

## ***Readiness Preparation Proposal (R-PP)***

***for Country: xxx [name of country]***

***Date of submission or revision: [[add date here]***

R-PP v. 5 draft (October 30, 2010):  
Working Draft for Comments: Not for use by countries.  
Replaces R-PP v.4 (January 28, 2010)

***Readiness Preparation Proposal (R-PP) Template***

***Compilation of Available Information***

***Draft Version 5. Working Draft for Comments October 30, 2010***

***Forest Carbon Partnership Facility (FCPF)***

***United Nations REDD Programme (UN-REDD)***

*Disclaimer: The World Bank does 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.*

*UN-REDD Programme disclaimer: in consultation*

## Guidelines for Use of the R-PP Template

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 all the elements mentioned in Decision 4/CP.15 (FCCC/CP/2009/11/Add.1 page 11), which calls for *“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.”*
3. 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.<sup>1</sup> 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.

If the Participants Committee of the FCPF decides to pilot or allow additional delivery partners for the FCPF Readiness Fund, then additional guidelines will be added to this template. These additional guidelines will specify how countries with delivery partners other than the World Bank could address safeguards, including potential use of the Strategic Environmental and Social Assessment (SESA) and Environmental Social and Management Framework (ESMF), as well as any other guidelines needed.

4. If a grant is expected from the UN-REDD Programme ... [[UN text here????]]
5. The R-PP provides a framework for taking stock of the national situation from the point of view of 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 listed below:
  - i. 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;
  - ii. Identification of REDD-plus strategy options: 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

---

<sup>1</sup> 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 case a readiness activity receives co-financing (i.e., co-mingling of funds for that single activity) from the FCPF through the World Bank and other partners, the procedures followed by the Bank are the procedures with the highest standard among the partners involved. In case of parallel financing (i.e., no co-mingling of funds for that single activity), the Bank follows its own procedures.

- 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+ readiness process;
- iii. Assessment of key social and environmental risks and potential impacts of REDD-plus strategy options, implementation framework, etc. (identified above) consistent with World Bank safeguard policies. The assessment of risks and potential impacts during preparation of the REDD+ strategy will be integrated into the preparation of the REDD+ strategy itself, and an Environmental and Social Management Framework (ESMF) will be prepared to manage these risks and impacts during implementation of the REDD+ strategy (see paragraph 5 and section 2d). UN-REDD countries should follow UN-REDD safeguards guidelines;
  - iv. A reference level (or reference emissions level or reference scenario) of historic forest cover change and greenhouse gas (GHG) emissions and uptake from deforestation and/or forest degradation and REDD-plus activities, and potentially forward-looking projections of emissions; and
  - v. A 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.
6. 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:
- i. 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;
  - ii. 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.);
  - iii. How the country allocates budget, sets a plan and schedule the identified activities, including funding arrangement such as the support foreseen from the FCPF or UN-REDD.
7. 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:
- i. 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

- ii. Actions still being planned: A forward-looking part, which specifies what remains to be done to achieve the state of REDD-plus readiness.
  - iii. 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).
  - iv. A draft ESMF that will provide the framework for managing environmental and social risks and to mitigate potential adverse impacts.
8. 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 REDD-plus in national development and to engaging stakeholders in R-PP activities and in REDD-plus.
9. 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, a validation meeting with UN Resident Coordinator is required prior to submitting the R-PP to UN-REDD. 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. The consultations leading to the validation of the R-PP should include culturally sensitive consultations with key stakeholders, including indigenous peoples and vulnerable stakeholders.
10. A template is provided below to guide 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:
  - i. 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 the R-PP template 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
  - ii. An optional annex allowing the country to present more details, or a fuller plan and/or draft 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.
11. 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.
12. 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.

13. Annexes to this template 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.
14. 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
15. 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.
16. The national focal point for REDD-plus should submit the completed R-PP using the attached template to the FCPF Facility Management Team at [fcpfsecretariat@worldbank.org](mailto:fcpfsecretariat@worldbank.org). If the country is participating under UN-REDD Programme, the completed R-PP should be submitted to .....[[[UN-REDD email here]]]
17. Please note the disclaimer on the front of this template 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.

#### **Box 1: Early Lessons from FCPF R-PPs and UN-REDD Joint National Programme Documents**

Assessment of early R-PPs by the Participants Committee suggests the following early lessons for countries preparing an R-PP:

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 include other key agencies (e.g., agriculture, mining, transportation) and interest forest agency. Assessments of the R-PP by the PC and the TAP recommended broadening working groups to groups (e.g., civil society, indigenous peoples in some cases), and recommended introducing some way to effectively coordinate across these agencies.
2. 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.

