

REQUEST FOR TARGETED SUPPORT¹

| I. SUMMARY OF REQUEST (complete cells in white) | |
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| Main objective | <p>... (Please expand space as needed, about 100 words)</p> <p>Support the development of the National Safeguards System (SNS)², that includes the Safeguards Information System in Mexico (SIS)³, by conducting the remaining relevant analysis and promoting the agreements needed to consolidate the conceptual model of the SNS and the design of the SIS.</p> |
| Main results expected | <p>... (Please expand space as needed, about 200 words)</p> <ol style="list-style-type: none"> 1. Identification and analysis of the relevant institutional framework, which determines the capacities and responsibilities of relevant institutions to ensure the operationalization and reporting of the safeguards in Mexico. 2. Identification and analysis of the relevant compliance framework, which provides: <ol style="list-style-type: none"> 2.1. Identification of which and how existing information, systems will be used to gather information on safeguards when implementing REDD+ activities, including reporting procedures associated with compliance with the relevant international agreements and treaties.⁴ This identification will be essential for setting up an SIS; 2.2. Identification of which and how existing grievance redress mechanisms will be used to deal with grievances associated with the safeguards implementation when conducting REDD+ activities; and 2.3. Identification of which and how existing non-compliance aspects/mechanisms will be used to deal with any failure to address and respect the safeguards when implementing REDD+ activities. |

¹ It is voluntary to use this form in the application process for UN-REDD Programme targeted support. If the country prefers using its own document, this form can be used as guidance on the content that is needed.

See also guidance in the [Procedures for Accessing UN-REDD Programme Targeted Support](#).

The requests for targeted support should be presented in coordination with the teams of the participating UN organizations (FAO, UNDP and UNEP) and the Resident Coordinator.

It is recommended that the UN-REDD Country Focal Point submits the request. The request should be sent to the UN-REDD Programme Secretariat (E-mail: un-redd@un-redd.org). The Resident Coordinator to be copied on the request.

² The National Safeguards System (SNS) defines the operationalization of the safeguards that will be applied in the country, including the development of a Safeguards Information System (SIS). The SNS is based on the country's existing legal, institutional and compliance framework.

³ The Safeguards Information System (SIS) is a part of the National Safeguards System and is a tool to inform and report how REDD+ safeguards are being addressed and respected.

⁴ Refers to the relevant international instruments to REDD+ safeguards to which Mexico is Party.

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| | <p>3. Articulation of how the safeguards in Mexico are to be operationalized through the existing legal, compliance and institutional framework, with the feedback from civil society and relevant actors.</p> <p>4. Specification as to how the SNS and SIS will operate between national and state levels. This includes the analysis of the legal, institutional and compliance framework at the state level (in one pilot state), with the objective to identify how the safeguards could be operationalized at the state level and support the reporting through the SIS.</p> <p>5. Designed safeguard information system (SIS), which is comprised of:</p> <p>5.1. An institutional structure that serves to gather all relevant information, in order for it integrated in accordance with different national and international reporting needs.</p> <p>5.2. An articulation of which existing and new information systems will be used to gather information on the safeguards, including reporting procedures associated with compliance with the relevant international agreements and treaties. This is the same result presented under number 2.1.</p> <p>5.3. An information platform to share information about the safeguards. It will be sought to build on existing platforms within the possibilities.</p> <p>5.4. Structural, process and outcome indicators that determine the type of information to be provided about how the safeguards are being addressed and respected.</p> <p>6. Dissemination of the results of each stage, including feedback / validation with key stakeholders and/or participatory platforms.</p> |
| Total amount requested (US\$) | 650,000 US\$ |
| Related Work Area/s ⁵ as defined in the <u>UN-REDD Programme Strategy 2011-2015</u> | Not applicable |
| Planned period of implementation ⁶ | 18 months |
| Please select below type of funding as appropriate | |
| <input type="checkbox"/> Request for funding for REDD + activities implemented in support of existing UN-REDD National Programmes. <input checked="" type="checkbox"/> Request for funding for REDD+ activities complementary to other nationally-defined REDD+ activities (national strategies, RPP and/or bilaterally funded REDD+ activities) or for initiation of REDD+ activities. (The country has no UN-REDD National Programme. | |

⁵ The work areas are: Monitoring Reporting Verification (MRV), Governance, Stakeholder Engagement, Multiple Benefits, Transparency & Accountability, Green Economy.

