. State the proposed frequency for performing the respective activities (inventory, etc.), if it has been decided.

Describe the criteria and processes to be used for designing the monitoring system. Please identify your targeted IPCC tier level, and intended level of precision for the system, if known at present, both in the: (a) near term (roughly next 3 years), and (b) longer term (say 3-10 years.

1. Assess technological options and choice of methods to be used for measuring, reporting and verifying carbon stock changes. For example, how will a combination of ground-based inventories, remote sensing data and other approaches be designed and implemented in a later phase?
2. Assess existing capacities and future capacities required for the MRV system. Define the roles and responsibilities for design and implementation of measuring, reporting and verifying, including those for national institutions; identify capacity building, training, and hardware and software needs, including possibility of scaling up existing initiatives and collaborations, and renewing previous agreements with relevant institutions.
3. Encourage participation of local communities, NGOs, various government agencies or institutes, and the private sector in designing the MRV system, and assess their scope and role in implementing it.
4. Assess systems/structures required for monitoring and review, transparency, accessibility and sharing of data both nationally and internationally. Assess the financial support required and the sources of funding.
5. Consider the potential benefits of designing the system to be built around logical subnational political or ecological regions, e.g., provinces, islands or ecoregions.
6. Consider how to integrate MRV system design with:
   1. component 2a assessment of deforestation drivers because changes in them would need to be captured in the RL, especially an forward-looking projections
   2. component 2b REDD-plus strategy activities, and component 3 reference level development, since progress on REDD-plus activity performance (e.g., say expanding forest conservation areas) would need to be compared against the reference level a measured and monitored by the MRV system
   3. national GHG inventory and reporting process as National Communications report historical land use trends and GHG emissions, using IPCC Good Practice Guidelines methods.
7. Displacement: Displacement, also known as leakage, is the net change of anthropogenic emissions by sources of greenhouse gases which occurs outside the national or subnational activity boundary, and which is measurable and attributable to a policy or activity. The COP decision 1/CP.16 text (see Box 4-1) calls for “*Including monitoring and reporting of emissions displacement at the national level, if appropriate, and reporting on how displacement of emissions is being addressed, and on the means to integrate subnational monitoring systems into a national monitoring system…*"Thus, countries should indicate in this R-PP component how they propose to conduct analytic or other activities to determine how to address displacement in their MRV system, and consider it in their selection of REDD-plus strategy options. (Some strategy options could have significantly higher or lower displacement, which would affect their relative efficiency as mitigation options, something to be considered in the strategy selection process.)
8. Reporting and verification: COP decision 1/CP.16, section III B on nationally appropriate mitigation actions by developing countries (NAMAs), in paragraphs 60-64 outlines the working framework for reporting and verification of National Communications (every four years, with biennial updates (every two years)), including mitigation actions and thus presumable REDD-plus activities. Countries should consult this framework and include an overview of how they plan to report and have verification occur.
9. In summary, the task in this component is to present the set of activities to be undertaken over the next few years in order for a country to design an MRV system in a stepwise approach, by assessing current capacity and future requirements to MRV REDD-plus, identifying gaps in that capacity, and proposing interim and longer-term objectives in a workplan that integrates major elements of MRV. Table 4-1 below is a conceptual tool that might be helpful in developing this work plan.

**Table 4-1: Conceptual overview of developing the MRV workplan**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Major Elements of MRV System** | | | | | | |
| **Time frame** | **National Forest Inventory** | **Remote sensing of land cover change and major drivers** | **Forest Degradation** | **Carbon density data** | **Non-carbon multiple benefits, and impacts** | **Governance and stakeholder participation** |
| Current country MRV capacity |  |  |  |  |  |  |
| Near-term MRV capacity objectives |  |  |  |  |  |  |
| Longer-term MRV capacity objectives |  |  |  |  |  |  |