3. Be certain to address proposed institutional arrangements for implementing REDD-plus and governance 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?
4. 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.
5. 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.
6. Establish coherence with work being conducted in the context of other related initiatives, for example FLEGT, Forest Investment Program, and any other bilateral initiatives.
7. 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 template should be used for this purpose. Component 5 should synthesize all this information into a coherent set of tables and text.

**R-PP Table of Contents**

**General Information ..... 8**

**Component 1: Organize and Consult ..... 10**

    1a. National Readiness Management Arrangements..... 10

    1b. Information Sharing and Early Dialogue with Key Stakeholder Groups..... 14

    1c. Consultation and Participation Process ..... 19

**Component 2: Prepare the REDD-plus Strategy ..... 24**

    2a. Assessment of Land Use, Forest Law, Policy and Governance ..... 24

    2b. REDD-plus Strategy Options..... 28

    2c. REDD-plus Implementation Framework ..... 32

    2d. Social and Environmental Impacts during Implementation of the Readiness Package ..... 36

**Component 3: Develop a Reference Level or Scenario ..... 40**

**Component 4: Design a Monitoring System ..... 46**

    4a. Emissions and Removals ..... 47

    4b. Other Multiple Benefits and Impacts ..... 51

**Component 5: Schedule and Budget ..... 54**

**Component 6: Design a Program Monitoring and Evaluation Framework ..... 56**

**Suggested Annexes for the R-PP (Optional) ..... 60**

    Annex 1a: National Readiness Management Arrangements ..... 60

    Annex 1b: Information Sharing and Early Dialogue with Key Stakeholder Groups ..... 60

    Annex 1c: Consultation and Participation Process ..... 61

    Annex 2a: Assessment of Land Use, Forest Law, Policy and Governance ..... 61

    Annex 2b: REDD-plus Strategy Options ..... 62

    Annex 2c: REDD-plus Implementation Framework..... 62

    Annex 2d: Social and Environmental Impact ..... 62

    Annex 3: Develop a Reference Level or Scenario ..... 63

    Annex 4: Design a Monitoring System ..... 63

    Annex 5: Schedule and Budget ..... 64

    Annex 6: Design a Program Monitoring and Evaluation Framework ..... 64

**[end] ..... 64**

**General Information**

**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).

Name	Organization

**Summary of the R-PP**

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 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:***

5. Acronyms the country uses in the R-PP:

**[[to be completed ]]**

ESMF: Environmental and Social Management Framework  
 MRV: Monitoring, 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  
 ToR: Terms of References

## Component 1: Organize and Consult

### 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:

1. 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.

2. 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).
3. 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.
4. 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).
5. 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.

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.

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:***

<b>Table 1a: Summary of National Readiness Management Arrangements Activities and Budget (and hypothetical example)</b>						
<b>Main Activity</b>	<b>Sub-Activity</b>	<b>Estimated Cost (in thousands US\$)</b>				
		<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>Total</b>
<i>(HYPOTHETICAL EXAMPLE)</i>						
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	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
<b>Total</b>		<b>\$110</b>	<b>\$110</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>
Domestic Government		\$30	\$40	\$	\$	\$
<b>FCPF</b>		<b>\$80</b>	<b>\$70</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>
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**

[note: former component "1b Consultation and Participation" has been divided into two new subcomponents: "1b" as shown here (for early stages, pre-consultation); and "1c Consultation and Participation Process" (which contains most of the former 1b material)]

### **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. 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 guidance 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” guidance 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 directly relevant to this component:

- a. 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:
  - Identifying various stakeholders in each region (based on forest coverage, deforestation and forest degradation), 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.
  - Identify which issues will be discussed relevant to concept of REDD-plus and development of R-PP.

- 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.
  - Prepare a communication and outreach strategy for public dissemination of this information and of results of the outreach efforts.
3. 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.
  4. Feed the most critical information distributed and comments received during the outreach session into the drafting process for relevant components of the R-PP.
  5. Discuss the potential elements of a consultation and participation plan that would be drafted during the R-PP implementation phase.
  6. Identify existing grievance and redress mechanisms in place that allow disagreements to be elevated to a neutral authority, or discuss how such a mechanism could be put in place with stakeholders during the meeting, at the local or national level.

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.

