



Guidance Note on 'Support to Community-Based REDD+' (CBR+)

UN-REDD PROGRAMME TWELFTH
POLICY BOARD MEETING

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List of Acronyms

CBO	Community-Based Organization
CBR+	Support to Community-Based REDD+
CPMT	Central Programme Management Team
CSO	Civil Society Organization
FAO	The Food and Agriculture Organization of the United Nations
FPIC	Free, Prior and Informed Consent
GEF	Global Environment Facility
MRV	Measuring, reporting and verification
NC	National Coordinator
NGO	Non-governmental organization
NSC	National Steering Committee
PA	Programme Assistant
RTA	Regional Technical Advisor
SES	Stakeholder Engagement Specialist
SGP	Small Grants Programme
TAG	Technical Advisory Group
REDD+	Reducing emissions from deforestation and forest degradation (encompassing forest conservation, sustainable management of forests and enhancement of forest carbon stocks)
UNCBD	United Nations Convention on Biological Diversity
UNCCD	United Nations Convention to Combat Desertification
UNDP	United National Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UN-REDD	United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries

Purpose of This Document:

This guidance note is prepared for SGP National Coordinators (NCs), National Steering Committee (NSC) members and others who will be overseeing the implementation of ‘Support to Community-Based REDD+’ (CBR+) in participating countries. This guidance note is intended as a “living document” to be revised and updated as needed, based on the input from NCs and NSC members, and lessons learned during implementation of CBR+.¹

Background:

REDD+ is an innovative initiative that aims to tip the economic balance in favour of sustainable management of forests so that their formidable economic, environmental and social goods and services benefit countries, communities, forest users and biodiversity while also reducing greenhouse gas emissions. Many developing countries are already working on “REDD+ readiness”, focusing on priorities such as: preparation of national REDD+ strategies; institutional and technical capacity building; designing and implementing Measuring, Reporting, and Verification (MRV) systems; developing national systems for determining baselines and Reference Emissions Levels; developing transparent, equitable and accountable benefit sharing mechanisms; developing safeguards to protect the interests of indigenous peoples and forest dependent communities; and clarifying land, forest and carbon tenure rights.

The UN-REDD Programme helps developing countries prepare and implement national REDD+ strategies, and builds on the convening role and technical expertise of the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP). The Programme currently supports REDD+ readiness activities in 53 partner countries across Africa, Asia-Pacific and Latin America through: (i) direct support to the design and implementation of UN-REDD National Programmes; and (ii) complementary support to national REDD+ action through common approaches, analyses, methodologies, tools, data and best practices.

Alongside other relevant stakeholders, indigenous peoples and forest-dependent communities must be at the centre of any efforts to reduce emissions from forested lands, and the UN-REDD Programme has a strong history of supporting the participation and inclusion of civil society, indigenous peoples and community-level stakeholders in REDD+.

¹ Should you have any questions related to this guidance note and its annexes, please contact CBR+ Project Coordinators: Dearbhla Keegan (dearbhla.keegan@undp.org) and Nina Kantcheva (nina.kantcheva@undp.org).

This initiative, CBR+, aims to support the engagement and participation of communities and indigenous peoples in national REDD+ processes, by building their capacities to engage, and supporting the development of lessons at the local level to inform national and international REDD+ decision-making.

CBR+ is a partnership between the UN-REDD Programme and the GEF Small Grants Programme (SGP), to deliver grants to the local level, to empower communities and indigenous peoples to engage in REDD+ readiness activities, and develop experiences, lessons, and recommendations at the local level to feed into national REDD+ processes. Specifically, CBR+ aims to:

- Support the full and effective participation of indigenous peoples, communities and civil society in national-level processes related to reducing emissions for deforestation and forest degradation, including supporting communities to determine whether and how they see themselves engaging in REDD+;
- Build the capacity and awareness of communities to engage in REDD+ activities and processes;
- Facilitate the integration of community-based activities, knowledge and ideas into national REDD+ processes; and
- Develop and share knowledge and lessons learned from community-based experiences to inform national and international REDD+ policies and practice.

By supporting the protection of forests, and the empowerment of forest communities who live in and depend on them, CBR+ will also help to contribute to broader environmental goals, including, for example, those promoted by the UN Convention on Biological Diversity (UNCBD), and the UN Convention to Combat Desertification (UNCCD).

CBR+ will focus primarily on supporting community-level projects that complement UN-REDD National Programmes, national REDD+ readiness processes and/or national REDD+ strategies (when developed). During the pilot phase, CBR+ will be implemented in six countries that have benefitted, or are benefitting, from UN-REDD National Programmes. These six pilot countries are: Cambodia, DR Congo, Nigeria, Panama, Paraguay and Sri Lanka.

