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| ***Readiness Preparation Proposal (R-PP)***ANNEXES Version 6 Working Draft  **April 20, 2012**Forest Carbon Partnership Facility **(FCPF)**The United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries**(UN-REDD)** |

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**Note: This version is for use by:**

1) FCPF REDD-plus Country Participants submitting revised or new R-PPs to the FCPF FMT for PC 12 meeting in Colombia, June 27 – 29, 2012 or afterwards.

2) UN-REDD countries submitting National Programmes, as agreed.

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| Annex A: Available Tools for Potential Reference |

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| Components | Available tools | Source | Web Address |
| 1b, 1c |  Consultation Guidelines | FCPF | <http://www.forestcarbonpartnership.org/fcp/node/31> |
| 1b, 1c, 2b and 2d | Gender in Agriculture Sourcebook (2008) (Module 15)  | World Bank, FAO, and IFAD. | <http://siteresources.worldbank.org/INTGENAGRLIVSOUBOOK/Resources/CompleteBook.pdf>  |
| Getting REDD+ Right for Women An analysis of the barriers and opportunities for women's participation in the REDD+ sector in Asia. | USAID | [http://www.usaid.gov/our\_work/cross-cutting\_programs/wid/pubs/Gender\_REDD+\_Asia\_Regional\_Analysis.pdf](http://www.usaid.gov/our_work/cross-cutting_programs/wid/pubs/Gender_REDD%2B_Asia_Regional_Analysis.pdf)  |
|  2a, 4b | Roots for Good Forest Outcomes – An Analytical Framework for Governance Reforms (2009), and Generic Questionnaire (July 2010) | World Bank | <http://www.profor.info/profor/governance-indicators> |
| Governance of Forests Initiative Indicator Framework (Version 1)  | WRI | <http://www.wri.org/publication/governance-of-forests-initiative-indicator-framework> |
| Governance tools | CIFOR | <http://www.cifor.cgiar.org/acm/pub/toolbox.html> |
| Forest Governance Indicator Development: Early Lessons and Proposed Indicators for Country Assessments. By Doris Capistrano for FAO | FAO |  |
| National Forest Programmes material | FAO | <http://www.nfp-facility.org/en/> |
| Monitoring Governance Safeguards in REDD+ Chatham House and UN-REDD Program Workshop Meeting Report  | FAO | <http://www.un-redd.org/Events/Chatham_House_Workshop/tabid/4522/language/en-US/Default.aspx>  |
| 2b | REDD Valuation and Economics of REDD+ | FCPF | <http://www.forestcarbonpartnership.org/fcp/node/31> |
| Estimating the opportunity costs of REDD: A training manual (August 2010) | FCPF/WBI/ICRAF | <http://www.forestcarbonpartnership.org/fcp/>(Will be available soon) |
| 2b, 2c, 2d, 6 | REDD+ Social & Environmental Standards version 1 June 2010  | CCBA | <http://www.climate-standards.org/REDD%2B/> |
| 2d | Presentations by DRC, Ghana, and Latin American countries at PC6, June 28-July 1, 2010, Georgetown, Guyana  |  | <http://www.forestcarbonpartnership.org/fcp/node/282>  |
| 3&4 | IPCC Good Practice Guidance for Land Use, Land-Use Change and Forestry (2003) | IPCC | <http://www.ipcc-nggip.iges.or.jp/public/gpglulucf/gpglulucf_contents.html> |
|  IPCC Guidelines for National Greenhouse Gas Inventories Volume 4 Agriculture, Forestry and Other Land Use (2006) | IPCC | <http://www.ipcc-nggip.iges.or.jp/public/2006gl/vol4.html> |
| GOFC-GOLD sourcebook on REDD+ monitoring, measuring and reporting | GOFC-GOLD | <http://www.gofc-gold.uni-jena.de/redd/index.php> |

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| Annex B: Guidelines on Stakeholder Engagement in REDD+ Readiness, With a Focus on the Participation of Indigenous Peoples and Other Forest-Dependent Communities |

**Guidelines on Stakeholder Engagement in REDD+ Readiness**

**With a Focus on the Participation of Indigenous Peoples and Other Forest-Dependent Communities**

**March 25, 2012**

*These Guidelines are designed to support effective stakeholder engagement in the context of REDD+ readiness for the Forest Carbon Partnership Facility and the UN-REDD Programme, with an emphasis on the participation of Indigenous Peoples and other Forest-Dependent Communities. The Guidelines contain 1) Relevant policies on indigenous peoples and other forest-dependent communities; 2) Principles and guidance for effective stakeholder engagement; and 3) Practical “how-to” steps on planning and implementing effective consultations.*

**Introduction**

1. The Forest Carbon Partnership Facility (FCPF) and the United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (UN-REDD Programme) assist developing countries in their efforts to reduce emissions from deforestation and forest degradation (REDD+)[[1]](#footnote-1) by building national capacity for REDD+ activities, and testing a program of performance-based incentive payments in certain pilot countries. The two programs are supporting a REDD+ readiness mechanism to assist countries to put in place a number of building blocks (measurement, reporting and verification systems; reference scenarios; a REDD+ strategy and national management arrangements for REDD+) that will enable them to participate in future systems of positive incentives for REDD+.
2. REDD+ has the potential to deliver several benefits to indigenous peoples and other forest-dependent communities, including the sustainable management of biodiversity, the provision of alternative livelihoods, equitable sharing of revenues generated from emissions reductions, etc. However, if not done appropriately, it also presents risks to rights, livelihoods, culture, biodiversity, etc. For REDD+ programs to succeed, these risks have to be identified, reduced and mitigated, and stakeholders have to be involved at the project/program formulation as well as the preparation and implementation stages in order to ensure that REDD+ programs respect indigenous peoples’ rights and comply with relevant international obligations.
3. Stakeholders are defined as those groups that have a stake/interest/right in the forest and those that will be affected either negatively or positively by REDD+ activities. They include relevant government agencies, formal and informal forest users, private sector entities, indigenous peoples and other forest-dependent communities.
4. These Guidelines focus on a particular category of stakeholders, who are often legal and/or customary rights holders: indigenous peoples and other forest-dependent communities. These stakeholders are often not engaged in public decision-making processes, yet they both contribute to forest protection and depend on forests for their social and economic livelihoods as well as for cultural and spiritual well-being. As such they are often more vulnerable than other stakeholders in the context of formulation and implementation of REDD+ activities. Hence a clear commitment will have to be made to ensure that their rights are fully respected throughout the REDD+ program cycle. At the same time, indigenous peoples and other forest-dependent communities have a special role to play in REDD+ given their traditional knowledge of and relationship to the forest and their presence on the ground.

**Relevant FCPF and UN-REDD Programme Policies on Indigenous Peoples and Other Forest-Dependent Communities**

1. Both the FCPF and UN-REDD Programme recognize the importance and special status of indigenous peoples in terms of their historical and cultural connection to forests and are committed to applying specific policies to safeguard their rights and interests. The UN Framework Convention on Climate Change (UNFCCC) Cancun Decision 1/CP.16 includes several safeguards that “should be promoted and supported”. Two of these safeguards provide, respectively, for (i) the “respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples” and (ii) for “the full and effective participation of relevant stakeholders, in particular, indigenous peoples and local communities” in REDD+. Both the UN-REDD Programme and the FCPF also recognize as part of their policies and procedures that for REDD+ to be implemented, participating countries should comply with applicable international obligations, treaties and national laws.
2. In the context of the UN-REDD Programme, stakeholder engagement practices should adhere to the requirements outlined in Annex 1. Additionally, countries are expected to adhere to standards outlined in key relevant international instruments[[2]](#footnote-2), and to uphold the principle of free, prior and informed consent (FPIC) as stated in the UN Declaration on the Rights of Indigenous Peoples (UNDRIP).[[3]](#footnote-3) It is critical for UN-REDD Programme countries to ensure that:
3. Activities follow a human rights-based approach and adhere to the UNDRIP, UN Development Group Guidelines on Indigenous Peoples’ Issues, and International Labour Organization (ILO) Convention No. 169;
4. FPIC is adhered to. FPIC is essential to ensure the full and effective participation of indigenous peoples in program activities and policy and decision-making processes. FPIC should be sought in accordance with the UN-REDD Programme Guidelines on FPIC (see Annex 2 for an overview of, and link to, these Guidelines) and when FPIC is a provision under national law or practice, that standard will also apply.
5. In the context of the FCPF, activities affecting indigenous peoples are governed by the World Bank Operational Policies, in particular Operational Policy 4.10 (OP 4.10) on Indigenous Peoples (see Annex 3 for an overview of OP 4.10), which is one of the ten Safeguard Policies of the World Bank[[4]](#footnote-4), and by the FCPF Charter. OP 4.10 aims to ensure that the development process fully respects the dignity, human rights, economies, and cultures of indigenous peoples. The policy specifies that the Bank provides financing only where free, prior, and informed consultation results in broad community support to the project by the affected indigenous peoples. The Bank’s OP 4.10 is consistent with the Cancun Decision 1/CP.16, in particular its emphasis on respect for the knowledge and rights of indigenous peoples and on their full and effective participation. In addition, the Bank deems that OP 4.10 enables the Bank to operate in a manner that can be considered substantially equivalent to the principle of FPIC. Further, although OP 4.10 does not expressly mandate FPIC, if the country has ratified ILO Convention No.169 or adopted national legislation on FPIC, or if the Bank is working on a project with a development partner that expressly applies the principle of FPIC, the Bank will in turn support adherence to that principle. In addition, the Common Approach on Environmental and Social Safeguards for Multiple Delivery Partners provides that if an organization other than the World Bank (WB) is the Delivery Partner (DP) in the FCPF and “if the environmental and social safeguard policies and procedures of the DP are more stringent and/or protective than those of the WB, the DP shall apply its policies and procedures to activities”.[[5]](#footnote-5)

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| **Other Key FCPF and UN-REDD Programme Guidance Related to Stakeholder Engagement***This box presents other important guidance that should be observed in relation to stakeholder engagement in REDD+ for the FCPF and the UN-REDD Programme.*The Readiness Preparation Proposal (R-PP) template contains specific guidelines to assist a REDD+ Country to organize itself to become ready for REDD+.[[6]](#footnote-6) With respect to participation and consultation, the R-PP template provides specific guidelines on national readiness management arrangements and stakeholder consultation and participation. In countries using the R-PP template these Guidelines should be used in parallel with the guidelines presented in the R-PP template. In the case of UN-REDD Programme partner countries or countries supported by any of the three UN partner agencies to the UN-REDD Programme (FAO, UNDP, UNEP), these consultation plans should include an additional component which outlines provisions for FPIC in accordance with the UN-REDD Programme Guidelines on FPIC (in Annex 2). The appropriate level of consultation will depend on the issue or activity being considered, the objectives and desired outcomes of the proposed consultation. In the case of the FCPF, the “Common Approach to Environmental and Social Safeguards for Multiple Delivery Partners,” which was approved by the FCPF Participants Committee in June 2011, outlines, for the World Bank and other Delivery Partners (DPs), the consultation requirements that are at the center of the risk management approach for REDD+ Readiness preparation. As part of the Common Approach, the FCPF is using the Strategic Environmental and Social Assessment (SESA) to integrate key environmental and social considerations into REDD+ readiness by combining analytical and participatory approaches. The SESA allows: (i) social and environmental considerations to be integrated into the REDD+ Readiness process, in particular the REDD+ strategy; (ii) participation in identifying and prioritizing key issues, assessment of policy, institutional and capacity gaps to manage these priorities and recommendations, and disclosure of findings in the REDD+ country’s progress report on Readiness preparation; and (iii) an Environmental and Social Management Framework (ESMF) to be put in place to manage environmental and social risks and to mitigate potential adverse impacts (see Annex 4 for more details on the SESA and ESMF). The SESA guidelines have been integrated into the R-PP template. The UN-REDD Programme’s draft Social and Environmental Principles and Criteria (SEPC) will provide a guiding framework for the UN-REDD Programme to address two specific needs: (i) Addressing social and environmental issues in UN-REDD National Programmes and other UN-REDD funded activities; and (ii) Supporting countries to develop national approaches to REDD+ safeguards in line with UNFCCC. The SEPC contain elements that support the application of these Guidelines as well as the UN-REDD Programme Guidelines on FPIC. |