**It is good practice for this component to:**

* Include a work plan— and indicate the needed steps to develop an MRV plan such as:
* Review and compare current methods, and alternative proposed methods, to monitor REDD-plus activities, their drivers and resulting land cover/land use changes.
* Propose methods to measure and report land use changes at frequent intervals, potentially initially 2 – 5 years and eventually perhaps every other year or annually.
* Describe methods for collecting and analyzing existing data on carbon stocks, and identify any additional data necessary to obtaining carbon density changes for the full range of your proposed REDD-plus strategy activities. E.g., if expansion of agro-forestry system is proposed, carbon data for such systems will be required.
* Provide mechanisms for participation of local forest communities in measurement activities, whenever feasible.
* Provide early thoughts on how reporting of MRV systems result will be reviewed, made public, and will feed into UNFCCC national communication report.
* Provide early thoughts on a verification methodology, consulting the COP decision 1/CP.16 text. Many countries are proposing third party, independent entities for verification.

**Standard 4a the R-PP text needs to meet for this component:**

**Emissions and Removals**

The R-PP provides a proposal and workplan for the initial design, on a stepwise basis, of an integrated monitoring system of measurement, reporting and verification of changes in deforestation and/or forest degradation, and forest enhancement activities. The system design should include early ideas on enhancing country capability (either within an integrated system, or in coordinated activities) to monitor emissions reductions and enhancement of forest carbon stocks, and to assess the impacts of the REDD strategy in the forest sector.

The R-PP should describe major data requirements, capacity requirements, how transparency of the monitoring system and data will be addressed, early ideas on which methods to use, and how the system would engage participatory approaches to monitoring by forest–dependent indigenous peoples and other forest dwellers. It should also address independent monitoring and review, involving civil society and other stakeholders, and how findings would be fed back to improve REDD-plus implementation. The proposal should present early ideas on how the system could evolve into a mature REDD-plus monitoring system with the full set of capabilities.

(FCPF and UN-REDD recognize that key international policy decisions may affect this component, so a staged approach may be useful. The R-PP states what early activities are proposed.)

**Please provide the following information:**

* **Summarize your proposed approach to designing the monitoring system in the space below in less than five pages;**
* **Fill in the budget and funding request in Table 4-2 (the detailed budget and funding data go in Component 5);**
* **If necessary, provide a more detailed plan and/or draft input to ToR for the necessary activities as Annex 4.**

***Add your description here:***

|  |
| --- |
| 4b. Multiple Benefits, Other Impacts, and Governance |

**Rationale**

The purpose of this component is to incorporate into the MRV system the monitoring of multiple benefits, other social and environmental impacts, and governance, in addition to MRV of GHG emissions and removals performed in component 4a. The benefits to be incorporated would be selected by the country, which needs to have clear ownership of the MRV system. Although countries have flexibility in deciding how they will select which benefits, impacts and governance variables they will monitor and how they will do so, on the basis of guidelines and assistance provided, benefits and impacts generally will include rural livelihoods, biodiversity conservation, ecosystem services, and other environmental and social benefits selected. The monitoring system also should include, among other things, safeguards indicators (taking into consideration the linkages to component 2b (REDD-plus strategy), component 2c (implementation framework), component 2d (social and environmental impacts), and the decision 1/CP.16 COP text on safeguards (see Box 4-3)).

Note: Consider use of a forest governance framework as an analytic process as described in component 2a, guideline 4; and consider the cross linkages between that assessment and consideration of governance variables in component 4b.

**Guidelines**

Please consider using the following steps as a guide to incorporate consideration of multiple benefits, other impacts, and governance into the design and implementation of a monitoring system.

1. Assess and review any existing monitoring systems of multiple benefits. Identify existing national data gathering systems that could be used to obtain data on water, biodiversity, socio-economic indicators, and infrastructure (e.g, transportation system).
2. Conduct a process to select which multiple benefits to include in the MRV system.
3. Describe how the monitoring system will address key governance issues pertinent to REDD-plus implementation (e.g. land tenure, law enforcement), and what will be the role of relevant stakeholders in this process. Determine how it will monitor social and environmental impacts and other multiple benefits, and how it will build on the existing environmental and social monitoring systems of the country.
4. Provide mechanisms for establishing independent monitoring and review, involving civil society, indigenous peoples and other forest dwellers as appropriate, and other stakeholders, to enable feedback of findings to improve REDD-plus implementation.
5. If a stepwise approach is envisioned, describe the timeframe in which the phases will be developed and the key outcomes expected.
6. Assess existing capacities and future capacities required: define the roles and responsibilities for design and implementation of measuring, reporting and verifying, including those for national institutions. Define capacity building, training, and hardware and software needed, including possibility of scaling up existing initiatives and collaborations.
7. Assess the scope and role for local communities, NGOs, various government agencies or institutes, and the private sector in the MRV system.
8. Assess systems/structures required for monitoring and review, transparency, accessibility and sharing of data both nationally and internationally.
9. Assess the financial support required and the sources of funding.
10. Consider the potential benefits of designing the system to integrate across subnational regions; or at a multi-country regional level, if either of these is relevant, based on your ecological, institutional and economic context.