⁶ Period: from month/year to month/year.

“Supporting the development of the National Safeguards System in Mexico”

II. BACKGROUND⁷

Please describe the background to the request. Examples of relevant content:

- Brief description of status of REDD+ readiness in the country and the national REDD+ efforts.
- Rationale for the needed support (it should represent additional and specific contribution to national REDD+ efforts with a view to fill gaps or to leverage other activities).

... (Please expand space as needed, max 600 words. Add any additional information in an Annex)

Participatory preparation⁸ of the National REDD+ Strategy (ENAREDD+) has been ongoing since the presentation of *Mexico’s Vision on REDD+: Towards a National Strategy*,⁹ which contains key targets and definitions that guide the development of ENAREDD+ and by means of which the importance of the inclusion of public policies that favour sustainable rural development is emphasized, incorporating and enhancing community management of forests and conservation of their biodiversity. ENAREDD+ is aligned with the targets, objectives and strategic mitigation actions of the forest sector, which are included in the Climate Change Strategy.

ENAREDD+ aims to achieve the reduction of emissions from deforestation and forest degradation and to conserve and increase the forest carbon stocks within the framework of sustainable rural development for Mexico, with assurances that the safeguards and principles set out in the strategy and in the legal framework in effect will be applied and observed. In order to do so, the ENAREDD includes as an objective the development of a National Safeguards System (SNS) for respecting and addressing the safeguards established in the UNFCCC Cancun Agreements (Decision 1/CP.16), considering the provisions of Decision 12/CP.17 adopted in Durban in 2011, Articles 1 and 2 of the Mexican Constitution, and Article 134 bis of the LGDFS.

The consultation of the final draft of ENAREDD+ will be conducted in 2014 and 2015, mainly with financing of the FCPF readiness fund. For further information on the ENAREDD please visit the following link <http://www.conafor.gob.mx/web/temas-forestales/bycc/redd-en-mexico/estrategia-nacional-redd-enaredd/>

Progress regarding the SNS includes two consultancies financed by the initiative Mexico Alliance for REDD+ (MREDD+). These had as general objective to present clear options and recommendations on how to implement a SNS for Mexico in a way that is country-led and building from the country’s existing governance system (its legal, institutional and compliance frameworks), and to ensure the effective implementation of the UNFCCC REDD+ safeguards. This work included a review of the applicable national legal framework and the existing gaps, the analysis of multilateral initiatives and their relation to REDD+ safeguards and development of the conceptual framework for the design of the SNS in Mexico.

There has also been some progress analyzing the compliance and institutional frameworks, through a consultancy with funding from MREDD+¹⁰. The objectives of this consultancy include the identification, analysis and systematization of the reporting mechanisms and processes associated with national policy instruments that could be relevant for safeguards reporting; the preliminary development of structural indicators (based on the legal framework) for the report of REDD+ safeguards; and identification of the existing institutional arrangements that could support the safeguards information system.

Additionally, there have been some activities to pilot the Social and Environmental Standards (REDD+ SES) in Early Action Areas (Jalisco and Yucatan Peninsula). In Jalisco, in early 2013, there were dissemination and sensitization workshops about REDD+ Safeguards and REDD+ SES. In the Yucatan Peninsula there have been workshops so that relevant actors and stakeholders have more information about REDD+ Safeguards and REDD+ SES. A call for applications was launched in early 2014, and the process has begun to establish the standards committee of the Yucatan Peninsula.

⁷ Depending on the phase of the country in its REDD+ efforts, some of these details are relevant. Others may be too detailed and can be further elaborated if the request is approved.

⁸ The participatory platforms include the Technical Advisory Committee (CTC-REDD) and the ENAREDD+ Working Group of the National Forest Council.

III. SPECIFIC OBJECTIVES

Please describe the main objectives and activities of the request.

- Provide details on type of support requested and include any needs for in-kind support such as knowledge, capacity building or technical information.
- If the country has a UN-REDD National Programme, describe how the requested support will fill gaps / be complementary to the already received funding for the National Programme.