**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 template 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:***

<b>Table 1b: Summary of Stakeholder Consultation and Participation Activities and Budget</b>						
<b>Main Activity</b>	<b>Sub-Activity</b>	<b>Estimated Cost (in thousands)</b>				
		<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>Total</b>
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
<b>Total</b>		\$	\$	\$	\$	\$
<b>Government</b>		\$	\$	\$	\$	\$
<b>FCPF</b>		\$	\$	\$	\$	\$
<b>UN-REDD Programme (if applicable)</b>		\$	\$	\$	\$	\$
<b>Other Development Partner 1 (name)</b>		\$	\$	\$	\$	\$
<b>Other Development Partner 2 (name)</b>		\$	\$	\$	\$	\$
<b>Other Development Partner 3 (name)</b>		\$	\$	\$	\$	\$

DRAFT

## 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. The validation meeting is not a substitute to an inclusive and transparent consultation process. 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 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: Out of total eight principles, one is more directly relevant to component 1b and is presented there. Guidance on Stakeholder Engagement in REDD+ Readiness, FCPF and UN-REDD Program, Annex B).

- a. Consultations should be premised on transparency and facilitate access to information.
- b. 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.
- c. 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.
- d. 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.
- e. Mechanisms for grievance, conflict resolution and redress must be established and accessible during the consultation process and throughout the implementation of REDD-plus policies and measures.
- f. 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.
- g. Special emphasis should be given to the issues of land tenure, resource use rights and property rights. 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.

#### **For UN-REDD Programme Countries**

[[[Section to be completed by UN\_REDD]]]

[tentative draft text]: Countries that have signed on to the UN Declaration on the Rights of Indigenous Peoples (UNDRIP) will be expected to adhere to the principle of free, prior and

informed consent (FPIC).<sup>2</sup> It is critical for UN-REDD Programme countries to ensure that:

- a. Activities that may potentially impact Indigenous Peoples and other forest dependent communities, shall follow a human rights based approach and shall adhere to UNDRIP, the UN Development Group Guidelines on Indigenous Peoples' Issues, and the International Labor Organization Convention No.169;
- b. FPIC shall be adhered to, and is essential to ensuring the full and effective participation of Indigenous Peoples and other forest dependent communities, in program activities and policy-making and decision-making processes (see more information in Annex 2).

#### Guidelines

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+ 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 priorities associated with the drivers of deforestation, (ii) scoping of key environmental and social risks associated with REDD-plus strategy options; (iii) validation of the legal, institutional, regulatory and capacity building recommendations to address the existing gaps to manage environmental and social priorities; and, (iv) validation of the mitigation and compensation measures in relation to potential environmental and social impacts of REDD-plus strategy options.
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.
7. Development of the plan should be informed by the consultation guidance note in annex C developed by FCPF and UN-REDD program, and guidelines in component 2d. This guidance note identifies eight practical steps for effectively conducting consultations:
  - a. Define the desired outcomes of consultations
  - b. Develop a Consultation and Participation Plan and request endorsement through a national stakeholder workshop
  - c. Select the consultation and outreach methods

---

<sup>2</sup>The UN Declaration on the Rights of Indigenous Peoples, adopted by the 61<sup>st</sup> session of the United Nations General Assembly on 13 September 2007, can be accessed at <http://www.un.org/esa/socdev/unpfi/en/declaration.html>

- d. Define the issues to consult on that broadly correspond to the Readiness Preparation Proposal components
- e. Identify stakeholders that have a stake/interest in the forest and those that will be affected by REDD-plus activities
- f. Establish a grievance redress mechanism
- g. Conduct the consultations with relevant stakeholders at different levels within community and organizations
- h. 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 of this template.

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.

***[Keep this box in the final R-PP submission]***

**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):

Main Activity	Sub-Activity	Estimated Cost (in thousands)				
		2010	2011	2012	2013	Total
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
<b>Total</b>		\$	\$	\$	\$	\$
<b>Government</b>		\$	\$	\$	\$	\$
<b>FCPF</b>		\$	\$	\$	\$	\$
<b>UN-REDD Programme (if applicable)</b>		\$	\$	\$	\$	\$
<b>Other Development Partner 1 (name)</b>		\$	\$	\$	\$	\$
<b>Other Development Partner 2 (name)</b>		\$	\$	\$	\$	\$
<b>Other Development Partner 3 (name)</b>		\$	\$	\$	\$	\$

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

### **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 help the country identify key drivers of deforestation and/or forest degradation, as well as conservation, sustainable forest management of forests, and enhancement of forest carbon stocks. This assessment shall review its 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. 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.
3. 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 forests in 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.