**It is good practice for this component to:**

* Identify key social and environmental benefits and impacts and governance issues.
* Propose a set of indicators associated with non-carbon governance and social and environmental benefits and impacts and consult with stakeholders for comments.
* Consider a practical methodology, tools and institutions based on existing initiatives and lessons learned and ensure coordination with monitoring for other needs (e.g. FLEGT).
* Develop a work plan for the MRV of these variables and for stakeholder participation.

**Resources available:** Several forest governance guidelines toolkits or documents are available that might be important references or offer useful approaches for work on this component. Some such tools include: *Governance of Forest Toolkit* by World Resources Institute, *Analytical Framework for Governance Reform* by the World Bank, and *REDD+ Social and Environmental Standards* by the Climate Community and Biodiversity Alliance (CCBA) and Care International. Please refer to the annexes for the links to access these tools. Chatham House and UN-REDD have jointly posted several workshop and issue papers referenced in Annex A.

**Box 4-3: The Cancun *COP Decision 1/CP.16*: Reporting on Safeguards**

Par. 71 calls for: *“(d) A system for providing information on how the safeguards referred to in appendix I to this decision are being addressed and respected throughout the implementation of the activities referred to in paragraph 70…”*

Appendix I Guidance and safeguards…:

*… “2. When undertaking the activities referred to in paragraph 70 of this decision, the*

*following safeguards should be promoted and supported: …*

*(e) Actions are consistent with the conservation of natural forests and biological*

*diversity, ensuring that actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits”*

source: http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf

**Standard 4b the R-PP text needs to meet for this component:**

**Other Multiple Benefits, Impacts , and Governance:**

The R-PP provides a proposal for the initial design and a workplan, including early ideas on capability (either within an integrated system, or in coordinated activities), for an integrated monitoring system that includes addressing other multiple benefits, impacts, and governance. Such benefits may include, e.g., rural livelihoods, conservation of biodiversity, key governance factors directly pertinent to REDD-plus implementation in the country.

(The FCPF and UN-REDD recognize that key international policy decisions may affect this component, so a staged approach may be useful. The R-PP states what early activities are proposed.)

**Please provide the following information:**

* **Summarize your proposed approach to designing the monitoring system in the space below in less than five pages;**
* **Fill in the budget and funding request in Table 4-1 (the detailed budget and funding data go in Component 5);**
* **If necessary, provide a more detailed plan and/or draft input to ToR for the necessary activities as Annex 4.**

***Add your description here:***

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Table 4-1: Summary of Monitoring Activities and Budget** | | | | | | |
| **Main Activity** | **Sub-Activity** | **Estimated Cost (in thousands)** | | | | |
| **2011** | **2012** | **2013** | **2014** | **Total** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
| **Total** | | **$** | **$** | **$** | **$** | **$** |
| Government | | $ | $ | $ | $ | **$** |
| **FCPF** | | **$** | **$** | **$** | **$** | **$** |
| UN-REDD Programme (if applicable) | | $ | $ | $ | $ | **$** |
| Other Development Partner 1 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 2 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 3 (name) | | $ | $ | $ | $ | **$** |

**Component 5: Schedule and Budget**

**Rationale**

The purpose of this schedule and budget component is to contribute to informed management of the R-PP process: to make sure all proposed activities are included in the R-PP, an estimate of the required funding and sources of funding sources for each component has been made, and the time required to complete them has been estimated.