**Principles and Guidance for Effective Stakeholder Engagement**

1. The common guiding principles for effective stakeholder engagement that underpin both the FCPF and UN-REDD Programme are provided below:
	1. The consultation process should include a broad range of relevant stakeholders at the national and local levels. The diversity of stakeholders needs to be recognized. In particular the voices of forest-dependent and vulnerable groups must be heard, whether they are indigenous or not. Different stakeholders have different stakes and/or interests in REDD+*.* Some may be positively impacted, others negatively.
	2. Consultations should be premised on transparency and timely access to information. In the context of REDD+, timely information dissemination at all levels and in a culturally appropriate manner is a pre-requisite to meaningful consultations. Stakeholders should have prior access to information on the proposed consultation activities. Sufficient time is needed to fully understand and incorporate concerns and recommendations of local communities in the design of consultation processes. Public awareness and information, education and communication campaigns are important vehicles for ensuring that stakeholders understand the objectives of REDD+, the related risks and opportunities and their potential role in the process, and can – if they decide to do so – make informed and substantive contributions to the formulation of REDD+ strategies and policies.
	3. Consultations should facilitate dialogue and exchange of information, and consensus building reflecting broad community support should emerge from consultation. The consultation process should occur voluntarily. In the case of the UN-REDD Programme, consultations leading to giving or withholding consent should be carried out in accordance with the UN-REDD Programme Guidelines on FPIC (see Annex 2).
	4. Consultations with indigenous peoples must be carried out through their own existing processes, organizations and institutions, e.g., councils of elders, headmen and tribal leaders. Indigenous peoples should have the right to participate through representatives chosen by themselves in accordance with their own procedures and decision-making institutions (see Step #2 under the Practical Steps for Carrying out Effective Consultations section below for more details). It is also important to ensure that consultations are gender sensitive.
	5. Special emphasis should be given to the issues of land tenure, resource-use rights and property rights because in many tropical forest countries these are unclear as indigenous peoples’ customary/ancestral rights may not necessarily be codified in, or consistent with, national laws. Another important issue to consider for indigenous peoples and other forest dwellers is that of livelihoods. Thus clarifying and ensuring their rights to land and carbon assets, including community (collective) rights, in conjunction with the broader array of indigenous peoples’ rights as defined in applicable international obligations, and introducing better access to and control over the resources will be critical priorities for REDD+ formulation and implementation.
	6. Impartial, accessible and fair mechanisms for grievance, conflict resolution and redress must be established and accessible during the consultation process and throughout the implementation of REDD+ policies, measures and activities (please refer to the guidelines on feedback and redress mechanisms in component 1a of the R-PP template and Section 5 of the UN-REDD Programme Guidelines on FPIC, in Annex 2).
2. Guidance on stakeholder engagement for activities under the FCPF and UN-REDD Programme is presented below:
	1. Consultations should start prior to the design phase of the project/program, and be applied at every stage of the REDD+ process including planning, implementation, monitoring and reporting and with adequate lead time since decision-making among some local communities may take time and be iterative. A Consultation and Participation Plan should be developed for countries submitting R-PPs and/or UN-REDD National Programme Documents (see section 1c. of the R-PP Template). This should include an analysis of proposed REDD+ readiness activities to identify when consultations will be required, at what level these should be conducted, and who they should include. The Consultation and Participation Plan should be prepared with a realistic budget and financing plan and implemented by the National REDD+ Committee or the agency(ies) or committee(s) responsible for REDD+ policy design.
	2. A national level workshop should be held to initiate the consultation and participation process. The workshop should include a broad range of local and national stakeholders. The goal of this workshop is to review and assess the content of the Consultation and Participation Plan (e.g., the list of issues to consult on and the means for doing so), which are not considered final until this workshop has taken place.
	3. It is important that participatory structures and mechanisms exist to manage the agreed process outlined in the Consultation and Participation Plan. For example, national REDD+ committees should include representatives from relevant stakeholder groups, including indigenous peoples and civil society (see Annex 1 for UN-REDD Programme guidance on representation). In addition to the national level, participatory fora need to be established (or existing ones used) at the local level to ensure active engagement of local stakeholders, in accordance with the principles outlined above.
	4. Records of consultations and reports on the outcome of the consultations should be prepared and publicly disclosed in a culturally appropriate form, including in local languages. Consultation processes 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.
	5. Prior to the development of a REDD+ program/activity, indigenous peoples living in voluntary isolation that may be affected should be identified in consultation with the relevant entities at the national, sub-national and/or local level to ensure that the program/activity is developed in a way that completely avoids contact with these communities.
3. Common elements apply to both the UN-REDD Programme and the FCPF when it comes to practical steps on how to conduct individual consultations under the Consultation and Participation Plan. The next section outlines these steps, which are also illustrated in Figure 1.

**Practical Steps for Carrying out Effective Consultations**

 ***1. Define the desired outcomes of consultations***

A good consultation and participation process is one that is carefully planned, has a clear mandate, and articulates the objectives and desired outcomes of the consultation. This should be placed in the context of overall REDD+ readiness, clarifying why the consultation was considered necessary, how it fits within the broader scope of planned activities, and how the outcomes will be used towards expected REDD+ readiness activities.

It should also be clear what degree of participation will be expected of the stakeholders, e.g., is it a one-way flow of information to keep actors informed and support transparency goals; a two-way consultation resulting in feedback and reactions that may be incorporated in formal outputs; or a joint decision-making consultation resulting in shared control over a decision-based outcome? If the consultation is part of a longer process or series of consultations, the same stakeholder representatives may need to be available to attend a number of consultations to ensure continuity and effective engagement. This should also be stated clearly as it may have an impact on how stakeholders will select participating representatives. This should all be understood and agreed upon by stakeholders in advance of the consultation to avoid misinformation and generating unrealistic expectations, and to ensure that trust is maintained.

***2. Identify stakeholders***

The consultation planners need to identify the groups that have a stake/interest in the forest and those that will be affected by REDD+ activities. It is important to ensure that the process of selecting stakeholders is transparent so that all interested parties may participate and that all stakeholders are provided with equal opportunity to engage and contribute to outcomes. Particular attention needs to be given to the inclusion of indigenous peoples and other forest-dependent communities, women and other marginalized groups. Stakeholder groups should be supported to self-select representatives where appropriate.

Identify civil society organizations (CSOs), community‐based organizations (CBOs), indigenous peoples’ organizations (IPOs), non‐governmental organizations (NGOs), and institutions with extensive experience working with or representing indigenous peoples and/or forest-dependent communities and/or their issues, being mindful that these do not replace proper indigenous representation. Identify and consult with existing civil society participatory structures at the country level, for example: civil society and/or indigenous peoples’ focal points; CSO Advisory Committees, the National Steering Committees of the Global Environment Facility Small Grants Programme; and/or National Forest Programmes. Verify that the appropriate stakeholders are being represented by consulting with a wide range of related organizations to ensure that a broad spectrum of views is considered.

Conduct a mapping of indigenous peoples’ and other forest-dependent communities’ organizations, authorities and institutions, including priority issues, rights, needs and desires. Issues of local ownership, demonstrated mandate, legitimacy as claimant, competence and expertise, and accountability will be significant features to consider. Indigenous organizations may represent diverse, overlapping and conflicting constituencies and interests. It is critical to identify the appropriate indigenous peoples’ institutions to partner with. While traditional leaders are recognized as the higher authorities in their communities, representatives of indigenous peoples’ organizations may have the skills and knowledge to interact with the technical process and may be able to articulate the views of traditional leaders. It is important to be open and inclusive to a wide range of indigenous peoples’ organizations and community‐based representatives and to be aware of tensions that may exist among various indigenous groups. The choice of partners should also take into account groups that are often marginalized within their own indigenous communities, in particular women and youth. Assess the situation to make the most appropriate choice and avoid misrepresentations, as formally approved organizations may not always be representative of the people at large.

The range of stakeholders involved in REDD+ readiness consultations may include, but are not limited to:

* *Indigenous peoples and other forest-dependent communities;*
* *Local communities, pastoralists, farmers who depend on forests for livelihoods;*
* *Civil society (NGOs, community associations, etc.);*
* *Vulnerable groups (women, youth, etc.);*
* *Government agencies (forests, environment, agriculture, energy, transportation, finance, planning, national, state, local, etc.);*
* *Environmental law enforcement agencies;*
* *Private sector (loggers, ranchers, energy producers, industry, farmers, agri-business etc.);*
* *Academia.*

***3. Define the issues to consult on***

The key issues should broadly correspond to the R-PP components and/or the components of the UN-REDD National Programme Document. In the case of REDD+, issues for consultation may include (but are not limited to):

* + *Current status of national forests;*
	+ *Institutional, policy and regulatory frameworks;*
	+ *Main causes and drivers of deforestation and forest degradation;*
	+ *Past and present policies to halt deforestation and forest degradation, where they have succeeded and where they have not;*
	+ *Rights and needs of indigenous peoples and other forest-dependent communities;*
	+ *Type and pattern of land use by indigenous peoples;*
	+ *Land rights (user and property rights, traditional, customary), and land tenure systems;*
	+ *Rights to carbon;*
	+ *Inclusive participation in the design and implementation of REDD+ strategy and development of procedures and enablers throughout the REDD+ cycle;*
	+ *Proposed REDD+ strategy;*
	+ *Design of benefit-sharing systems for equitable and effective distribution of REDD+ revenues;*
	+ *Economic, social and environmental impacts and risks of REDD+ and the mitigation and prevention of risks;*
	+ *Design of monitoring systems to keep track of forests and forest emissions as well as environmental and social co-benefits;*
	+ *Issues of forest governance and mechanisms to ensure full compliance with social and environmental safeguards, including during REDD+ strategy development;*
	+ *Opportunity costs of land use;*
	+ *Groups likely to gain or lose from REDD+ activities;*
	+ *Role of the private sector.*

***4. Define the terms of the consultation***

Ideally, any consultation should be guided by a clear elaboration of the process and elements of the consultation. All stakeholders should know how the consultation process will be conducted and how the outcomes of the consultation will be used, including the rights and responsibilities of the different stakeholders. These terms should be understood and agreed upon by all stakeholders and should include information on the following:

- Timing – a common understanding of timelines and deadlines should be reached, including the minimum amount of time required to: give advance notice of a planned consultation; carry out self-selection processes to identify suitable representatives (where appropriate); provide any required capacity building in advance of the consultation; and make available key documents that may need to be circulated and reviewed in advance of discussions.

- Agenda and process for determining consultation outcomes – the agenda of the consultation and how participating stakeholders will contribute to the desired outcomes of the consultation should be stated. If it is a decision-making consultation, it should be clarified how the decision will be reached (e.g., majority, consensus) and which participants have decision-making authority. If the consultation is to solicit opinions and views, clarify how these will be reviewed and incorporated (e.g., whether participants will be able to comment on future drafts). Tensions may already exist or may arise between indigenous peoples and other forest-dependent communities vis‐à‐vis REDD+ activities. Bearing this in mind, it is recommended that decisions made among all interested stakeholders regarding who will organize or lead the consultative process take place with sufficient time.