4. Identify key environmental and social issues leading to deforestation and forest degradation, e.g., perverse synergies between immigration and soil degradation, gold rush leading to an influx of artisan miners and their families that encroach in largely untouched forests; and, deforestation and forest degradation processes that have affected environmental quality and quality of life, e.g., degradation and/or pollution of water towers, abandoned pits and small mines which were mined for precious metals that are sources of water pollution, malaria transmitting mosquitoes and soil degradation.
5. 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 programs relevant to REDD-plus, potentially in a tabular form.
6. Identify the major relevant knowledge gaps and capacity constraints that play a role in deforestation and forest degradation that need to be analyzed in more detail. Countries may institute a new assessment or choose evidence-based 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 addressed, the disaggregated data on these challenges and 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.
7. 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.
8. Refer to annex D of this template 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.
9. 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 areas, 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, 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, including property and access rights 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.

**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; 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:*

<b>Table 2a: Summary of Assessment of Land Use, Forest Policy and Governance Activities and Budget (Follow-up Activities Needed)</b>						
<b>Main Activity</b>	<b>Sub-Activity</b>	<b>Estimated Cost (in thousands)</b>				
		<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>Total</b>
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
<b>Total</b>		\$	\$	\$	\$	\$
Government		\$	\$	\$	\$	\$
<b>FCPF</b>		\$	\$	\$	\$	\$
UN-REDD Programme (if applicable)		\$	\$	\$	\$	\$
Other Development Partner 1 (name)		\$	\$	\$	\$	\$
Other Development Partner 2 (name)		\$	\$	\$	\$	\$
Other Development Partner 3 (name)		\$	\$	\$	\$	\$

## 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:
  - i. How the proposed activity would address the specific drivers of deforestation and/or forest degradation, for given land uses and socioeconomic contexts;
  - ii. Cost benefit analysis of REDD-plus strategy options being considered (including opportunity costs, investment costs, transaction costs, and abatement costs). For assistance, Refer to annex A for information on some available tools that might be of interest.
  - iii. Sustainability and integration with other sector policies and strategies: [[moved up]]:
    - a. 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);
    - b. 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)
    - c. Ways of mitigating conflicts or modifying the options to compensate affected institutions and various stakeholder groups.
3. Feasibility assessment (socio-economic, political and institutional): Assess the feasibility of the options through analysis of keysocio-economic and political risks and opportunities for the proposed options. Risks include domestic political risks for a new policy and uncertainties of the international policy process. 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.

4. In the preparation of the Readiness Package and during the evaluation of potential REDD-plus strategy options, key environmental and social issues should be considered for enhancing the formulation of the REDD+ strategy and for safeguarding the preparation and implementation of the Readiness Package as follow<sup>3</sup>:
  - a. **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 (Section 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 which should feed into the selection and/or formulation of the REDD-plus strategy options.
  - b. **Environmental and social safeguarding.** 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<sup>4</sup>. After the R-PP assessment of the R-PP by the PC and before the Readiness Preparation Grant is signed, the REDD-plus Country Participant and the World Bank jointly identify which of the ten safeguard policies are likely to be triggered by the REDD-plus readiness activities. This initial determination of applicable safeguard policies is revisited during the readiness preparation phase as more clarity on REDD-plus strategy options emerges. 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. The assessment of environmental and social risks and of potential environmental and social impacts associated with the REDD-plus readiness and, particularly, the REDD-plus strategy options should inform the selection and preparation of REDD-plus strategy options and include the preparation of an Environmental and Social Management Framework (ESMF). The ESMF provides the framework for avoiding, mitigating, and managing environmental and social risks during implementation of the REDD-plus strategy options (see section 2d).
5. 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. Some 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

---

<sup>3</sup> The enhanced preparation of the REDD-plus Strategy and the environmental and social safeguarding together constitute the SESA.

<sup>4</sup> The country makes a determination of which World Bank safeguard policies. This exercise is undertaken as part of the World Bank's due diligence process and reflected in the "R-PP Assessment Note".

leakage.

6. Refer to annex A of this template for the information on some available tools that might be of interest

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 incentive 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 Result framework)**

[[[Proposed new table from UN-REDD to include results framework. Question: should all component tables adopt this format???