CBR+ is co-financed by UN-REDD and SGP, and grants will be delivered to the community level, through the existing grant-delivery mechanism of SGP. The UN-REDD Programme has allocated USD 4 million of funds from Norway to CBR+. SGP will provide a similar amount of co-financing, through in-kind support (CPMT and NC/PA time, share of SGP premises and equipment) as well as through parallel SGP grants that are complementary to CBR+ goals (e.g. from remaining country grant allocations as well as future

GEF 6 grant funds, in joint, parallel or sequential² co-financing modality). GEF funded projects that may be considered as parallel co-financing towards CBR+ may come under the Climate Change, Biodiversity, Land Degradation/Sustainable Forest Management, as well as Capacity Development focal areas.

Country Level Management Arrangements for CBR+:

CBR+ will be implemented by UNDP through the SGP grant-making modality in accordance with the SGP Operational Guidelines and Procedures. CBR+ grants will be delivered through the existing mechanisms of the GEF Small Grants Programme, making use of SGP's existing organizational structures, including SGP National Steering Committees and SGP National Coordinators.

For review and approval of CBR+ projects, as well as other matters related to CBR+, existing SGP NSCs will be supplemented with representatives (including indigenous peoples and civil society organization (CSO) representatives) of national REDD+ bodies to form **CBR+ National Steering Committees** (CBR+ NSCs).

Effectively, this means that when the NSC is meeting on matters related to CBR+, the additional CBR+ NSC members should be invited to join as well. These additional members will only join the NSC for matters related to CBR+ (e.g. advising on and approving CBR+ Country Plans, CBR+ project selection etc.). These additional CBR+ NSC members should be identified by the NC in collaboration with UN-REDD regional teams, who have strong relationships with REDD+ bodies and platforms in their regions (including indigenous peoples and civil society REDD+ platforms) and can advise on appropriate processes for selecting representatives who can provide a link to national REDD+ processes. Following SGP protocol, these additional NSC members will be approved by the SGP Global Manager, and formally invited by the Resident Representative to join the NSC.

The organization and composition of the various national REDD+ bodies and platforms varies among countries, and so the precise composition of additional representatives to the NSC may vary by country as well. However, we envision that approximately three representatives will join the NSC for matters

² Under **joint co-financing**, the funds of the different partners are pooled to finance the costs of the programme/project. Under **parallel co-financing**, the support programme/project is broken down into clearly identifiable sub-sections, each funded by a different co-financing partner. **Sequential co-financing** refers to financing that is introduced by a partner after a project has already been established – sequential co-financing finances the second or subsequent phase of a project, building on earlier work.

related to CBR+: one government, one indigenous peoples and one CSO representative. These representatives will help to ensure the technical and substantive quality of CBR+ projects, ensure that CBR+ projects align with the CBR+ Country Plan, and keep the national REDD+ bodies updated on the progress and results of the CBR+ work.

The CBR+ NSC will be responsible for the approval of CBR+ Country Plans, and for the review, selection and approval of CBR+ projects in line with the SGP Operational Guidelines and the CBR+ Country Plan. The CBR+ NSC members may also support pre-selection project site visits and project monitoring and evaluation. Where appropriate, the CBR+ NSCs may also make use of Technical Advisory Groups (TAGs), composed of a pool of voluntary experts who serve as a technical sub-committee, for review of proposals and in relation to specific areas of programming and partnership development. The TAG can also be tasked by the NSC to provide specific technical guidance in specialized areas of work.

CBR+ Country Plans:

A **CBR+ Country Plan** will be developed in each pilot country as a simple and user-friendly tool to guide the CBR+ National Steering Committee in the selection of CBR+ projects, as well as to guide grant applicants in the development of their proposals. The strategy to be applied within each country regarding the selection of CBR+ projects will be determined in each country's CBR+ Country Plan. The CBR+ Country Plans will describe the approach to prioritizing and selecting CBR+ projects within the country, and will outline the main outcomes and indicators to guide CBR+ in the country, in line with the CBR+ Outcomes indicated in the Project Documents for CBR+. In particular, the CBR+ Country Plans will ensure that CBR+ activities align with existing REDD+ readiness processes in the country, as well as being complementary to the existing SGP Country Programme Strategies.