- Representation – decide which stakeholder groups should be represented and the number of representatives that can be accommodated for the purposes of the consultation, noting that self-selection of representatives should be supported (where appropriate). Also clarify what the roles of different representatives are in the context of the consultation’s desired outcome, e.g., if there is a decision-making process as part of the consultation, state which representatives have decision-making authority and which representatives may be acting in an observer capacity only.

- Capacity building – develop a shared understanding of capacity needs and steps that will be taken to build capacity in advance of the consultations.

- Transparency on outcomes – decide how the outcomes of the consultation will be documented and made publicly available (e.g., government websites, written press, national and community radio). Ensure the consultation includes a component for evaluation by the participants.

***5. Select the consultation and outreach methods***

The most effective consultations are custom-designed to place and purpose and provide for adequate budgets and human resources, including expert facilitation. A variety of stakeholder engagement methods can be used for consultations to allow for bottom-up participation and ensure that information is rigorously gathered and fairly presented, such as workshops, surveys, and focus groups.

The communication and outreach methods should ensure that adequate and timely information is provided to all stakeholders in an accessible language and style. As REDD+ involves complex, technical issues, information should be carefully synthesized to ensure that it is easily understood. Depending on the target audience and objectives of the consultation, various forms of communication media such as printed materials, electronic media, community radio, and local plays and drama can be used to disseminate information as widely as possible.

Identify facilitators with experience working with indigenous peoples and other forest-dependent communities and their issues. The use of indigenous and/or community co-facilitators, depending on the context of the consultation, is encouraged. Facilitators need to be trained in advance to ensure that they manage the consultation and record views appropriately.

The form and content of consultation may be designed in collaboration with indigenous peoples and other forest-dependent communities to ensure that these processes are appropriate and enough time is allocated to allow for proper consultation within the communities in accordance with their traditional decision-making processes.

***6. Ensure that stakeholders have sufficient capacity to engage fully and effectively in consultations***

Certain stakeholders may require capacity building or training in advance of a consultation to ensure that their understanding of the issues and ability to contribute are sufficient; this need should be identified in the terms of the consultation (step #4 above). The awareness and capacity of indigenous peoples and forest-dependent communities to engage with REDD+ discussions should be assessed with the use of questionnaires, surveys, focus group discussions, and/or workshops. If their existing level of information and knowledge is not sufficient, proper steps should be taken to provide information, prior to the start of the consultations. This should be factored into the timeline.

***7. Conduct the consultations***

Consultations should be held in accordance with the terms of the consultation as agreed upon under step #4 and any deviations from this should be discussed with and agreed upon by stakeholders. The legitimate authorities of indigenous peoples and forest-dependent communities should be consulted, and their decision-making processes respected. Broad community support, in the case of the FCPF, or free, prior and informed consent, in the case of the UN-REDD Programme, can be withheld at the community level, and such a decision should be respected.

***8. Analyze and disseminate results***

The findings from every consultation should be analyzed, reported and discussed with representative stakeholder groups. It is important that the data analysis feeds back into the decision-making process. Providing timely feedback is also important to sustain interest in and commitment to the process.

On completing a consultation: develop a report or findings; acknowledge key issues raised during consultations and respond as appropriate; and describe how the outcomes of the consultation process will be incorporated into REDD+ strategy and programs. In addition, the findings of all the consultations should be disclosed through the communication channels agreed upon under the terms of the consultation (step #4).

**Figure 1: Schematic of Consultations Steps**

Annex 1: UN-REDD Programme Requirements Relevant to Stakeholder Engagement

***UN-REDD Global Programme:***

***Representation***[[7]](#footnote-7)

1. Indigenous peoples will be represented on the UN-REDD Policy Board by the Chair of the United Nations Permanent Forum on Indigenous Issues or by his/her designate, and by three indigenous peoples observers representing each of the three regions: Africa, Asia and the Pacific, and Latin America and the Caribbean.
2. Civil Society Organizations will be represented on the UN-REDD Policy Board by one full member and three observers representing each of the three regions and industrialized countries. Representatives of civil society organizations will be identified through a self-selection process and will choose among themselves who will serve as the full member.
3. Indigenous peoples and other forest-dependent peoples will be invited to engage with the International Advisory Group on Forests, Rights and Climate Change, which is empowered to monitor activities and provide substantive advice to the UN-REDD Programme Policy Board.

***Transparency and Access to Information***

1. The UN-REDD Programme will publish meeting reports and official documents on the UN-REDD Programme website.

***UN-REDD National Programmes:***

***Representation***

1. Indigenous peoples and other forest-dependent communities shall be represented on National REDD*+* Steering Committees or equivalent bodies, where established.

*Validation of National Programme Documents:*

* + 1. In order to be endorsed by the UN-REDD Secretariat for approval by the UN-REDD Programme Policy Board, draft National Programmes must submit minutes of a ‘validation meeting’ of National Stakeholders (where established: the National REDD*+* Steering Committee), including indigenous peoples’ representative(s).
		2. The representative(s) who participate(s) in the ‘validation meeting’ must subscribe to one of the following criteria:

Option i.

* + - is selected through a participatory and consultative process;
		- has previous experience working with the government and UN system,
		- has demonstrated experience serving as a representative, receiving input from, consulting with, and providing feedback to, a wide scope of civil society/indigenous peoples’ organizations; or

Option ii.

* + - participated in a UN-REDD Programme scoping and/or formulation mission and sit(s) on a UN-REDD Programme consultative body established as a result of the mission; or

Option iii.

* + - is an individual(s) recognized as legitimate representative(s) of a national network of civil society and/or indigenous peoples’ organizations (e.g. the GEF Small Grants National Steering Committee or National Forest Programme Steering Committee)
1. The ‘validation meeting’ will be one step of a wider Consultation and Participation Plan and will be documented as an annex to the Programme Document.
2. The National Programme Consultation and Participation Plan should effectively involve indigenous peoples and other forest-dependent communities, and civil society organizations in all stages, including program design, implementation, and monitoring and evaluation, adhering to the same guiding principles as mentioned in the Principles and Guidance for Effective Stakeholder Engagement on page 5 of these Guidelines.
3. National Programmes should include activities and resources to support ongoing consultation, engagement and partnership to ensure that national UN-REDD Programme activities take into account current priorities and concerns articulated by representatives of indigenous peoples and other forest-dependent communities.
4. National Programmes will assess the impact of UN-REDD Programme activities on the rights of indigenous peoples’ and other forest-dependent communities prior to taking decisions on such activities.

***Transparency and Accountability***

1. Outcome documents from consultations such as meeting minutes, reports, work plans, and roadmaps for implementation should be: i) circulated to indigenous peoples’ organizations for an assessment of their accuracy, ii) publicly accessible, and iii) reflected, as appropriate, a) in National Programme documents, b) on the UN-REDD website, and submitted to the Policy Board annually.
2. The UN Resident Coordinator will distribute annual reports on UN-REDD Programme activities to indigenous peoples and civil society networks through the indigenous peoples’ and other forest-dependent community’s representative on the National UN-REDD Steering Committee in order to ensure transparency.

***Addressing* *Grievances***

National Programmes are required to establish grievance mechanisms. This requirement is already outlined in the FCPF and UN-REDD Readiness Preparation Proposal (R-PP) Template, where REDD+ countries will:

* Conduct a rapid assessment of existing formal or informal feedback and grievance mechanisms,including an assessment ofhow existing mechanisms could be modified to ensure that the eventual mechanism is accessible, transparent, fair, affordable, and effective in responding to challenges in REDD+ implementation;
* Develop a framework for the proposed grievance mechanism,including steps that will be taken to define the structure, functioning and governance of such a mechanism, taking into account customary grievance approaches and best practices where feasible;
* Describe how information sharing and consultation on the proposed mechanism will occur.

The UN-REDD Programme is in the process of developing elaborated guidelines on national level grievance mechanisms, which will be shared for external consultation in the first half of 2012. In the interim, stakeholders may direct grievances to both the UN-REDD Programme Secretariat and the UN Resident Coordinator in country for review and appropriate action.

## Annex 2: Overview of the UN-REDD Programme Guidelines on Free, Prior and Informed Consent

Free, Prior and Informed Consent (FPIC) is the collective right of indigenous peoples to participate in decision-making and to give or withhold their consent to activities affecting their lands, territories and resources or rights in general. Consent must be freely given, obtained prior to implementation of activities and be founded upon an understanding of the full range of issues implicated by the activity or decision in question; hence the formulation: free, prior and informed consent.

The specific mandate and obligation for States, the UN and its programmes to promote and respect the right to FPIC are outlined in the following agreements:

* [United Nations Development Group (UNDG) Guidelines on Indigenous Peoples Issues](http://www2.ohchr.org/english/issues/indigenous/docs/guidelines.pdf) (2008);
* [United Nations Declaration on the Rights of Indigenous Peoples](http://www.un.org/esa/socdev/unpfii/en/drip.html) (2007);
* [Convention on Biological Diversity](http://www.cbd.int/convention/text/) (CBD) (1992);
* [International Labour Organization Convention 169 on Indigenous and Tribal Peoples](http://www.ilo.org/ilolex/cgi-lex/convde.pl?C169) (1989); and
* [UNFCCC Cancun Agreements decisions on REDD+](http://www.skogsinitiativet.se/upload/doc/doc98.pdf).

This rights-based principle of FPIC applies to REDD+ discussions regarding potential changes in resource uses that could impact the livelihoods of indigenous peoples. Under these circumstances, consistent with international human rights instruments and other treaty obligations, potentially impacted peoples have the right to participate in and consent to or withhold consent from a proposed action. This principle holds that communities should have the right to withhold consent at key decision-making points occurring both prior to and during a proposed activity. FPIC applies to proposed actions (decisions, activities, projects, etc.) that have the potential to impact the lands, territories, and resources upon which indigenous peoples depend for their cultural, spiritual and physical sustenance, well-being, and survival.

The primary users of the Guidelines will be UN-REDD Programme partner countries, including those with National Programmes as well as those receiving targeted support. The Guidelines apply to national level activities supported by the UN-REDD Programme. They also apply to activities supported by any of the three UN partner agencies to the UN-REDD Programme (FAO, UNDP, UNEP) in their role as a Delivery Partner under FCPF (refer to Annex 5 for an illustrative table of when the Guidelines apply under different delivery arrangements).

The Guidelines include the following components:

* The Guidelines outline the **normative framework** by which the UN-REDD Programme follows a human rights-based approach to programming and policy;
* The Guidelines elaborate on each element of the **definition of FPIC**, building on the definition of FPIC endorsed by the UN Permanent Forum on Indigenous Issues in 2005;
* The Guidelines outline the **operational framework** by which UN-REDD Programme partner countries can seek FPIC, including guidance on when FPIC is required, who seeks consent, who gives consent, specific steps to seek FPIC from a community, and guidance on establishing mechanisms to address grievances and monitor compliance with standards, guidelines and policies.

The Guidelines are currently being finalized. A draft version of the Guidelines can be downloaded in English, French and Spanish at the following link: <http://www.unredd.net/index.php?option=com_docman&task=cat_view&gid=1333&Itemid=53>

## Annex 3: Summary of World Bank Operational Policy 4.10 on Indigenous Peoples





## Annex 4: SESA and ESMF

The multi-sectoral, programmatic nature of REDD+ readiness requires a strategic approach. Standard project-level environmental impact assessment is not appropriate at this strategic level. A Strategic Environmental and Social Assessment (SESA) has therefore been selected as the appropriate approach for incorporating relevant environmental and social considerations into REDD+ Readiness.