Need to define terms: outcomes, outputs, organizations ]]]

Output (major activity)	Organizations involved	Activities or Sub-activities	Budget allocation in thousand (estimated cost in thousands)				
			2010	2011	2012	2013	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	\$	\$	\$	\$	\$
			\$	\$	\$	\$	\$
<b>Total</b>			<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>
Government			\$	\$	\$	\$	\$
<b>FCPF</b>			<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>
UN-REDD Programme (if applicable)			\$	\$	\$	\$	\$
Other Development Partner 1 (name)			\$	\$	\$	\$	\$
Other Development Partner 2 (name)							
Other Development Partner 3 (name)							

## 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.

First, 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.

Then second, present a proposed 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.

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 are 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?
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.
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 could be the checks and balances to be included in the implementation framework to ensure transparency, accountability and equity?
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.)?
14. Assess what options exist for an accessible, affordable and effective grievance redress mechanism for issues arising under a REDD-plus regime, and how existing grievance redress mechanisms can be modified to ensure that they are more accessible, affordable and effective in responding to challenges in REDD-plus implementation.

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.
- 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. (DRC example)
- If you so choose, also describe how the REDD-plus strategy and Readiness process contribute to any emerging low carbon development planning underway.

**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:

<b>Table 2c: Summary of Implementation Framework Activities and Budget</b>						
<b>Main Activity</b>	<b>Sub-Activity</b>	<b>Estimated Cost (in thousands)</b>				
		<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>Total</b>
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
<b>Total</b>		<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>
Government		\$	\$	\$	\$	\$
FCPF		\$	\$	\$	\$	\$
UN-REDD Programme (if applicable)		\$	\$	\$	\$	\$
Other Development Partner 1 (name)		\$	\$	\$	\$	\$
Other Development Partner 2 (name)		\$	\$	\$	\$	\$
Other Development Partner 3 (name)		\$	\$	\$	\$	\$

## **2d. Social and Environmental Impacts during Implementation of the Readiness Package**

### **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 may be also national legislative requirements related to safeguards or the management of social or environmental impacts that should be identified and addressed.

As per World Bank practice, in cases of joint co-financing of activities by multiple donors, the highest standards of one of the donors apply to the set of activities for all the donors. On a case by case basis, World Bank will determine if a joint financing condition exists, ways to address it, and the appropriate application of safeguards and national legislative requirements. Hence a technical discussion should be initiated as soon as possible between the country and Bank staff regarding the scope of the assessment, choice of assessment techniques and their scope of application.

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.

A country receiving funding through the UN-REDD Programme will be required to .....

[[ To be added by UN-REDD]]

### **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. Guidance 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<sup>5</sup> which 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:

- a) Environmental Management Framework (EMF) to address any potential environmental impacts;
- b) 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);
- c) 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
- d) 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

---

<sup>5</sup> Guidelines for preparation for ESMF will be issued by the Facility Management Team in the near future.

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.

### 1. For UN-REDD Programme Countries

[[[Section to be completed by UN\_REDD]]]

UN-REDD countries who also receive FCPF fund will need to evaluate the UN-REDD and the World Bank Safeguard policies and approaches for each major safeguards issue (e.g., resettlement or forest policy), and follow the higher of the two safeguard standards.

One of UN-REDD Programme's main guidance documents is "Minimum Social Standards: Risk-Assessment Tool" which focuses on three principles, namely good governance, stakeholder livelihood, and policy coherence. This tool is available at [www.xxxxxx.org](http://www.xxxxxx.org) [[[Fill in]]]

3. Resources available for use in this component are listed in annex A.

- 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, ensure compliance with UN-REDD guidelines on safeguards policies. [UN-REDD edits here?]
- 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 guidance provided in Annex D. This summary will be included in the Readiness Package produced towards the end of the readiness preparation process.

**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 ESMF will be prepared, and drawing on SESA process.

**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 (guidance 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:*

<b>Table 2d: Summary of Social and Environmental Impact Activities and Budget</b>						
<b>Main Activity</b>	<b>Sub-Activity</b>	<b>Estimated Cost (in thousands)</b>				
		<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>Total</b>
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
<b>Total</b>		<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>
Government		\$	\$	\$	\$	\$
<b>FCPF</b>		<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>
UN-REDD Programme (if applicable)		\$	\$	\$	\$	\$
Other Development Partner 1 (name)		\$	\$	\$	\$	\$
Other Development Partner 2 (name)		\$	\$	\$	\$	\$
Other Development Partner 3 (name)		\$	\$	\$	\$	\$

### Component 3: Develop a Reference Level or Scenario

#### Rationale

Measuring a reduction in emissions from deforestation and forest degradation requires an estimate of trends in forest cover and other land uses over time, in the absence of the REDD-plus policy interventions, against which the performance of the interventions can be compared. Countries are free to use either current UNFCCC negotiating text terms like “reference emissions level” (REL) or “reference level” (RL), if they feel they understand their use and they are appropriate for their proposed activities. The term RL is used in this document as shorthand for REL or RL (both defined below), since REDD-plus now includes carbon uptake activities like conservation and enhancement of forest stocks and sustainable management of forests, in addition to emissions from deforestation and degradation. Alternatively, countries can use “reference scenario,” a more generic term widely used in the technical literature to describe both historic data trends; and future predictions about how those trends might continue (“business as usual”), or be augmented by other emerging trends on a scenario basis.