**Guidelines**

Please provide the following information based on the summary schedules and budgets from the various R-PP components:

1. A schedule to fulfil the activities planned in this R-PP;
2. A budget table and brief description summarizing the financial requirements to support this set of activities; and
3. Requested donor contributions to cover these financial requirements (highlighting your request from FCPF and/or UN-REDD).

**It is good practice for this component to:**

* Provide funding or other information about and how the country plans to contribute funding or in-kind services for specific components.
* Allocate funds to all components and sub-components including those for component 6, and provide an associated timing schedule for the R-PP program. Write an explanatory note to clarify any aspects of key budget items.
* Review the magnitude and distribution of funding requirements across R-PP components, for reasonableness. Define your request for funding in terms of your assessment of the relative importance of the components to you. E.g., if you request 70% of the budget for consultations or for MRV, but have minimal other funding sources, this may not be reasonable.
* Check that individual component budget figures are carried correctly into the summary tables in component 5. Summarize the total request to FCPF, to UN-REDD, and to other donors, by component and in total.
* Provide a schedule for timing of the funding flows for the R-PP program. A flow chart or diagram can help illustrate the budget/schedule relationship.

Review the budget and components to be sure that any needed capacity building for the government or others is included for components that relied heavily on external expertise.

**Standard 5 the R-PP text needs to meet for this component:**

**Completeness of information and resource requirements**

The R-PP proposes a full suite of activities to achieve REDD-plus readiness, and identifies capacity building and financial resources needed to accomplish these activities. A budget and schedule for funding and technical support requested from the FCPF and/or UN-REDD, as well as from other international sources (e.g., bilateral assistance), are summarized by year and by potential donor. The information presented reflects the priorities in the R-PP, and is sufficient to meet the costs associated with REDD-plus readiness activities identified in the R-PP. Any gaps in funding, or sources of funding, are clearly noted.

**Please propose your detailed schedule, budget and allocation across donors in Table 5.**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Table 5: Schedule and Budget** | | | | | | |
| **Main Activity** | **Sub-Activity** | **Estimated Cost (in thousands)** | | | | |
| **2011** | **2012** | **2013** | **2014** | **Total** |
| [Add lines as needed, to provide sufficient detail] |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
| **Total** | | **$** | **$** | **$** | **$** | **$** |
| Government | | $ | $ | $ | $ | **$** |
| **FCPF** | | **$** | **$** | **$** | **$** | **$** |
| UN-REDD Programme (if applicable) | | $ | $ | $ | $ | **$** |
| Other Development Partner 1 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 2 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 3 (name) | | $ | $ | $ | $ | **$** |

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| **Component 6: Design a Program Monitoring and Evaluation Framework** |

**Rationale**

The purpose of the Program Monitoring and Evaluation (M&E) framework is to encourage efficient and transparent management of resources and to help a country keep track of its progress towards readiness and identify and address gaps, shortfalls, and program underperformance as they emerge. The Program M&E framework helps monitor progress with respect to the ToR for each of the components, for example, the schedule of activities to be undertaken, the outputs and the final outcome using simple indicators and serves to provide real time feedback to the government and other stakeholders of how well the preparatory work towards REDD-plus readiness is progressing.

**Guidelines**

The Program M&E framework can be drafted as a combination of ‘process’ indicators and ‘product’ indicators. The process indicators are useful for internal REDD-plus readiness program monitoring at the country level to review whether or not the progress for the various activities/studies for the R-PP are on target, and to help address problems in a timely manner. Initially, process indicators may be more relevant. But as the country moves into readiness activities, product indicators can be established to measure the progress and outcomes of readiness activities against benchmarks established at the time of formulation.

For example, the analysis of REDD-plus strategy options could be a product of the readiness process which would assist the country in making decisions with respect to formulating its REDD-plus strategy. Questions to ask at this stage could include the following: (i) how consultative was the REDD-plus preparation process, (ii) were studies and activities produced as envisaged and (iii) were they reviewed by relevant institutions in the country and third parties? Questions in the guideline section of each component could be used as performance indicators as the work progresses.