CBR+ Outcome 1: CBR+ Country Plans are developed in a participatory way to link community-based activities to national REDD+ processes;

CBR+ Outcome 2: Communities' awareness of and capacities to engage in national REDD+ readiness processes are enhanced;

CBR+ Outcome 3: Communities are supported to pilot, implement, monitor and evaluate REDD+ approaches and tools at the local level to inform national-level decision making; and

CBR+ Outcome 4: Knowledge, experiences and best practices of communities are documented and shared to promote replication and influence decision-making.

CBR+ Country Plans will lay out the strategy for implementation of CBR+ projects in the country, towards the achievement of the above-listed outcomes. A CBR+ Country Plan may designate a thematic or geographic focus for CBR+ projects in the country, in order to achieve greater impact from clustering and coordination among projects, as well as to enhance cost effectiveness in implementation and monitoring as well as exchange of lessons among grantees. To ensure the full and effective engagement of indigenous peoples in CBR+ and to ensure gender equality principles, CBR+ Country Plans may also set aside a minimum percentage of CBR+ funds for indigenous peoples' or women's groups (without limiting these groups' access to CBR+ grants to this amount). In such cases, the rationale for geographic or thematic focus, as well as for setting minimum levels for indigenous peoples' or women's access to CBR+ funds, should be outlined in detail in the CBR+ Country Plans.

CBR+ Country Plans will be developed in a participatory manner, most likely through a USD 25,000 grant project selected for this purpose³. In this case, the grantee (e.g. NGO or academic institution) will be selected through a special call for proposals which specifies requirements for design and validation of the CBR+ Country Plan. Whether developed by a grantee or by other means, the CBR+ Country Plans must be consulted on with stakeholders, and validated by a multi-stakeholder workshop. Once drafted, the CBR+ Country Plans should be submitted to the CBR+ Project Coordinators for comment and review.

Should it be necessary, additional funds may be budgeted for the preparation of CBR+ Country Plans, including associated consultations and validation workshops. NCs may determine whether consultations on CBR+ Country Plans should take place at the national level, or as several sub-national consultations, and whether they should be carried out by a grantee or by the country programme team. This budget for CBR+ Country Plans and consultations may be split between grant and non-grant funding depending on the approach that is chosen. CBR+ Project Coordinators will work with each NC to determine the best approach to take in each country, the amount that should be dedicated to development and consultations on CBR+ Country Plans, and the split between grant and non-grant funding.

After being validated, the CBR+ Country Plan will be submitted to the CBR+ NSC for approval, and will become an annex to the existing SGP Country Programme Strategy, to provide a framework for CBR+ grant-making and to be used for monitoring the implementation of the project.

Additional Guidance on CBR+ Country Plans will be provided to NCs shortly, including:

³ If a grant is deemed not to be the most appropriate method by which to develop a CBR+ Country Plan in any country, the CBR+ Project Coordinators will work with the NC to identify alternative options for this body of work.

- Draft of the Special Call for Proposals to Develop CBR+ Country Plans
- Template and Guidance for the Development of CBR+ Country Plans
- Memorandum of Agreement Template for CBR+ projects
- CBR+ Project Proposal Template

It is expected that these documents will be reviewed and tailored as needed by the NCs and/or NSCs, and will be posted as soon as possible.

CBR+ Activities:

Linking community-level activities to ongoing national REDD+ processes and approaches is central to the CBR+ concept. CBR+ aims to build communities' capacities to engage with national REDD+ readiness processes, as well as opening up avenues for indigenous peoples and forest communities to influence and contribute to REDD+ decision making processes. Grants will support activities to address the drivers of deforestation and forest degradation, build the capacities of communities to engage in REDD+ readiness, clarify and improve the definition of land use rights, explore mechanisms for benefit sharing, and advance the implementation of safeguards for REDD+, among other things. The following are some examples of potential CBR+ activities:

Building communities' capacities to engage:

- Training communities and community leaders on forest and REDD+ related topics
- Developing materials to communicate REDD+ objectives and implications at the local level
- Developing community networks or community knowledge sharing platforms on REDD+
- Capacity building to help communities organize and prepare for consultations
- Dialogues and exchanges among communities and indigenous peoples

Designing or testing methodologies at the local level, e.g. in:

- Participatory forest monitoring (e.g. supporting community initiatives to learn about, test or demonstrate participatory forest monitoring methods)
- Participatory mapping (e.g. supporting communities to learn about, test or demonstrate cost-effective micro-mapping methods, or ancestral domain and rights mapping by communities)
- FPIC (e.g. supporting the development of community-based FPIC protocols or processes)
- Conflict resolution (e.g. supporting communities to design or trial conflict resolution methods that could be used to mitigate or resolve conflicts arising during REDD+ implementation)