Countries may choose to undertake no-regrets foundation work on a reference level, and later refine their work to match eventual UNFCCC guidance—given that UNFCCC negotiations are still in flux, that IPCC Good Practice Guidance has not been revised to address REDD-plus explicitly yet, 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 methods likely to be useful for whatever final methods are 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 utilize to establish a reference level—but not have actually performed that work. Then, later in the R-PP implementation stage, countries would undertake the studies, data collection, and general approach they proposed and work on actual establishment of a national (and probably subnational) reference emissions level. This approach may evolve over the course of the early work, as more data become available and domestic understanding of methods and tools is refined.

UNFCCC decision 4/CP.15 requests countries to establish forest reference emission levels (REL) and forest reference levels (RL), taking into account historic data, and adjustments for national circumstances, in accordance with relevant decisions of the Conference of the Parties. REL is defined here 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)—essentially *gross* emissions. RL is defined here as the combination of recent historical data on *emissions and removals* that apply to all the potential REDD+ activities, thus including conservation of forests, enhancement of forest carbon stocks, and sustainable management of forests—essentially *net* emissions. This document uses RL as a shorthand term for the objective of this component.

Countries will also have to report on their national circumstances, including land use trends, GHG emissions, and mitigation policies, as they currently do for National Communications under UNFCCC. Countries are free to define their specific national circumstances (mainly



related to socio-economic patterns and changes in them, development plans and challenges, etc.). In many countries, this includes estimates of future emissions and removals leading to a national scenario through time of greenhouse gas emissions and removals, in the absence of additional incentives for REDD+.

Many FCPF country R-PPs to date have included work plans to produce future projections of forest cover change and GHG emissions as a result, especially high-forest-cover/low deforestation countries. Such projections are usually done on a scenario basis, using either continuation of current trends, or alternative assumptions about land use (e.g., increased commodity crop acreage and prices, decreased timber harvest, expanded biofuel production).

However, at present, little clear guidance exists on methods for such projections, so countries are concentrating in their R-PP work plans on capacity building, data collection, pilot efforts, and regional cooperation on this topic.

One relatively recent requirement from the addition of the REDD-plus activities post-Bali is that countries probably need to develop their REDD-plus strategy, reference level and MRV system for a significant portion of their land base—both lands in forest, and also lands in agriculture, heavily degraded former forest lands, or other lands potentially relevant to REDD-plus. 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, drivers of deforestation and/or degradation, and identify data gaps that need to be filled in order 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 gaps in data and in capacity, e.g., forest inventory data and its potential use for carbon density estimation, remote sensing data and interpretation, (It is desirable to coordinate with donor agencies active in the country to identify their projects in pipeline that may contribute to deforestation or forest degradation or to land conflict)
2. Review "national circumstances" that might adjust the reference level proposed. This is UNFCCC terminology for any national socio-economic and/or climatic factor that can lead to a country justification that past deforestation or other land use trends should not be considered as the basis of future trends of GHG emissions, or to 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.
3. Assess feasibility of potential approaches to developing a reference level:
  - i. 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; Geographic Information System (GIS) techniques, etc. Data are likely to be

needed on land use activity at the forest boundary and within forest areas, on drivers like local communities, resettlement, fuelwood expansion, mining, crop patterns, ranching, timber harvesting, transportation infrastructure expansion, etc.