The strength of SESA for REDD+ is that it combines analytical and participatory approaches in an iterative fashion throughout the preparation of the R-PP and R-Package. The SESA aims to integrate key environmental and social considerations relevant to REDD+ at the earliest stage of programmatic decision-making, establishing their inter-linkages with economic and political factors. The SESA facilitates this planning process to help governments formulate their R-PPs and R-Packages in a way that reflects inputs from key stakeholder groups and addresses the key environmental and social issues identified. Through this process, social and environmental opportunities and desirable outcomes are identified and agreed on, to strive to ensure that the REDD+ program will be sustainable and contribute to the country’s development objectives.

The SESA provides inputs for institutional strengthening and criteria for risk management. The R-Package will include an applicable Environmental and Social Management Framework (ESMF) compliant with World Bank safeguard policies for screening, impact assessment, and consultations in potential REDD+ programs and projects.

The SESA guidelines can be summarized as follows:

* 1. Undertake existing or new diagnostic work to identify and prioritize the drivers of deforestation and the key social and environmental issues associated with the drivers including those linked to the Bank safeguard policies. Diagnostic work should cover among others, issues such as land tenure, sharing of benefits, access to resources, likely social and environmental impacts of REDD+ strategy options;
	2. Undertake diagnostic work on legal, policy and institutional aspects of REDD+ readiness;
	3. Assess existing capacities and gaps to address the environmental and social issues identified;
	4. Draft REDD+ strategy options taking into consideration the above issues;
	5. Develop framework to mitigate and manage the risks of the REDD+ strategy options, i.e., to be included in an ESMF; and
	6. Establish outreach, communication and consultative mechanisms with relevant stakeholders for each of the above steps. The consultations for SESA will be integral to consultations for the REDD+ readiness process and the REDD country’s consultation plan should therefore include the consultations on the social and environmental considerations as well.

Recognizing that several aspects of the analytical work are already covered in the R-PP template, the SESA guidelines have been mainstreamed into the R-PP template.

An ESMF will be a stand-alone document, but the timing of the ESMF preparation may be influenced by the identification of the investments. If REDD+ investments are not clearly identified at the Readiness Package (R-Package) stage, the ESMF produced as part of the R-Package could be an advanced draft, to be finalized once the investments are clearly identified, if necessary during the REDD+ implementation phase.

## Annex 5: “Free, Prior and Informed Consent” or “Free, Prior and Informed Consultation Leading to Broad Community Support” standards that should be applied under different REDD+ implementation arrangements

This table is provided for illustrative purposes.

|  |  |
| --- | --- |
| **REDD+ Readiness implementation arrangements** | **Free, Prior and Informed Consent or Consultation standards that should be applied** |
|   | Free, Prior and Informed Consultation Leading to Broad Community Support should be adhered to as per World Bank Operational Policy 4.10 (Summary in Annex 3) | Any national legislation adopting Free, Prior and Informed Consent and Consultation | UN-REDD Programme Guidelines on FPIC should be adhered to  |
| FCPF Readiness Fund is the sole funder and the World Bank is the Delivery Partner in a country without national legislation adopting Free, Prior and Informed Consent as a standard |  |  |   |
| FCPF Readiness Fund is the sole funder and the World Bank is the Delivery Partner in a country with national legislation adopting Free, Prior and Informed Consent as a standard |  |  |   |
| UN-REDD is the sole funder and implementing agency in a country without national legislation adopting Free, Prior and Informed Consent as a standard |   |  |  |
| UN-REDD is the sole funder and implementing agency in a country with national legislation adopting Free, Prior and Informed Consent as a standard |   |  |  |
| UN-REDD agency is the Delivery Partner under the FCPF in a country without national legislation adopting Free, Prior and Informed Consent as a standard |   |   |  |
| UN-REDD agency is the Delivery Partner under the FCPF in a country with national legislation adopting Free, Prior and Informed Consent as a standard |   |  |  |
|  |  |  |  |

## Annex 6: Links to Useful Resources

**United Nations Declaration on the Rights of Indigenous Peoples:**

<http://www2.ohchr.org/english/issues/indigenous/declaration.htm>

**ILO Convention 169 concerning Indigenous and Tribal Peoples in Independent Countries:**

<http://www.unhchr.ch/html/menu3/b/62.htm>

**Convention on Biological Diversity:** <http://www.cbd.int/convention/convention.shtml>

**International Convention on the Elimination of Racial Discrimination:** <http://www2.ohchr.org/english/law/cerd.htm>

**United Nations Permanent Forum on Indigenous Issues:** <http://www.un.org/esa/socdev/unpfii/index.html>

**United Nations Development Group Guidelines on Indigenous Peoples’ Issues:** <http://www2.ohchr.org/english/issues/indigenous/docs/guidelines.pdf>

**UNDP and Indigenous Peoples: A Policy of Engagement:** <http://www.undp.org/partners/cso/publications.shtml>

**FAO Policy on Indigenous and Tribal Peoples:**

<http://www.fao.org/docrep/013/i1857e/i1857e00.htm>

**World Bank Safeguards Policies:**

[http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/EXTPOLICIES/EXTSAFEPOL/0,,menuPK:584441~pagePK:64168427~piPK:64168435~theSitePK:584435,00.html](http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/EXTPOLICIES/EXTSAFEPOL/0%2C%2CmenuPK%3A584441~pagePK%3A64168427~piPK%3A64168435~theSitePK%3A584435%2C00.html)

**UNDP and CSOs: A Toolkit for Strengthening Partnerships:** <http://www.undp.org/partners/cso/publications/CSO_Toolkit_linked.pdf>

**UNDG Toolkit for Improved Functioning of the UN System at the Country Level:** <http://www.undg.org/toolkit/toolkit.cfm?sub_section_id=255&topid1=on&topid=1>

**The Human Rights Based Approach to Development Cooperation:** <http://www.undp.org/governance/docs/HR_Guides_CommonUnderstanding.pdf>

**Indicators for Human Rights Based Approaches to Development in UNDP Programming: A Users’ Guide:**

<http://www.undp.org/oslocentre/docs06/HRBA%20indicators%20guide.pdf>

**Web-based guide on How to Engage with the International Human Rights Machinery:** <http://www.hurilink.org/hrmachinery/english/>

**World Bank: Consultations with Civil Society – A Guide:**

<http://siteresources.worldbank.org/CSO/Resources/ConsultationsSourcebook_Feb2007.pdf>

**Akwe: Kon Guidelines:** Voluntary guidelines for the conduct of cultural, environmental and social impact assessments regarding developments proposed to take place on, or which are likely to impact on, sacred sites and on lands and waters traditionally occupied or used by indigenous and local communities: <http://www.cbd.int/doc/publications/akwe-brochure-en.pdf>

**Inter-American Court of Human Rights: Case of the Saramaka People *v.* Suriname Judgment of November 28, 2007:** <http://www.forestpeoples.org/documents/s_c_america/suriname_iachr_saramaka_judgment_nov07_eng.pdf>

**Report of FCPF Global Dialogue with Indigenous Peoples, September 2011:**<http://www.forestcarbonpartnership.org/fcp/sites/forestcarbonpartnership.org/files/Documents/PDF/Nov2011/Guna_Yala_Dialogue_Final_Report_EN.pdf>

**Report from the Global Indigenous Peoples Consultation on REDD, November 2008:**

<http://www.un-redd.net/events/GlobalIndigenousPeoplesConsultationonREDD/tabid/551/Default.aspx>

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| Annex C: Guidelines for the Development of ToRs for the ESMF |

**Guidelines for the development of Terms of Reference (ToRs) for an**

**Environmental and Social Management Framework (ESMF)**

**in the context of the**

**REDD-Plus Readiness Preparation Process supported by the FCPF**

This document provides guidelines on the preparation of Terms of Reference (ToRs) for an Environmental and Social Management Framework (ESMF) during an FCPF-supported REDD-Plus Readiness Preparation process. The resulting ToRs will, in turn, guide the preparation of an ESMF in relation to the specific Bank safeguard policies that are triggered by the REDD country’s emerging REDD-plus strategy. The ESMF is prepared for application during the Readiness Package implementation stage (i.e. the Carbon Fund stage), as part of the implementation of the REDD-Plus strategy formulated during Readiness. Each ESMF prepared will take on a different form depending on the safeguard policies that apply and the particular country circumstances involved. Dissemination of this initial guidance on preparing the ESMF will be followed by the dissemination of sample ESMFs, which can loosely serve as models of the final documents REDD countries will have to produce.

Guidance provided for component 2d. of the R-PP template mentions that the ESMF should be prepared as a stand-alone document “as early as possible” in the REDD-Plus Readiness Preparation phase. However, note that if an ESMF is prepared **too far** upstream, especially in cases where the REDD country is interested only in pursuing legal/regulatory, policy and/or institutional reforms rather than discrete activities having site-specific impacts, then the resulting Framework might not provide a suitable basis for public consultations. In fact, attempts to consult on such a Framework too far upstream under these circumstances could prove misleading for the public. Therefore, these Guidelines assume that preparation of the initial draft of the ESMF “as early as possible” means that said preparation will take place during the Readiness Preparation phase but only after decisions stemming from an inclusive public dialogue are taken, and the country’s REDD-plus strategy begins to take concrete shape on the basis of these decisions.

All other provisions in section 2d. of the R-PP template are assumed to remain the same. For example, there would still be an initial draft ESMF, as well as an “advanced” or final draft of the Framework that becomes part of the R-package. Both the initial and advanced draft versions of the ESMF are publicly disclosed.

Before the ESMF is disseminated to the public for the first time, it should contain 1) relevant information for stakeholders regarding risks and potential impacts that could affect them as a result of the implementation of the emerging REDD-Plus strategy; and 2) useful descriptions of principles to be adopted and procedures to be followed by the lead agencies to comply with the relevant safeguards, based on an assessment of how the Delivery Partner (DP) in the lead in the country has achieved substantial equivalence to the material elements of the applicable World Bank safeguard policies, as provided for under the FCPF Common Approach.

These Guidelines assume that facilitation of workshops organized to consult on the initial draft of the ESMF will be the responsibility of those managing the overall stakeholder engagement process, with the consultants for ESMF preparation taking account of the outputs of these workshops when updating the Framework. Finally, it should be noted that the Guidelines may need to be revised to take account of relevant decisions that emerge from the ongoing REDD-Plus negotiations within the UNFCCC regime.

**Guidelines for the development of Terms of Reference (ToRs) for an**

**Environmental and Social Management Framework (ESMF)**

**I. INTRODUCTORY SECTION**

Overall this section should state the purpose of the ToR and describe the context for the development of the ESMF, outline the general principles and specific objectives of the ESMF, and explain the institutional arrangements for preparing the ESMF.

**1. Background Information**

This sub-section should provide pertinent background for preparing the ESMF, relating its preparation to the other activities underway as part of the REDD-plus Readiness process in the country in question. This would include a brief history of this process, a description of activities to be funded by the FCPF, the interactions between/among the various implementing entities involved, and a description of:

* The main risks to the natural environment or to human communities associated with the pursuit of different REDD-plus strategy options; and
* The list of relevant safeguard policies that apply. In cases where the World Bank is the lead DP, this reflects the confirmation of the initial determination of the policy triggers that was made during the R-PP Formulation phase.