Addressing drivers of deforestation:

- Community-based approaches to reduce deforestation and improve land-use management at the local level
- Alternative livelihoods projects that reduce pressure on forests
- Outreach and awareness-raising on deforestation and forest degradation and potential activities to reduce them
- Compilation, application or sharing of traditional knowledge of and approaches to forest management

Please note that CBR+ grants are not intended to finance projects whose objective is to generate credits or payments for the carbon stored in forests. CBR+ grants could however support communities who want to take part in such projects, for example, by giving funds to communities to consult among themselves and organize their involvement in such projects, or by helping them get the technical advice and training they need to participate effectively, but CBR+ would not play any role in the generation or certification of carbon credits or payments.

In general, CBR+ projects approved should:

- Align with the country level outcomes and approach outlined and validated in the CBR+ Country Plan;
- Enhance local level capacity to engage in REDD+ readiness;
- Provide local insights into national REDD+ processes;
- Ideally, address a number of drivers/REDD+ goals at the same time; and
- Ideally, be 'no-regrets' activities that have beneficial impacts regardless of the speed at which REDD+ progresses.

Eligibility Criteria:

The project selection process for CBR+ remains in line with established SGP standards and procedures, and open to civil society organizations (CSOs)⁴ including national NGOs, community-based organizations (CBOs) and grassroots organizations. Consideration will be given to applications from forest-based and directly impacted communities and indigenous peoples' organizations, as well as NGOs with an interest and track record in forests and/or REDD+ in relation to their mission.

⁴ For the purpose of the SGP and its grant making, CSOs refer to national and local NGOs with priority for community-based organizations, indigenous peoples, farmers, scientific community, women's groups, and youth and children organizations.

CBR+ Country Plans will outline country-specific eligibility criteria to ensure that CBR+ activities align with national REDD+ processes and ensure coherence among CBR+ projects. In doing so, it is expected that gaps will be identified, whereby the engagement and participation of indigenous peoples and communities in REDD+ readiness processes could be strengthened through the provision of grants to the community level. It is also expected that opportunities to strengthen the voice of communities and indigenous peoples, and better integrate their knowledge and ideas into REDD+ decision-making processes, will be supported.

In order to be eligible for a CBR+ grant, the proposed project must align with the outcomes and indicators outlined in the CBR+ Country Plan which should also be well aligned to the overall objectives and outcomes outlined in the CBR+ Project Document. Ultimately, the CBR+ NSC (i.e. existing SGP NSC with additional REDD+ representatives) is responsible for the review, selection and approval of CBR+ projects in line with the grant-making processes laid out in the SGP Operational Guidelines and Standard Operating Procedures⁵, as well as the technical areas described in this guidance note and in the CBR+ Project Document. “Planning grants” to train communities to design and implement CBR+ activities will also be allowed.

In the case of potential grantees that do not have the capacity to either engage in a legal contract, directly receive the funds, or simply lack the capacity (no accounting skills, language issues, etc.) to be a direct grantee, an NGO may serve as an intermediary grantee by receiving the funds on behalf of the actual beneficiary. This intermediary NGO would potentially be providing capacity building activities to the actual grantee. While it is desirable to engage NGOs that can provide such assistance services for no or the lowest possible costs, the intermediary NGO may be approved to receive up to 10% of the grant total in order to cover its costs. This amount should be built into the total grant proposal approved by the CBR+ NSC.

Budget and Duration:

The pilot phase of CBR+ will be implemented during a four-year period from January 2014 to December 2017, in order to allow sufficient time for inception activities, grant projects implementation and monitoring, and project closure. Grant making under CBR+ will follow the SGP Operational Guidelines and Standard Operating Procedures, and the maximum CBR+ amount for each grant project should not

⁵ [SGP Operational Guidelines](#) and [SGP Standard Operating Procedures](#).

exceed USD 50,000. Ideally, the duration of CBR+ grants should be two years or less, although as with SGP projects, some projects may be longer in duration.

The Role of the UN-REDD Programme in CBR+:

UNDP's UN-REDD team will provide general oversight and technical guidance for CBR+ through two Project Coordinators based in New York, as well as through the UNDP's UN-REDD Programme Regional Technical Advisors (RTAs) and Regional Stakeholder Engagement Specialists (SEs), who are based in Panama, Bangkok and Nairobi.