... (Please expand space as needed, max 400 words. Add any additional information in an Annex)

- 1. Carry out an identification and analysis of the relevant institutional framework**, in order to determine the capacities and responsibilities of relevant institutions to ensure the operationalization and reporting of the safeguards in Mexico. This analysis also involves providing recommendations to address gaps.
- 2. Carry out an identification and analysis of the relevant compliance framework**, in order to determine:
 - 2.1. Which and how existing information systems will be used to gather information on the safeguards implementation when implementing REDD+ activities, including also as an output the systematization and identification of the reporting procedures associated with compliance with the relevant international agreements and treaties.¹¹ This identification will be essential for setting up an SIS;
 - 2.2. Which and how existing grievance redress mechanisms will be used to deal with grievances associated with the safeguards implementation (or lack of) when conducting REDD+ activities; and
 - 2.3. Which and how existing non-compliance aspects/mechanisms will be used to deal with any failure to address and respect the safeguards when implementing REDD+ activities.These analyses also involve providing recommendations to address gaps.
- 3. Conduct an exercise to articulate how safeguards in Mexico are to be operationalized through the Country's legal, institutional and compliance frameworks, with the feedback/validation from civil society and relevant actors.** This exercise will be carried out utilizing the inputs from the legal, institutional and compliance frameworks and its output will take the form of a document (s) that will clearly determine:
 - a. How the relevant aspects of the legal framework will be utilised to operationalize the safeguards;
 - b. How the relevant aspects of the institutional framework will be utilised to guarantee the operationalization of the safeguards;
 - c. How will existing information and reporting systems be used to gather information on the safeguards implementation when implementing REDD+ activities,
 - d. How existing GRMs will be used to deal with grievances associated with the safeguards implementation (or lack of) when conducting REDD+ activities; and
 - e. How existing non-compliance aspects/mechanisms will be used to deal with any failure to address and respect the safeguards when implementing REDD+ activities.

⁹ Mexico's Vision on REDD+ was presented during CP 16 in 2010 and establishes sustainable rural development as the way of implementing REDD+ in Mexico, since it promotes a territorial and multisectoral focus for effectively reducing the pressure of deforestation and forest degradation.

¹⁰ The MREDD+ is mentioned as a project that has international funding, and that has been relevant in working closely with the government of Mexico in the development of institutional and technical capacities. For further information please visit the following link <http://www.alianza-mredd.org/>

¹¹ Refers to the international instruments to which Mexico is Party that could be relevant to the reporting of REDD+ safeguards.

4. Determine how the SNS and SIS will operate between national and state levels. This objective requires the development of a statewide articulation of how the legal, institutional and compliance frameworks under the State to be piloted will be used to operationalize the safeguards and support the SIS. This objective requires the following activities:

- 4.1. Analysis of the legal, institutional and compliance framework at the state level, and specifying how it is linked to the legal, institutional and compliance framework at the national level.
- 4.2. Identification of the procedures and institutional arrangements needed to link the provision of information on the safeguards between national and state level.

5. Design a safeguard information system (SIS). This objective will require:

- 5.1. Defining an institutional structure that serves to gather all relevant information, in order for it to be integrated for the different reporting needs (UNFCCC, national stakeholders, donors, etc.). This activity will utilize the inputs from the analysis of the institutional and compliance frameworks.
- 5.2. Carry out an exercise to articulate which existing and new information and reporting systems will be used to gather information on the safeguards, including reporting procedures associated with compliance with the relevant international agreements and treaties. *This is the same result presented under number 3 Letter a.*
- 5.3. Define an information platform that is to be used to share information about the safeguards (e.g. web portal).
- 5.4. Define structural, process and outcome indicators that are to determine the type of information to be provided about how safeguards are being addressed and respected.

6. Dissemination of the results of each stage, including feedback / validation with key stakeholders and/or participatory platforms. This objective will require dialogues, workshops and dissemination products/material targeted for different audiences.

IV. IMPLEMENTATION

Please describe the implementing arrangements for the activities planned.

- Include the main implementing institutions and partner institutions.
- Explain what measures were taken to engage indigenous peoples and civil society, as applicable

... *(Please expand space as needed, max 600 words. Add any additional information in an Annex)*

CONAFOR will lead the implementation of the activities. CONAFOR is a decentralized agency of the federal government with legal status and its own assets created under the name National Forestry Commission by decree published in the Official Gazette of the Federation of April 4, 2001. In accordance with Article 3 of this decree and Article 17 of the General Sustainable Forest Development Law (LGDFS), CONAFOR is the federal agency responsible for developing, promoting and encouraging forest production, conservation, and restoration activities and for participating in the development of plans and programs and the application of the sustainable forest development policy. It therefore acts as the focal point for REDD+ preparation and implementation in Mexico.