- ii. Projections: Developing forecasts for changes in forest land uses and carbon stock under current conditions, and different macroeconomic and development scenarios using projections into the future of historical trend data. 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). It may be important to survey other government agencies and donor agencies active in the country to identify their projects and policies in pipeline that may contribute to deforestation, degradation, or land conflict.
4. Assess the current capacity and capacity needs for each approach being considered:
    - i. What capacity exists, and what additional data or capacity building is required for each of the options?
    - ii. Is technical support available?
    - iii. What is the scope for collaborating with national and international organizations?
  5. 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:
    - i. launch the RL process with a national information sharing, outreach, and capacity assessment workshop or other process
    - ii. identify potential approaches to developing a RL, country circumstances, and propose criteria and a process for selecting an approach
    - iii. 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., carbon density data in a wide range of dynamic landscapes potentially involved in REDD-plus activities; missing expertise)
    - iv. start background studies needed, e.g., availability of data for key deforestation drivers (e.g., fuelwood demand by expanding urban areas, or soy or palm oil plantation expansion rates)
    - v. explore RL setting in an existing pilot project or region, to learn lessons.
  6. Countries need to consider how to integrate RL development with:
    - i. component 2a assessment of deforestation drivers, since changes in them would need to be captured in the RL, especially an forward-looking projections
    - ii. components 2b REDD-plus strategy activities, and 4a MRV, 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

- iii. national GHG inventory and reporting process, since national Communications report historical land use trends and GHG emissions, using IPCC Good Practice Guidance methods.
7. Subnational reference levels: Consider the potential benefits of preparing to establish a RL for each major ecosystem or political unit like the 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.
  8. 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.
  9. 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.
  10. Use the most recent Intergovernmental Panel on Climate Change guidance 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
  11. Conduct outreach and information sharing activities when work on the reference scenario begins. Undertake consultations on proposed options for development of a RL, 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 set up the RL to the last 10 -15 years or so, taking care to recognize and include or exclude major changes in trends as a result of policy or economic changes that have had a significant impact on forest cover.
- Incorporate spatial disaggregation of changes in forest cover, via use of GIS or other spatial techniques, production of baseline carbon maps, etc. Maps are very useful for information sharing and consultation with stakeholders as well.
- 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 steps in producing a RL worth considering is provided by the Kenya R-PP component 3 (on 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 stratification of classification products
4. Develop historic carbon stock change data for REDD+-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

**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, enhancement of carbon stocks, and sustainable forest management 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:***

<b>Table 3: Summary of Reference Level Activities and Budget</b>						
<b>Main Activity</b>	<b>Sub-Activity</b>	<b>Estimated Cost (in thousands)</b>				
		<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>Total</b>
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
<b>Total</b>		\$	\$	\$	\$	\$
Government		\$	\$	\$	\$	\$
<b>FCPF</b>		\$	\$	\$	\$	\$
UN-REDD Programme (if applicable)		\$	\$	\$	\$	\$
Other Development Partner 1 (name)		\$	\$	\$	\$	\$
Other Development Partner 2 (name)		\$	\$	\$	\$	\$
Other Development Partner 3 (name)		\$	\$	\$	\$	\$

## 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) other benefits and impacts over time. Such an MRV system for REDD-plus is requested by UNFCCC decision 4/CP15. In the absence of more definitive guidance on how a potential REDD-plus regime might be structured and its MRV requirements and methods, UNFCCC negotiating texts and discussion offer valuable insights into critical elements.

Simply put, this component aims to develop a system to measure and monitor 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.

The UNFCCC requests countries to take into consideration the following elements in the design and eventual deployment of an operational national forest and other monitoring system:

- (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 will need to demonstrate credible reductions in deforestation and/or forest degradation in comparison to this scenario in order to obtain performance-based financial incentives and Section 4a should address this aspect.

In addition, a monitoring system also builds accountability and trust among local constituencies. The system design should be consulted on, encourage participation by communities in MRV, and 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 in the forest sector. Section 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 monitoring system for the emission reductions and removals in the absence of definitive guidance from the UNFCCC policy process. Thus, the monitoring 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 guidance 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 guidance for component 3, countries may choose to undertake no-regrets foundation work on an MRV system, and later refine their work to match eventual UNFCCC guidance. This stepwise approach reflects the reality that UNFCCC negotiations are still in flux, that IPCC Good Practice Guidance 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 should use the most recent Intergovernmental Panel on Climate Change guidance and 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 assessing the land use activity data, should be combined with a national forest inventory (NFI) which will assess changes in carbon stocks and generate the emission factors needed to perform GHG inventory reporting.

## 4a. Emissions and Removals

### Guidelines

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

1. What will the monitoring system be designed for, i.e., deforestation, and degradation, and other 'REDD plus' elements?
2. How will the system address forest land use change, carbon stock change assessment, and which carbon pools will be included?
3. Describe the criteria and processes to be used for designing the monitoring system. And the target IPCC tier in the: (a) near term (roughly 2- 3 years), and (b) longer term (say 3- 5 years). A reasonable potential target might be for a country to propose a work plan that would enable to have the capacity to report at a tier 2 level within about 3 years.
4. 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?
5. Assess existing capacities and future capacities required for the monitoring 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.