Countries are advised to draft a simple Program M&E framework. This framework may include benchmarks and quantitative and qualitative indicators such as: level of transparency in the R-PP development, inclusiveness of stakeholders, dissemination of information and products of R-PP, means of feedback, and adherence to guidelines for procurement, effectiveness and timeliness of readiness preparation process, efficiency of resource use, etc. Locally based Program M&E can feed into the overall Program M&E framework at the national level.

**It is good practice for this component to:**

* Identify an effective set of items that would make a good M&E framework, including: time schedule, component activities to be conducted and results/outputs (indicators) to be achieved in each time period, and allocation of funds and personnel (names or skills) that would be assigned for each activity.
* Use standard WB or UN results frameworks if available or possible. These can be generated by bringing forward the expected outcomes, milestones, and any indicators from each individual component into a summary framework.
* Clearly identify both process and output indicators as part of the Monitoring and Evaluation Framework. For example: for Component 1, process indicators may include consultations and/or milestones towards a new policy or law; for Component 4, output indicators may include which carbon stocks are included, changes in the magnitude of key deforestation and forest degradation drivers, forest cover changes, etc.; and for Component 5, use of funds for a specific component linked to listed output (product, for example, a report or workshop or assembled data set).
* Have R-PP implementers include in their work plan activities to monitor their own performance, and ensure adherence to funding levels and schedules. These activities are recommended to include a periodic review of the overall REDD-plus readiness program, its implementation, including the budget and timetables, and performance to date as well as lessons learned that might inform upcoming activities.
* Specify how reporting on progress on M&E would occur: when, in what format, using what indicators.
* Consider that an independent third party may be hired by the funders or the implementers to verify that the monitoring plan schedules and goals are being met. If the project implementation is off schedule then the monitoring plan should be altered to reflect the changes.
* Add risk assessment ex post, building on your risk assessment in 2b.

**Standard 6 the R-PP text needs to meet for this component:**

**Design a Program Monitoring and Evaluation Framework**

The R-PP adequately describes the indicators that will be used to monitor program performance of the Readiness process and R-PP activities, and to identify in a timely manner any shortfalls in performance timing or quality. The R-PP demonstrates that the framework will assist in transparent management of financial and other resources, to meet the activity schedule.

**Please provide the following information:**

* **Summarize your proposal in the space below in one to three pages;**
* **Fill in the budget and funding request in Table 6 (the detailed budget and funding data go in Component 5);**
* **If necessary, provide any additional details or draft input to ToR as Annex 6.**

**Note: This framework is distinct from any that will be developed or undertaken by the World Bank for FCPF program evaluation and supervision of Readiness Grant Agreements.**

**UN-REDD countries may also want to provide a Results Framework table, included below as Table 6-2.**

***Add your description here:***

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Table 6: Summary of Program M&E Activities and Budget** | | | | | | |
| **Main Activity** | **Sub-Activity** | **Estimated Cost (in thousands)** | | | | |
| **2011** | **2012** | **2013** | **2014** | **Total** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
|  |  | $ | $ | $ | $ | **$** |
|  | $ | $ | $ | $ | **$** |
| **Total** | | **$** | **$** | **$** | **$** | **$** |
| Government | | $ | $ | $ | $ | **$** |
| **FCPF** | | **$** | **$** | **$** | **$** | **$** |
| UN-REDD Programme (if applicable) | | $ | $ | $ | $ | **$** |
| Other Development Partner 1 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 2 (name) | | $ | $ | $ | $ | **$** |
| Other Development Partner 3 (name) | | $ | $ | $ | $ | **$** |

**Table 6-2: UN-REDD National Programme Monitoring Framework :**

**Potential tool for all countries, and required for UN-REDD countries**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Expected Results (Outcomes and Outputs)** | **Indicators (with baselines and indicative timeframe)** | **Means of Verification** | **Collection methods (with indicative timeframe and frequency)** | **Responsibilities** | **Risks and assumptions** |
| From country Results Framework or R-PP components | From Results Framework or R-PP components.  Baselines are an indicator at the start of the joint programme | From indentified data and information sources | How is it to be obtained? | Specific responsibilities of participating UN organizations (including shared results) | Summary of assumptions and risks for each result |