V. FUNDING SOURCE

Please indicate any co-funding for the planned activities.

... *(Please expand space as needed, about 100 words)*

VI. SUMMARIZED WORKPLAN WITH BUDGET AND TIMELINE

(Please expand space as needed. Alternatively, add Annex with workplan, budget and timeline)

| Description of planned outputs and activities | Amount (US\$) | Implementation period (from month /year to month/year) |
|--|---------------|--|
| 1. Identification and analysis of the relevant institutional framework (in paper and in practice). Report with findings and recommendations, which integrates feedback from relevant actors. | 50,000 | September - November 2014 |
| 2. Identification and analysis of the relevant compliance framework (in paper and in practice). Report with findings and recommendations, which integrates feedback from relevant actors. | 70,000 | December 2014- March 2015 |
| 3. Document that articulates how safeguards in Mexico are to be operationalized through the country's legal, institutional and compliance frameworks, with the feedback/validation from civil society and relevant actors. This activity requires preparation of technical proposals and the facilitation of dialogues (policy and technical ones) to discuss technical proposals. | 100,000 | March- September 2015 |
| 4. Determine how the SNS and SIS will operate between national and state levels. This objective involves the following activities: <ul style="list-style-type: none"> • Analysis of the legal, institutional and compliance framework at the state level, and specifying how it is linked to the legal, institutional and compliance framework at the national level. • Identification of the procedures and institutional arrangements needed to link the provision of information on the safeguards between national and state level (SIS at different levels). | 100,000 | January-September 2015 |
| 5. Design a safeguard information system (SIS). This objective involves the following activities: <p>5.1. Defining an institutional structure that serves to gather all relevant information, in order for it to be integrated for the different reporting needs. This activity will utilize the inputs from the analysis of the institutional and compliance frameworks and will be executed through dialogues and preparation of technical proposals.</p> <p>5.2. Carry out an exercise to articulate which existing and new information and reporting systems will be used to gather information on the safeguards, including reporting procedures associated with compliance with the relevant international agreements and treaties. This is the same result budgeted under number 3 Letter a.</p> <p>5.3. Define an information platform that is to be used to share information about the safeguards (e.g. web portal). This activity will require assessing which and how existing web base platforms could be used to provide information, and preparing and executing technical proposals to put it in place.</p> <p>5.4. Define structural, process and outcome indicators that are to determine the type of information to be provided about the safeguards are being addressed and respected. This activity will require preparation of technical proposals (utilizing the inputs from the legal, institutional and compliance frameworks and product 3), which will be discussed and adopted through dialogues between</p> | 250,000 | September 2015- February 2016 |

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| relevant government agencies and with feedback from relevant actors. | | |
| Dissemination of the results in each step including feedback with relevant stakeholders and participation platforms. This objective involves a series of dialogues and workshops under each stage as well as dissemination products targeted to different audiences (policy makers, relevant stakeholders). Estimated 6-8 workshops/dialogues. | 80,000 | September 2014-February 2016 |
| Total amount requested (US\$) | 650,000 | |

VII. MONITORING OF PROGRESS AND REPORTING

Please describe how the progress of planned activities and outputs will be monitored and reported by time.

... (Please expand space as needed, about 300 words)

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| IV. UN-REDD COUNTRY FOCAL POINT (name and title) ¹² | Ana Karla Perea Blazquez Negotiation and Commercial Promotion Director International Affairs and Financial Promotion Unit National Forest Commission |
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Ana Karla Perea B.

(Signature)

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|--------------------------------|--|
| Name and title | Ana Karla Perea Blazquez Negotiation and Commercial Promotion Director |
| Institution and address | Periférico Poniente No. 5360, Col. San Juan de Ocotán, Zapopan, Jalisco C.P. 45019 |
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| E-mail | aperea@conafor.gob.mx |

¹² It is recommended that the UN-REDD Country Focal Point submits the request. See also footnotes on page 1.