Table 1: UN-REDD team members providing support to CBR+

Project Coordinators for CBR+		
Dearbhla Keegan Nina Kantcheva Dearbhla.keegan@undp.org Nina.kantcheva@undp.org		
UN-REDD Management Group representative overseeing CBR+: Charles McNeill Charles.mcneill@undp.org		
Region	UN-REDD RTAs	UN-REDD SEs
Africa	Josep Gari josep.gari@undp.org	Anne Martinussen anne.martinussen@undp.org
Asia-Pacific	Tim Boyle (focal point for Cambodia) timothy.boyle@undp.org Akihito Kono (focal point for Sri Lanka) Akihito.kono@undp.org	Celina Yong kin.yii.yong@undp.org
Latin America and Caribbean	Clea Paz (focal point for Panama) clea.paz@undp.org Pierre-Yves Guedez (focal point for Paraguay) pierre-yves.guedez@undp.org	Jose Arturo Santos jose.arturo.santos@undp.org

The CBR+ Project Coordinators will work in close collaboration with the UN-REDD Programme and SGP Central Programme Management Team (CPMT) to oversee CBR+ at the global level, and coordinate the relationships among the various SGP Country Programme teams, UN-REDD RTAs, SEs and other

partners, to ensure that CBR+ produces the results specified in the Project Document to the required standard of quality and within the specified constraints of time and cost.

The Project Coordinators will work closely with NCs on an ongoing basis to advise on the direction of the project, provide support, and help to solve problems and overcome issues as they arise. The Project Coordinators will communicate with NCs via email and Skype, with teleconferences or video conferences arranged as needed.

The UN-REDD Programme RTAs are based in the UNDP Regional Centres, and oversee the activities of the UN-REDD Programme at the regional level. The UN-REDD Programme SESs are also based in these Centres, and are focused in particular on strengthening the engagement of forest communities, indigenous peoples and CSOs in national and international REDD+ processes. Both UN-REDD RTAs and SESs have strong relationships with REDD+ bodies and platforms in their regions and will be instrumental in supporting the inception steps that will help to link CBR+ projects to ongoing national REDD+ processes. In particular, UN-REDD RTAs and SESs will work with the NCs to help raise awareness of CBR+ among REDD+ stakeholders, identify and facilitate the nomination of REDD+ representatives to join the CBR+ NSC, and play an advisory role in the development of CBR+ Country Plans.

UN-REDD RTAs and SES will also provide technical support to NCs and NSCs on an as-needed basis regarding REDD+, the UN-REDD Programme, UN-REDD National Programmes etc. They may also become part of the TAGs mentioned above. They may also provide support or represent the UN-REDD Programme at regional or national CBR+ knowledge sharing events or workshops.

Additionally, UNDP Environmental focal points working on REDD+ and with the UN-REDD Programme in country offices will be linked with the NCs and the regional teams to close the loop on communication. These focal points can also provide valuable knowledge and information to the NCs.

SGP's Central Programme Management Team (CPMT):

SGP's CPMT will also provide guidance to SGP country programme teams on implementing CBR+, as they do for overall country programme implementation. For example, CPMT will provide guidance on: monitoring and evaluation, country operational budgets, communications and database, and programming parallel SGP GEF grant projects which may be considered as matching co-financing to CBR+.

Table 2: SGP CPMT team members providing support to CBR+

Name	Title	CBR+ Pilot Countries	Email
Delfin Ganapin	Global Manager	Global	delfin.ganapin@undp.org
Tehmina Akhtar	Deputy Global Manager	Global	tehmina.akhtar@undp.org
Sulan Chen	Programme Advisor (International Waters and Chemicals) and Regional Focal Point for Europe & CIS and Asia	Cambodia, Sri Lanka	sulan.chen@undp.org
Terence Hay-Edie	Programme Advisor (Biodiversity) and Regional Focal Point for Francophone Africa and Pacific regions	DR Congo	terence.hay-edie@undp.org
Angelica Shamerina	Programme Advisor (Climate Change) and Regional Focal Point for Latin America and Caribbean region.	Panama, Paraguay	angelica.shamerina@undp.org
Charles Nyandiga	Programme Advisor (Land Degradation and Sustainable Forest Management) and Regional focal point for Anglophone Africa and Arab States.	Nigeria	charles.nyandiga@undp.org
Ana Maria Currea	Knowledge Management Specialist - SGP specialist on Knowledge Management and Communications. SGP Gender focal point		ana.maria.currea@undp.org
Maria Jose Ekomba	Programme Associate -		maria.modelo@undp.org



Modelo	Operations and Partnerships		
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