**2. Principles and Objectives**

This sub-section should describe the general principles upon which the ESMF is based, as well as its specific objectives, taking into account the following points:

* The SESA ensures compliance with relevant safeguards during both preparation and implementation of the Readiness Package. The ESMF is an output of SESA. It provides for an examination of the risks and potential impacts associated with one or more project(s), activity(-ies), or policy(-ies)/regulation(s) that may occur in the future as part of the implementation of the REDD-plus strategy designed during the readiness preparation phase. The ESMF sets out the principles, guidelines, and procedures to assess environmental and social risks, and proposes measures to reduce, mitigate, and/or offset potential adverse environmental and social impacts and enhance positive impacts and opportunities of said project(s), activity(-ies), or policy(-ies) /regulation(s).
* The ESMF provides procedures for: (i) consultations with concerned stakeholder groups; (ii) institutional capacity building; (iii) environmental and social impact screening, assessment, and monitoring; and (iv) grievance redress. The ESMF also specifies the inter-institutional arrangements for the preparation of time-bound action plans for managing and mitigating adverse impacts related to the future project(s), activity(-ies), or policy(-ies)/regulation(s).
* By doing the above, the output is an ESMF that is compliant with applicable safeguard policies at the time of the assessment of the Readiness Package with, while also providing the overall framework for addressing social and environmental risk management issues in REDD-plus activities that are implemented beyond the readiness preparatory work.

**II. MIDDLE SECTION**

Overall this section should describe the tasks needed to prepare the ESMF in (i) initial draft form; and (ii) final draft form.

**3. Scope of Work**

The ToR should make clear that preparation of an initial draft ESMF suitable for disclosure and public consultations would involve the following minimum tasks:

1. A description of the **indicative REDD-plus strategy**, its main social and environmental considerations, and the various risks involved in its implementation, drawing from information available from the assessment described in section 2b. of the R-PP template;
2. An outline of the **legislative, regulatory, and policy regime** (in relation to forest resources management, land use, indigenous rights, etc.) that the strategy will be implemented within, drawing from the information available from the assessment described in section 2a. of the R-PP template, with a focus on any reforms to this regime that are proposed as part of the strategy’s implementation;
3. A description of the **potential future impacts**, both positive and negative, deriving from the project(s), activity(-ies), or policy(-ies)/regulation(s) associated with the implementation of the emerging strategy, and the geographic/spatial distribution of these impacts;
4. A description of the **arrangements for implementing the specific project(s), activity(-ies), or policy(-ies)/regulation(s)** that are finally decided on, with a focus on the procedures for (i) screening and assessment of site-specific environmental and social impacts; (ii) the preparation of time-bound action plans for reducing, mitigating, and/or offsetting any adverse impacts; (iii) the monitoring of the implementation of the action plans, including arrangements for public participation in such monitoring.
5. An analysis of the particular **institutional needs within the REDD+ implementation framework for** application of the ESMF. This should include a review of the authority and capability of institutions at different administrative levels (e.g. local, district, provincial/regional, and national), and their capacity to manage and monitor ESMF implementation. The analysis should draw mainly from section 2c. of the R-PP template and may extend to proposed laws and regulations, new agencies or agency functions, staffing needs, inter-sectoral arrangements, management procedures, operation and maintenance arrangements, budgeting, and financial support.
6. An outline of recommended **capacity building actions** for the entities responsible for implementing the ESMF.
7. Requirements for **technical assistance** to public- and private-sector institutions, communities, and service providers to support implementation of the ESMF.
8. A description of applicable **grievance redress mechanisms**.
9. An outline of the **budget** for implementing the ESMF.

This sub-section should also make clear that preparation of a final draft ESMF suitable for inclusion in the R-Package would have to contain specific sections addressing the requirements of the lead DP’s applicable safeguard policies. These sections would draw on country-specific information generated by steps a)-d) above in taking the form of free-standing “chapters” within the ESMF that would resemble the frameworks provided for in the policies themselves, including as relevant:

* Environmental Management Framework (EMF) of World Bank or equivalent, to address any potential environmental impacts, including cumulative and/or indirect impacts of multiple activities;
* Resettlement Policy Framework/Process Framework of World Bank or equivalent, to address any potential land acquisition and/or physical relocation, loss of livelihoods or restriction of access to natural resources, including in legally designated parks and protected areas; and
* Indigenous Peoples Planning Framework (IPPF) of World Bank or equivalent, to address any effects on Indigenous Peoples.

Finally, this sub-section will indicate how public consultations on the ESMF will be integrated into ongoing consultation processes in the country (following section 1c. of the R-PP template), and identify any additional consultations and field work needed to prepare the ESMF. Consultations should extend from the national level to the lowest level (e.g. district) where site-specific project(s) and activity (-ies), if any, will be proposed, approved, and then implemented.

**III. ENDING SECTION**

Overall this section should specify the conditions (relating to budget, timeframe, deliverables, etc.) under which the Consultant(s) selected will be expected to develop the ESMF.

**4. Schedule and Deliverables**

The ToR should specify the consultancy deliverables (e.g. detailed workplan (if not already provided for in the SESA workplan), initial draft ESMF, final draft ESMF), the schedule for delivery (e.g. detailed workplan within 2 weeks, initial draft ESMF within 2 months, and final draft ESMF within 6 months of contract signature), and the overall duration of the consultancy (e.g. 6 months from contract signature).

**5. Budget and Payments**

The ToR should indicate if there is a budget ceiling for the consultancy. It should also specify the payment schedule (e.g. 10% on contract signature, 10% on delivery of detailed workplan, 40% on delivery of initial draft ESMF, and 40% on delivery of final draft ESMF).

**6. Consultant Qualifications and Expected Level of Effort**

The ToR should convey that the ESMF preparation team will have to be capable of addressing all of the safeguard policies triggered by the project(s), activity(-ies), or policy (-ies)/regulation(s) that may occur in the future from the implementation of the emerging REDD-plus strategy, and of carrying out all the tasks outlined in the Scope of Work above. Where multiple safeguard policies need to be addressed in an ESMF for REDD-Plus readiness, the Framework would ideally be prepared by a multi-disciplinary team reflecting the necessary ecological and socio-cultural expertise. The ToR should furthermore state that the team will be expected to manage the preparation of both the overall ESMF and each of its separate sections or “chapters” (corresponding to the EMF, IPPF, etc.). This can be accomplished by calling for a Team Leader and Lead Specialists, with accompanying qualifications (training and experience) requirements.

The expected level of effort required for the preparation of the ESMF should be indicated in the ToR if it will not be specified in a formal request for proposals. The level of effort may be expressed as a total (e.g. 18 person months) or subdivided by team members or ESMF chapters.

**7. Services, Facilities, and Materials to be Provided**

The ToR should specify what services, facilities, and materials will be provided to the Consultant by the DP and the Participant Country. The ToR should also outline the actions to be taken by the Government to facilitate the work of the Consultant by providing access to government authorities, key stakeholders, and potential project sites.

**8. Other Information**

The ToR should include lists of complementary data sources, project background reports and studies, relevant publications, and other items to which the Consultant's attention should be directed.

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| Annex D: Summary of SESA Activities and Outcomes in the REDD-Plus Readiness Package |

*Note: This Annex provides an overview of how SESA outcomes and outputs, including the ESMF, will eventually be included in the Readiness Package. Accordingly, this Annex does not need to be prepared for submission as part of the R-PP.*

Countries receiving support of the FCPF for REDD-plus Readiness must comply with the Common Approach to Environmental and Social Safeguards for Multiple Delivery Partners regarding the management of environmental and social issues and impacts. The main safeguard process to be applied is the Strategic Environmental and Social Assessment (SESA), which includes preparation of an Environmental and Social Management Framework (ESMF). Whereas preparation of the ESMF will result in a stand-alone document, other components of the SESA will be reflected in the preparation of the Readiness Package in an integrated way, mostly in the form of the final REDD-plus strategy and the documentation of the consultation and participation process carried out during the R-PP Formulation and Readiness Preparation stages.

This Annex provides guidelines on how a country eventually should produce a SESA Summary that satisfies this objective. This document should summarize in 10-15 pages the public consultation and participation processes in which the SESA was embedded, and the main findings and results of SESA. The Summary should refer to relevant sections of the Readiness Package where the elements of SESA are discussed in detail. The Summary must be included with the Readiness Package, but progress on elements of the work below will be reflected in the country progress reports to be submitted during Readiness Preparation.

Including references to relevant sections of the Readiness Package, the Summary should briefly discuss the following at a minimum:

* The institutional arrangements for coordinating the integration of environmental and social issues into the REDD-plus readiness process (refer to relevant sections of component 1a.).
* The safeguard policies triggered and the specific environmental and social studies or diagnostics carried out (refer to relevant sections of component 1a. and component 2b.).
* The key environmental and social issues (including in relation to gender and youth) associated with the drivers of deforestation and forest degradation (refer to relevant sections of component 2a.).
* The social and environmental priorities defined in relation to the drivers of deforestation and how these results fed into the refinement of the most promising responses to them in the form of REDD-plus strategy options (refer to relevant sections of component 2b. on enhancing preparation of the REDD-plus strategy and, as needed, of component 2c. on the design of a benefit sharing mechanism).
* The legal, regulatory, policy, institutional, and capacity recommendations to address gaps for managing the environmental and social priorities mentioned above.
* The results of the assessment of environmental and social risks and potential impacts (both positive and negative) of REDD-plus strategy options, and how the results of this assessment fed into the selection and formulation of the final REDD-plus strategy (refer to relevant sections of component 2b. on environmental and social safeguarding).
* A final or advanced draft ESMF as the framework for managing environmental and social risks and potential impacts during the implementation of the Readiness Package, and a discussion of how the safeguards triggered during the Readiness Preparation phase have achieved substantial equivalence with the material elements of the Common Approach (refer to the stand-alone ESMF described in component 2d.).
* Description of activities relating to consultation, public participation, disclosure of information, and grievance redress.
	+ For general procedures followed on consultations, public participation, disclosure of information, and grievance redress refer to relevant sections of components 1a and 1c.
	+ For stakeholder analysis, awareness raising and initial vetting of environmental and social concerns refer to relevant sections of component 1b.
	+ For participation of stakeholders including forest-dependent indigenous peoples, forest dwellers, forest-dependent local communities and civil society; for methods followed to ensure representative participation of stakeholders and neutral facilitation of consultations; for how the feedback from stakeholders was used; and for how stakeholders informed the implementation of SESA and the preparation of the ESMF refer to relevant sections of component 1c., 2b. and 2d.