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| **Suggested Annexes for the R-PP (Optional)** |

**Guidelines:**

* **If you decide to annex draft input to Terms of Reference, plans, or other material important to describe how the R-PP would be organized or its studies performed, please include additional information in the annexes below;**
* **Delete any annex that is not used, but *please maintain the numbering* of the annexes (i.e., use the number for each Annex as shown below, even if you only have only a few annexes; do not renumber them);**
* **Update the Table of Contents to reflect only the annexes you include before finalizing the document.**

|  |
| --- |
| Annex 1a: National Readiness Management Arrangements |

**Please present your early ideas and/or draft input to ToR.**

|  |
| --- |
| Annex 1b: Information Sharing and Early Dialogue with Key Stakeholder Groups |

**Please present any relevant additional material not included in the body of the R-PP (component 1b).**

|  |
| --- |
| Annex 1c: Consultation and Participation Process |

Please present any relevant additional material not included in the body of the R-PP (component 1c).

|  |
| --- |
| Annex 2a: Assessment of Land Use, Forest Law, Policy and Governance |

Please present any relevant additional material not included in the body of the R-PP (component 2a).

|  |
| --- |
| Annex 2b: REDD-plus Strategy Options |

Please present the early ideas and/or draft input to ToR for work to be carried out. Please also present the strategy options themselves if they are available.

|  |
| --- |
| Annex 2c: REDD-plus Implementation Framework |

Please present the early ideas or draft input to ToR for work to be carried out. If you decided to merge Components 2b and 2c, you may also wish to merge Annexes 2b and 2c.

|  |
| --- |
| Annex 2d: Social and Environmental Impact during Readiness Preparationand REDD-plus Implementation |

Please present the early ideas or draft input to ToR for work to be carried out.

|  |
| --- |
| Annex 3: Develop a Reference Level |

Please present the early ideas or draft input to ToR for work to be carried out.

|  |
| --- |
| Annex 4: Design a Monitoring System |

Please present the early ideas or draft input to ToR for work to be carried out.

|  |
| --- |
| Annex 5: Schedule and Budget |

Please present any additional details of your proposed Schedule and Budget.

|  |
| --- |
| Annex 6: Design a Program Monitoring and Evaluation Framework |

Please present any additional details of your proposed Monitoring and Evaluation.

**[end]**

1. The World Bank’s safeguard policies are accessible at <http://go.worldbank.org/WTA1ODE7T0>. If readiness preparation support under the FCPF Readiness Fund is provided by entities other than the World Bank, it will have to be determined whether the World Bank safeguard policies apply. *[In the context of joint co-financing situations, where there is co-mingling of funds, including from the World Bank, for a single REDD-plus readiness activity, the donors and the government will agree on which procedures and safeguards will apply, in accordance with the principle that the most stringent provisions of rules apply to all donors. In the context of parallel co-financing situations in which the Bank’s safeguards would not apply, where a REDD-plus readiness activity is financed by a different donor and is not included in the Bank’s grant agreement, the Bank will not apply its procedures and safeguards, even though the activity may have been reviewed by the Participants Committee of the FCPF and by the Bank as part of the country’s readiness proposal.][* *[This text is likely to be revised in next version 6 of the template once the common approach for multiple delivery partners is adopted.]* [↑](#footnote-ref-1)
2. The UN Declaration on the Rights of Indigenous Peoples, adopted by the 61st session of the United Nations General Assembly on 13 September 2007, can be accessed at <http://www.un.org/esa/socdev/unpfii/en/declaration.html> [↑](#footnote-ref-2)
3. These guidelines will be added to the Guidelines on Stakeholder Engagement in REDD+ Readiness, FCPF and UN-REDD Programme in August 2011 [↑](#footnote-ref-3)
4. UN-REDD Programme guidelines on FPIC and Recourse will also be added to in August 2011 [↑](#footnote-ref-4)
5. This exercise begins as part of the World Bank’s due diligence process and is reflected in the R-PP Assessment Note drafted by the World Bank. [↑](#footnote-ref-5)
6. Guidelines for preparation for ESMF will be issued by the Facility Management Team in the near future. [↑](#footnote-ref-6)