6. 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.
7. 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.
8. Consider the potential benefits of designing the system to integrate across logical subnational regions; or at a multi-country regional level, if either of these is relevant, based on your ecological, institutional and economic context.
9. Consider how to integrate MRV system design with:
  - i. component 2a assessment of deforestation drivers, since changes in them would need to be captured in the RL, especially an forward-looking projections
  - ii. 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
  - iii. national GHG inventory and reporting process, since national Communications report historical land use trends and GHG emissions, using IPCC Good Practice Guidance methods.
10. In summary, the task in this component is to design an MRV system that assesses current capacity, identifies gaps in the capacity, and proposes 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						
	National Forest Inventory	Remote sensing of land cover change	Forest degradation	Carbon density data	Non-carbon multiple benefits	Governance and stakeholders participation
<b>Time frame</b>						
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 deforestation and degradation, 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.
- Briefly describe a scheme for reporting results from periodic measurement by the MRV system.
- 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. 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 implementation. The proposal should present early ideas on how the system could evolve into a mature REDD 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. Other Multiple Benefits and Impacts

### Rationale

The purpose of this component is to incorporate into the MRV system design process consideration of multiple benefits other than carbon. The benefits to be incorporated would be selected by the country. These benefits potentially include, e.g., biodiversity conservation, ecosystem services and other environmental and social benefits, and forest governance, rural livelihoods and safeguards indicators (taking into consideration the linkages to component 2b (REDD-plus strategy), component 2c (implementation framework), and component 2d (social and environmental impacts)).

### Guidelines

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

1. Conduct a process to select which multiple benefits to include in the MRV system.
2. Describe how the monitoring system 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.
3. Provide mechanisms for establishing independent monitoring and review, involving civil society and other stakeholders and enabling feedback of findings to improve REDD-plus implementation.
4. If a stepwise approach is envisioned, describe the timeframe in which the phases will be developed and the key outcomes expected.
5. 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.
6. Assess the scope and role for local communities, NGOs, various government agencies or institutes, and the private sector in the MRV system.
7. Assess systems/structures required for monitoring and review, transparency, accessibility and sharing of data both nationally and internationally.
8. Assess the financial support required and the sources of funding.
9. 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 non-carbon benefits.
- Propose a set of indicators associated with non-carbon benefits

- Present a data collection scheme for above variables
- Develop a work plan for the MRV of these variables and for stakeholder participation.

**Resources available:** Several forest governance guidance 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 template for the links to access these tools.

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

**Other Multiple Benefits and Impacts**

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) of an integrated monitoring system of other benefits and impacts. 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:***

<b>Table 4-1: Summary of Monitoring Activities and Budget</b>						
<b>Main Activity</b>	<b>Sub-Activity</b>	<b>Estimated Cost (in thousands)</b>				
		<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>Total</b>
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
<b>Total</b>		<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>
Government		\$	\$	\$	\$	\$
<b>FCPF</b>		<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>
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)				
		2010	2011	2012	2013	Total
[Add lines as needed, to provide sufficient detail]		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
<b>Total</b>		<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>
Government		\$	\$	\$	\$	\$
<b>FCPF</b>		<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>
UN-REDD Programme (if applicable)		\$	\$	\$	\$	\$
Other Development Partner 1 (name)		\$	\$	\$	\$	\$
Other Development Partner 2 (name)		\$	\$	\$	\$	\$
Other Development Partner 3 (name)		\$	\$	\$	\$	\$

## 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:***

<b>Table 6: Summary of Program M&amp;E Activities and Budget</b>						
<b>Main Activity</b>	<b>Sub-Activity</b>	<b>Estimated Cost (in thousands)</b>				
		<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>Total</b>
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
		\$	\$	\$	\$	\$
<b>Total</b>		<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>
Government		\$	\$	\$	\$	\$
<b>FCPF</b>		<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>
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 Joint Programme Monitoring Framework (JPMF): Potential tool for all countries, and required for UN-REDD countries

<b>Expected Results (Outcomes and Outputs)</b>	<b>Indicators (with baselines and indicative timeframe)</b>	<b>Means of Verification</b>	<b>Collection methods (with indicative timeframe and frequency)</b>	<b>Responsibilities</b>	<b>Risks and assumptions</b>
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 identified 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

DRAFT

## 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**

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

### **Annex 3: Develop a Reference Level or Scenario**

**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]**