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| Annex E: FCPF Common Approach to Environmental and Social Safeguards for Multiple Delivery Partners, including Guidance on Disclosure of Information |

**Introduction**

1. This document sets forth a Common Approach to Social and Environmental Safeguards for Multiple Delivery Partners under the Forest Carbon Partnership Facility (FCPF) Readiness Fund (hereafter referred to as the “Common Approach”), as mandated by Participant Committee (hereafter referred to as “PC”) Resolution PC/7/2010/4. The Common Approach shall be part of the legally binding Transfer Agreements that will be executed by the World Bank (hereafter referred to as “WB”), serving as Trustee of the FCPF Readiness Fund (“Trustee”), and the Delivery Partners (hereafter referred to as “DPs”).[[8]](#footnote-8) The Common Approach shall be consistent with the FCPF Charter and relevant resolutions of the FCPF Participants Assembly and Participants Committee. As per PC/7/2010/4, each DP will follow its fiduciary framework, regulations, rules, policies, guidelines and procedures in administering the funds transferred by the Trustee. [[9]](#footnote-9)
2. Environmental and social safeguards and associated policies and procedures are a cornerstone of technical and financial support that DPs provide to achieve sustainable poverty reduction. The objective of these safeguards and associated policies and procedures is to prevent and mitigate undue harm to people and their environment and strive to develop benefits in the development process. More specifically, safeguard policies and procedures are designed to avoid, mitigate, or minimize adverse environmental and social impacts of projects and strategies, and to implement projects and strategies that produce positive outcomes for people and the environment.
3. Under this Common Approach DPs shall achieve substantial equivalence which means equivalence to the material elements[[10]](#footnote-10) of the WB’s environmental and social safeguard policies and procedures applicable to the FCPF Readiness Fund (“Substantial Equivalence”) during the administration of the FCPF Readiness Preparation grant agreement[[11]](#footnote-11) and by complying with FCPF requirements that are in place at the time of signing of their respective Transfer Agreement as follows:
4. Guidelines and Generic Terms of Reference for Strategic Environmental and Social Assessments (SESAs) and Environmental and Social Management Frameworks (ESMFs) as set forth in Attachment 1 (SESAs and ESMFs shall be compliant with the WB’s safeguard policies and procedures);
5. FCPF Guidelines on Stakeholder Engagement in REDD+ Readiness preparation as set forth in Attachment 2;
6. FCPF Guidance on Disclosure of Information as set forth in Attachment 3; and
7. Provision of access to DP accountability mechanisms as described in Section VII of this Common Approach, including assistance to Pilot Countries efforts to comply with Guidelines for Establishing Grievance and Redress Mechanisms at the Country Level as set forth in Attachment 4.

If the environmental and social safeguard policies and procedures of the DP are more stringent and/or protective than those of the WB, the DP shall apply its policies and procedures to activities undertaken under the FCPF Readiness Fund.

4. The contents of this Common Approach will be modified as needed to fulfill the purposes set forth herein. Such modifications will be approved by the PC. Such modifications to the Common Approach will not apply retroactively to existing Transfer Agreements. However, existing Transfer Agreements may be amended to incorporate any significant modifications to the Common Approach if the respective DP agrees in accordance with the amendment procedures of its Transfer Agreement. Reasons for modifying the Common Approach include, but may not be limited to, the need to add new DPs and/or to reflect:

1. Changes to the FCPF requirements listed in Paragraph 3, for example, to respond to an elaboration of UNFCCC policy guidance on environmental and social safeguards for REDD+;
2. Changes to the material elements of the policies and procedures of the WB and/or other DPs;
3. Changes to the disclosure requirements of the FCPF to ensure that all DPs are similarly disclosing documents related to the FCPF Readiness Fund; and
4. Significant lessons learned through implementation of the Common Approach.
5. Section II of this Common Approach includes an overview of the FCPF readiness preparation process. Section III includes a summary of the environmental and social safeguard policies and procedures that are most relevant to the FCPF Readiness Fund. Section IV describes Strategic Environmental and Social Assessments (SESAs) and Environmental and Social Management Frameworks (ESMFs) and how they will be utilized by all DPs under the FCPF Readiness Fund. Section V provides a summary of the FCPF guidelines on stakeholder engagement in REDD+ readiness. Section VI provides a summary of the FCPF guidance on disclosure of information. Section VII provides a summary of the FCPF requirements on grievance and accountability.

**Overview of the FCPF Readiness Preparation Process**

1. FCPF’s initial activities relate to strategic planning and preparation for REDD+ in 37 REDD Countries across Africa, East Asia and Pacific, Latin America and the Caribbean and South Asia. Specifically, countries prepare for REDD+ by:

Assessing the country’s situation with respect to deforestation, forest degradation, conservation, sustainable management of forests, and relevant governance issues;

Identifying REDD+ strategy options;

Assessing key social and environmental risks and potential impacts associated with REDD+, and developing a management framework to manage these risks and mitigate potential impacts;

Working out historic forest cover change and greenhouse gas emissions and uptake from deforestation and/or forest degradation and REDD+ activities, and considering options for reference emissions levels, or reference levels, against which to measure performance;

Designing a monitoring system to measure, report and verify the effect of the REDD+ strategy on greenhouse gas emissions and to consider the monitoring and reporting of other additional benefits, and to monitor the drivers of deforestation and forest degradation, as well as other variables relevant to the implementation of REDD+; and

Designing national management arrangements for REDD+.

1. These preparatory activities are referred to as ‘REDD+ Readiness’ and are supported in part by the Readiness Fund of the FCPF (alongside other initiatives such as the UN-REDD Programme). FCPF Readiness Preparation grants will finance some of this preparatory work, but they will not finance any implementation of REDD+ activities on the ground.
2. Preparatory activities are divided into the following two phases, and a REDD Country is eligible for up to $3.6 million in FCPF grant funding to support these two phases:
	1. TheFormulation phase starts with the formulation of the Readiness Proposal Idea Note (R-PIN), through which the REDD Country expresses its interest in participating in the FCPF and presents early ideas for how it might organize itself to get ready for REDD+. The R-PIN is formulated by the country without financial or technical support from the FCPF. Based on this R-PIN, the REDD Country is selected into the FCPF. It may then decide to formulate a Readiness Preparation Proposal (R-PP), possibly with assistance from the FCPF, including a grant of up to $200,000 (which is referred to as the “R-PP Formulation Installment), considered as seed money for formulating the R-PP. If the country formulates an R-PP, it may submit it to the PC for review and assessment and move to the Readiness Preparation phase; and
	2. TheReadiness Preparation phase is when the analytical and early planning work provided for in the R-PP is realized. The balance of approximately $3.4 million in FCPF grant funding is made available to carry out the Readiness Preparation activities laid out in the R-PP. During this phase, the REDD Country must submit a Readiness progress report to the PC on R-PP activities undertaken, which is also reviewed by the Bank, and this phase concludes with the review and assessment of the Readiness Package (R-Package). [[12]](#footnote-12)
3. Whereas the FCPF Participants Committee (PC) decides to allocate funds from the FCPF to a REDD Country Participant, based on the Country’s R-PP, it is the DP that decides whether it will sign a Readiness Preparation grant agreement that channels those Readiness Preparation funds to the REDD Country. For this purpose, each DP prepares the assessment documents described below.
4. The R-PP Assessment Note summarizes the main aspects of the FCPF-financed portion of the R-PP; assessments of technical, financial management, procurement, social and environmental capacity; compliance with the applicable safeguard policies; and risks.[[13]](#footnote-13) Based on the R-PP Assessment Note, the DP decides whether to proceed with signing the Readiness Preparation grant agreement. In compliance with the FCPF Guidance on Disclosure of Information, the DP prepares and discloses an initial environmental and social safeguards assessment, which draws the environmental and social safeguards profile of the proposed readiness activity and a readiness activity profile. The R-PP Assessment Note (minus the risk assessment) is disclosed after signature of the Readiness Preparation grant agreement.
5. Throughout the implementation of the FCPF Readiness Preparation phase, the DP supervises the continued compliance of the REDD+ readiness activity. The Readiness Preparation grant agreement shall contain remedies available in case conditions set forth in the requirements of that document are not met. The DP produces periodic monitoring reports at least once per fiscal year, and makes them publicly available along with annual audited financial reports, or the equivalent thereof, for each project being implemented. At mid-term, the REDD Country Participant prepares and presents to the PC a progress report that includes a review of its compliance with the Common Approach. The DP reviews the country progress report and the documentation available on the readiness process and prepares its own assessment, including compliance with the DP’s social and environmental safeguard policies and the Common Approach. The DP discloses the progress report and its assessment in compliance with the FCPF Guidance on Disclosure of Information, and may update the safeguards and activity profiles, in which case these updated documents are also disclosed.
6. When the FCPF Readiness Preparation grant is fully disbursed, the DP files a completion report to report on Readiness Preparation progress and grant completion, including on compliance with the Common Approach. The completion report is disclosed, in compliance with the FCPF Guidance on Disclosure of Information.

13. If the Country expresses interest in obtaining PC endorsement of its R-Package, the PC considers the R-Package, its review by an ad hoc Technical Advisory Panel (TAP), the DP’s updated monitoring report, or completion report if available, and/or other sources, as appropriate, including for those REDD Country Participants that are not supported by a DP, to form an opinion about the Country’s progress towards REDD+ readiness and compliance of the activities funded by the FCPF grant with the applicable policies and procedures (including safeguards) of the DP and the Common Approach, the risks involved, and other factors as necessary.

**Environmental and Social Safeguards in the FCPF Readiness Fund**

14. In the context of the FCPF Readiness Fund, the most relevant safeguards[[14]](#footnote-14) and the overarching objective that DPs will achieve for each of the relevant safeguard topics are the following:

1. Environmental Assessment: To help ensure the environmental and social soundness and sustainability of investment projects/strategies and to support integration of environmental and social aspects of projects/strategies into the decision-making process;
2. Natural Habitats: To promote environmentally sustainable development by supporting the protection, conservation, maintenance, and rehabilitation of natural habitats and their functions;
3. Forests: To realize the potential of forests to reduce poverty in a sustainable manner, integrate forests effectively into sustainable economic development, and protect the vital local and global environmental services and values of forests;
4. Involuntary Resettlement: To avoid or minimize involuntary resettlement and, where this is not feasible, to assist displaced persons in improving or at least restoring their livelihoods and standards of living in real terms relative to pre-displacement levels or to levels prevailing prior to the beginning of projects/ strategy implementation, whichever is higher;
5. Indigenous Peoples: To design and implement projects/strategies with the full and effective participation of Indigenous Peoples in a way that fosters full respect for Indigenous Peoples’ dignity, human rights, traditional knowledge, and cultural uniqueness and diversity and so that they: (i) receive culturally compatible social and economic benefits; and (ii) do not suffer adverse effects during the development process; and
6. Physical and Cultural Resources: To assist in preserving physical cultural resources and avoiding their destruction or damage.  PCR includes resources of archaeological, paleontological, historical, architectural, religious (including graveyards and burial sites), aesthetic, or other cultural significance.

**Strategic Environmental and Social Assessments (SESAs) and Environmental and Social Management Frameworks (ESMFs)**

1. The safeguard policies of the DPs that are multilateral investments bank were largely written with investment projects in mind and, in the case of all DPs including those DPs that are part of the United Nations, they serve to support the overarching mission of each organization. However, REDD+ readiness activities in the FCPF context entail no investment projects on the ground. They mostly consist of strategic planning and preparation. Nonetheless, these strategic activities have potentially far-reaching impacts – hopefully positive – but, unless properly addressed, possibly negative (e.g., the definition of rights to forest carbon or the design of benefit-sharing mechanisms). The following paragraphs clarify how the DPs will apply their environmental and social safeguards to REDD+ readiness activities from the time the DP signs the grant agreement that channels $3.4-3.6 million to a REDD Country for Readiness Preparation.
2. The basic approach is to seek to ensure that environmental and social concerns are integrated into the national REDD+ strategy process and that the FCPF readiness activities comply with applicable safeguards is to utilize a Strategic Environmental and Social Assessment (SESA). [[15]](#footnote-15) [[16]](#footnote-16)
3. Readiness for REDD+ is the phase when the Country formulates its strategies/policies and prepares investments. It is therefore the appropriate moment for the Country to assess the broader strategic environmental and social impacts, including potential cumulative impacts, which may ensue from future REDD+ activities or projects, and to develop sound environmental and social policies and the necessary safeguards instruments that will apply to subsequent REDD+ investments and carbon finance transactions.
4. The strategic, national and multi-sectoral nature of REDD+ readiness activities requires a strategic approach to risk management. Indigenous Peoples’ rights, land tenure, public participation, and the sharing of benefits are some of the main challenges. Policy discussions related to REDD+ deal with land administration, nationwide land use planning, forest management, extractive industries, and infrastructure, among other sectors. Standard project-level environmental and social impact assessment is not appropriate at this strategic, countrywide, multi-sectoral level. In keeping with accepted instruments and practices in the field of environmental assessment, REDD Country Participants will undertake a SESA and produce a stand-alone Environmental and Social Management Framework (ESMF) as an integral part of the REDD+ Readiness Preparation process.
5. The strength of a SESA for REDD+ is that it combines analytical work and consultation in an iterative fashion to inform the preparation of the REDD+ strategy. The SESA helps to ensure compliance with the applicable safeguards by integrating key environmental and social considerations relevant to REDD+, including all those covered by the applicable safeguards, at the earliest stage of decision making. The SESA helps Countries formulate their REDD+ strategy in a way that reflects inputs from key stakeholder groups and addresses the main environmental and social issues identified. The SESA includes an ESMF as a distinct output, which provides a framework for managing and mitigating the potential environmental and social impacts and risks related to policy changes, investments and carbon finance transactions in the context of the future implementation of REDD+.[[17]](#footnote-17)
6. As part of the SESA, the Country is expected to:

Build on existing or undertake new diagnostic work to identify and prioritize the drivers of deforestation and the key social and environmental issues associated with the drivers, including those issues linked to the applicable safeguards. Diagnostic work covers, *inter alia*, issues such as land tenure, sharing of benefits, access to resources, and the likely social and environmental impacts of REDD+ strategy options;

Undertake diagnostic work on legal, policy and institutional aspects of REDD+ readiness;

Assess existing capacities and gaps to address the environmental and social issues identified;

Draft REDD+ strategy options taking into consideration the above issues;

Develop frameworks to mitigate and manage the risks of the REDD+ strategy options, including future, yet unidentified, REDD+ investments, to be included in an ESMF; and

Establish outreach, communication and consultative mechanisms with relevant stakeholders for each of the above steps. The consultations for the SESA should be integral to, and not duplicate, the consultations for REDD+ readiness. The Country’s consultation plan therefore includes, among others, the consultations on social and environmental considerations.

1. At the time that a Country is formulating its R-PP, it needs to decide on the arrangements for the management and coordination of REDD+ readiness activities. This requires the carrying out of a stakeholder mapping exercise as one of the earliest activities required by the SESA, so that interested civil society organizations and potentially affected stakeholders can be involved in these discussions, as well as in the arrangements that are ultimately devised. If national-level mechanisms such as REDD+ committees or working groups have been established to discuss broader national low-carbon strategies or climate-friendly national development plans, these can often serve as suitable platforms for engaging a range of stakeholders in an up-front and meaningful way. They can also help to provide an institutional framework for the organization of initial meetings or workshops for sharing information with, and soliciting feedback from, key stakeholders with respect to:
2. the underlying causes and environmental and social impacts of deforestation and forest degradation;
3. the development of the various components of the R-PP, especially that on the REDD+ strategy options; and
4. the structuring of the Consultation and Participation Plan for the overall REDD+ readiness preparation process.
5. After the PC has assessed the R-PP and authorized Readiness Preparation activities but before the grant agreement to authorize Readiness Preparation activities is signed, there is an initial determination of which safeguard policies are triggered by the Country’s overall REDD+ readiness program. This provides the basis for the preparation, at an appropriate time during the implementation of the R-PP, of the ESMF, which is designed to identify, avoid, minimize, mitigate, and/or compensate for the adverse effects of REDD+ policy changes and investments that might be undertaken in the future. Once the Readiness Preparation grant to support the implementation of the R-PP has been allocated, the Country engages in the analytical and consultative activities that are the hallmark of the full-fledged SESA process. This involves carrying out the necessary diagnostic work (assessments, studies) and engaging in consultative meetings and events (including at the village or community level) in relation to the issues outlined in steps Paragraph 20 (a)-(f) above. The overall goal of the process at this stage is to prioritize among REDD+ strategy options, with due attention to the social and environment risks and potential impacts identified, and to produce recommendations regarding existing legal, institutional, and regulatory arrangements and capacity gaps for managing these priorities.
6. The ESMF prepared as a result of the SESA will be a stand-alone document, to be produced as part of the R-Package. The ESMF’s content will depend on the extent to which future REDD+ investments have been identified. If REDD+ investments are not yet clearly identified at the R-Package stage, the ESMF produced as part of the R-Package could still be fairly general establishing principles and criteria for policy and program design and investment selection, while leaving more specific measures to be finalized once the investments are clearly identified. Conversely, if investments are already identified while the REDD Country is still preparing itself for REDD+, the ESMF made available before the R-Package should also include more developed management plans.
7. For the ESMF to ensure compliance with the applicable safeguards, it has to contain specific sections addressing the requirements of the applicable safeguards. These sections will draw on Country-specific information and take the form of free-standing chapters that would resemble the frameworks and plans provided for in the applicable safeguards themselves, namely, as relevant:
8. Environmental and social assessment: An environmental and social management framework to address any potential environmental impacts and risks, including cumulative and/or indirect impacts of multiple activities;
9. Indigenous peoples: An indigenous peoples planning framework to address any effects on indigenous peoples;
10. Involuntary resettlement: A restriction of access framework to address any potential land acquisition and/or physical relocation, loss of livelihoods or restriction or loss of access to natural resources, including legally designated parks and protected areas; and
11. Stakeholder engagement and dispute resolution: A stakeholder engagement and grievance resolution framework to ensure ongoing communication with stakeholders, good faith consideration of their concerns and mechanisms to resolve any grievances in accordance with the FCPF requirements for Stakeholder Engagement as outlined in Section V below.
12. The ESMF will be developed in a manner that is fully integrated with ongoing consultation processes in the REDD Country and will identify any additional consultations and field work needed. If a specific REDD+ investment in the future triggers the applicable safeguard, the Country is expected to implement the provisions of the corresponding chapter(s) of the ESMF. Consultations should extend from the national level to the lowest level (e.g., district) where site-specific project(s) and activity(-ies), if any, will be proposed, approved, and then implemented.

**Stakeholder Engagement in REDD+ Readiness**

1. REDD+ has the potential to deliver significant benefits to indigenous peoples and other forest-dependent communities, including the sustainable management of biodiversity, the provision of alternative livelihoods, equitable benefit sharing of revenues generated from emission reductions, etc. However, if not done appropriately, it also presents serious risks to livelihoods, security to land tenure, forest governance, culture, biodiversity, etc. For REDD+ programs to succeed in the long term, these risks have to be identified, reduced and mitigated, and stakeholders have to be involved at the formulation and implementation stages. Stakeholders are defined as those groups that have a stake/interest/right in the forest and those that will be affected either negatively or positively by REDD+ activities. They include relevant government agencies, formal and informal forest users, private sector entities, indigenous peoples and other forest-dependent communities.
2. The UN-REDD Programme Team and FCPF Facility Management Team have drafted guidelines applicable to the key elements of effective stakeholder engagement in the context of REDD+.[[18]](#footnote-18) As per Paragraph 3 above, under this Common Approach all DPs shall treat these guidelines as FCPF requirements. Furthermore, if the standard for stakeholder engagement applied by the DP is higher and/or protective than those of the WB, the DP shall apply its own standard to activities undertaken under the FCPF Readiness Fund.
3. The Stakeholder Guidelines outline principles for effective participation and consultation, operational guidelines, and practical “how-to” guidance on planning and implementing consultations and are underpinned by the following principles:
	1. Consultations should be premised on transparency and facilitate access to information;
	2. The consultation process should include a broad range of relevant stakeholders at the national and local levels;
	3. Consultations should start prior to the design phase, and be applied at every stage of the REDD+ process;
	4. Consultations should facilitate dialogue and exchange of information, and consensus building reflecting broad community support should emerge from consultation;
	5. Mechanisms for grievance, conflict resolution and redress must be established and accessible during the consultation process and throughout the readiness process and the implementation of REDD*+* policies and measures;
	6. The diversity of stakeholders needs to be recognized and the voices of vulnerable groups must be heard;
	7. Special emphasis should be given to the issues of land tenure, resource use rights, customary rights, and property rights; and
	8. 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.

**Disclosure of Information**

1. Access to information is particularly important in the case of REDD+ readiness, given the relative novelty of the agenda, the complexity of some of the issues, and the potential impacts of some of the decisions that have to be made. FCPF Readiness Fund activities should be undertaken based on adequate information, which requires timeliness, quality, format that is culturally-appropriate and publicity. Without such information, effective consultations cannot be conducted and the right decisions cannot be made.
2. For the Common Approach, all DPs shall comply with the FCPF Guidance on Disclosure of Information which is presented in Attachment 3. In addition, all of the information generated by FCPF grants, including information regarding social and environmental risks and safeguards that is not covered by one or more of the exceptions under the DP’s policy on access to information, or is not restricted from public access by the DP’s exercise of prerogative to restrict (i.e., there are exceptional circumstances and disclosure is likely to cause harm that outweighs the benefits of disclosure), shall be either routinely disclosed or made publicly available upon request. The FCPF routinely discloses a wide range of documents through its external website as soon as the documents are finalized after key process milestones.

Grievance and Accountability**[[19]](#footnote-19)**

33. The Guidelines on Stakeholder Engagement in REDD+ Readiness, which are annexed to the R-PP template, require REDD Country Participants to establish mechanisms for grievance and accountability, and to make them accessible during the consultation process and throughout the implementation of REDD*+* policies and measures. DPs shall assist REDD Country Participants to develop, utilize, and institutionalize effective in-country grievance and accountability mechanisms in accordance with the FCPF Guidelines for Establishing Grievance and Redress Mechanisms a the Country Level as set forth in Attachment 4.

34. Each DP shall have accountability measures available for FCPF Preparation Readiness grant agreements that are designed at a minimum to address breaches of the DP’s policies and procedures and are not intended to substitute for the country-level accountability, dispute resolution and redress mechanisms.

35. The DP shall make available on the FCPF website a list of the staff in charge of supporting or supervising each R-PP, or other contact information for responding to complaints regarding administration of the grant. These contact people or appropriate other DP staff shall be tasked with initially evaluating complaints, timely responding to them, and seeking their early resolution of complaints about safeguard issues related to implementation of the FCPF Readiness Preparation grant agreements.

36. For FCPF Readiness Preparation grant agreements, the DP shall have an accountability mechanism that is independent, transparent, effective, accessible to affected people, and available to respond to/address claims related to the Common Approach (“Accountability Mechanism”) or its implementation.  DPs that have such a mechanism will take the necessary measures, if any, to make it available with respect to the Common Approach and projects implemented under it. DPs that do not have such a mechanism available for FCPF Readiness Preparation grant agreements shall commit to provide one in the future, and report on the timetable and progress to the PC.  For those DPs that currently do not have such a mechanism available for FCPF Readiness Preparation grant agreements, while the Accountability Mechanism is being created, the DP shall have an independent safeguard expert or consultant available to receive and provide expert guidance on eligible complaints related to safeguards and the Common Approach. Notwithstanding, before engaging an independent consultant, the DP shall undertake appropriate efforts to resolve the complaint using any other existing instruments and mechanisms.

Abbreviations

|  |  |
| --- | --- |
| ARR | Annual Review Report (UNDP) |
| BP | Bank Procedure (WB) |
| DP | Delivery Partner |
| EEG | Environment and Energy Group (UNDP) |
| EIA | Environmental Impact Assessment |
| ERPA | Emission Reductions Payment Agreement |
| ESA | Environmental and Social Assessment (UNDP) |
| ESMF | Environmental and Social Management Framework |
| ESS | Environment and Social Strategy (IDB) |
| FCPF | Forest Carbon Partnership Facility |
| FMT | Facility Management Team |
| GRM | Grant Reporting and Monitoring (WB) |
| ICIM | Independent Consultation and Investigation Mechanism (IDB) |
| IDB | Inter-American Development Bank |
| ISDS | Integrated Safeguards Data Sheet (WB) |
| LEG | Legal department (IDB and WB) |
| OECD | Organization for Economic Cooperation and Development |
| OP | Operational Policy (WB) |
| ORAF | Operational Risk Assessment Framework (ORAF) |
| PC | Participants Committee |
| PD | Project Document (UNDP) |
| PCR | Project Completion Report (IDB) |
| PIC | Public Information Center (IDB) |
| PID | Project Information Document (WB) |
| PMR | Progress Monitoring Report (IDB) |
| POPP | Programming and Operations Policies and Procedures (UNDP) |
| PTL | Project Team Leader (IDB) |
| PP | Project Profile (IDB) |
| PR | Project Report (IDB) |
| REDD+ | Reducing Emissions from Deforestation, Forest Degradation, Conservation of Forest Carbon Stocks, Sustainable Management of Forest, and Enhancement of Forest Carbon Stocks |
| R-Package | Readiness Package |
| R-PIN | Readiness Preparation Idea Note |
| R-PP | Readiness Preparation Proposal |
| SEA | Strategic Environmental Assessment |
| SESA | Strategic Environmental and Social Assessment |
| TA | Transfer Agreement |
| TAP | (Ad hoc) Technical Advisory Panel  |
| TCA | Technical Cooperation Agreement (IDB) |
| TCP | Technical Cooperation Profile (IDB) |
| ToR | Terms of Reference |
| TTL | Task Team Leader (WB) |
| UNFCCC | United Nations Framework Convention on Climate Change |
| UNDP | United Nations Development Programme |
| WB | World Bank |

Crosswalk Table of Terminology Used by WB, IDB and UNDP

|  |  |  |
| --- | --- | --- |
| WB | IDB | UNDP |
| Audited Financial Report | Project Audit Financial Report (Audit of Executing Agency)Audited Financial Statements  | Certified Financial Statement |
| FCPF Readiness Preparation Grant Agreement | (FCPF Readiness Preparation) Technical Cooperation Agreement (TCA) | (FCPF Readiness Preparation) Project Document (PD) |
| Grant Reporting and Monitoring (GRM) report | Progress Monitoring Report (PMR) | Annual Review Report (ARR) |
| Integrated Safeguards Data Sheet (ISDS) | Technical Cooperation Profile (TCP) | Adapted Project Information Document (PID) or UN-REDD Submission Form *(to be determined, but will include all required information)* |
| Mission Aide Memoire | Back to Office report/Aide Memoire/Mission Report  | Mission Report |
| Operational Risk Assessment Framework (ORAF) | Risk Matrix | Risk and Issues Log |
| Project Information Document (PID) | Technical Cooperation Profile (PP)/Plan of Operations | Adapted PID or Adapted UN-REDD Submission Form *(to be determined)* |
| R-PP Formulation Grant Agreement ($200,000) | (R-PP Formulation) Technical Cooperation Agreement (TCA) | (R-PP Formulation) Project Document (PD) |
| Supervision | Supervision | Quality Assurance |
| Task Team Leader | Project Team Leader | UNDP Country Office, supported by Regional Technical Advisor |

**Attachments**

**Attachment 1: Guidelines and Generic Terms of Reference for SESAs and ESMFs**

See [separate document](http://www.forestcarbonpartnership.org/fcp/sites/forestcarbonpartnership.org/files/Documents/PDF/Jun2011/Attachment%201%20Guidelines%20and%20generic%20ToR%20for%20SESA%20and%20ESMF.pdf)

**Attachment 2: Guidelines for Stakeholder Engagement in REDD+ Readiness**

See [separate document](http://www.forestcarbonpartnership.org/fcp/sites/forestcarbonpartnership.org/files/Documents/PDF/May2011/FCPF%20UN-REDD%20Stakeholder%20Guidelines%2005-18-11.pdf)

**Attachment 3: Guidance on Disclosure of Information**

See [separate document](http://www.forestcarbonpartnership.org/fcp/sites/forestcarbonpartnership.org/files/Documents/PDF/Jun2011/Attachment%203%20Disclosure%20Guidance%20June_3_2011.pdf)

**Attachment 4: Guidelines for Establishing Grievance and Redress Mechanisms at the Country Level**

See [separate document](http://www.forestcarbonpartnership.org/fcp/sites/forestcarbonpartnership.org/files/Documents/PDF/Jun2011/Guidelines%20for%20grievance%20redress%20mechanism_05232011.pdf)

**FCPF Readiness Fund: Guidance on Disclosure of Information**

FCPF Readiness Fund activities must comply with disclosure requirements. In line with the WB’s policy on Access to Information, IDB’s Access to Information policy, UNDP’s Information Disclosure Policy, the following table summarizes additional guidance for disclosure of FCPF-related documents under the FCPF Readiness Fund:

| **Item to be disclosed** | **Party responsible for disclosure** | **Disclosure medium** | **Time of disclosure** |
| --- | --- | --- | --- |
| Draft R-PIN | Government | Paper or electronic distribution to relevant stakeholders | 14 days prior to relevant PC meeting  |
| TAP’s synthesis R-PIN review | FMT | FCPF website | 14 days prior to relevant PC meeting |
| R-PIN of selected country | FMT | FCPF website | Within 30 days after selection by PC |
| Conformed copy of signed R-PP Formulation and WB Readiness Preparation Grant Agreement, UNDP Project Document | Government | Government website or equivalent | 30 days after signature by Second Party to the Agreement (Trustee or Government)  |
| WB: LEGIDB: LEGUNDP:EEG | Links to Delivery Partner documents to be provided through FCPF website | 30 days after signature by Second Party to the agreement (DP or Government) |
| R-PP | Government | Paper or electronic distribution to relevant stakeholders | As soon as possible prior to or concurrent with submission to FMT |
| FMT | FCPF website | 14 days prior to relevant PC meeting |
| TAP’s synthesis R-PP review | FMT | FCPF website | 14 days prior to relevant PC meeting |
| Delivery Partner’s informal comments on R-PP | FMT | FCPF website | As available[[20]](#footnote-20)  |
| PC resolution on R-PP | FMT | FCPF website | 14 days after resolution by PC |
| Revised R-PP | FMT | FCPF website | 14 days after FMT finalizes completeness check  |
| Government | Paper or electronic distribution to relevant stakeholders | Concurrent with or as soon as possible after FMT posts revised R-PP |
| WB: PID and ISDSIDB: PP/Technical Cooperation (TC) Profile and ESSUNDP: Adapted PID or Adapted UN-REDD Submission Form (to be determined) | WB: TTLIDB: PTLUNDP: EEG | Links to Delivery Partner documents to be provided through FCPF website | Prior to signature of supplementary grant agreement; also disclosed when updated.  |
| Conformed copy of signed supplementary grant agreement | Government | Government website or equivalent | Within 30 days after signature of supplementary grant agreement by Second Party to the agreement (Government or DP) |
| WB: LEGIDB: LEGUNDP: EEG | Links to Delivery Partner documents to be provided through FCPF website | Within 30 days after signature of supplementary grant agreement by Second Party to the agreement (Government or DP) |
| R-PP Assessment Note minus deliberative elements (WB’s ORAF, IDB’s Risk Matrix, UNDP’s Risk and Issues Log) | FMT | FCPF website | 30 days after signature of supplementary grant agreement by Second Party to the agreement (Government or DP)  |
| ToRs for major studies undertaken for preparation of the Readiness Package | Government | Government website and local press | As early possible but at least 45 days prior to signature of relevant contract |
| DP’s report from country visit  | WB: TTLIDB: PTLUNDP: EEG | Links to DP documents to be provided through FCPF website | As available, subject to agreement between the national government and the DP |
| Progress report, including ToR for ESMF | Government | Paper or electronic distribution to relevant stakeholders | As soon as possible prior to or concurrent with submission to FMT |
| FMT | FCPF website | 14 days prior to relevant PC meeting |
| TAP’s synthesis progress report review, if applicable | FMT | FCPF website | 14 days prior to relevant PC meeting |
| Readiness Package, including ESMF | Government | Paper or electronic distribution to relevant stakeholders | As soon as possible prior to or concurrent with submission to FMT |
| FMT | FCPF website | 14 days prior to relevant PC meeting |
| TAP’s synthesis Readiness Package review  | FMT | FCPF website | 14 days prior to relevant PC meeting |
| PC resolution on Readiness Package | FMT | FCPF website | 14 days after resolution by PC |
| Audited/certified financial reports  | WB: TTLIDB: PTLUNDP: EEG | Links to Delivery Partner documents to be provided through FCPF website | As available |
| Periodic monitoring report(WB GRM reportIDB PMRUNDP ARR) | FMT | FCPF website | At least once per fiscal year, within 30 days after report becomes available  |
| Mid-term monitoring report(WB GRM reportIDB PMRUNDP ARR) | FMT | FCPF website | In line with the respective policy of each DP and before the relevant PC meeting |
| Completion report (WB final GRM reportIDB PCRUNDP final ARR) | FMT | FCPF website | 30 days after completion report becomes available, or before the relevant PC meeting, whichever comes first |
| Transfer Agreement between Trustee and Delivery Partner | FMT | FCPF website | Within 30 days after countersignature  |

1. REDD+ means reducing emissions from deforestation and forest degradation, sustainable management of forests, and conservation and enhancement of forest carbon stocks in developing countries. [↑](#footnote-ref-1)
2. For the UN-REDD Programme, these international instruments include: UN Declaration of the Rights of Indigenous Peoples (UNDRIP); UN Common Understanding on the Human Rights Based Approach to Development Cooperation; UN General Assembly Programme of Action for the Second International Decade of the World’s Indigenous People (UN General Assembly Resolution 60/142); General Recommendation XXIII on the Rights of Indigenous Peoples, the UN Committee on the Elimination of Racial Discrimination; UN Development Group’s Guidelines on Indigenous Peoples’ Issues; the International Labour Organization’s Convention 169 concerning Indigenous and Tribal Peoples in Independent Countries (1989); UN Framework Convention on Climate Change; UN Convention on Biological Diversity. [↑](#footnote-ref-2)
3. The UN Declaration on the Rights of Indigenous Peoples, adopted by the 61st session of the United Nations General Assembly on September 13, 2007, can be accessed at <http://www.un.org/esa/socdev/unpfii/en/declaration.html> [↑](#footnote-ref-3)
4. The objective of these policies is to prevent and mitigate undue harm to people and the natural environment in the development process, as well as to provide benefits to different stakeholder groups. The effectiveness and development impact of projects and programs supported by the Bank has substantially increased as a result of safeguards application. Moreover, safeguard policies have often provided a platform for the participation of stakeholders in project design, and have provided the means for building ownership among indigenous peoples and local communities. The World Bank safeguard policies include Environmental Assessment (OP 4.01), Natural Habitats (OP 4.04), Forests (OP 4.36), Pest Management (OP 4.09), Dam Safety (OP 4.37), Physical Cultural Resources (OP 4.11), Involuntary Resettlement (OP 4.12), Indigenous Peoples (OP 4.10), International Waterways (OP 7.50), and Disputed Areas (OP 7.60). Detailed information is available at [www.worldbank.org/safeguards](http://www.worldbank.org/safeguards). [↑](#footnote-ref-4)
5. The Common Approach is accessible at <http://www.forestcarbonpartnership.org/fcp/node/310>. [↑](#footnote-ref-5)
6. The R-PP template is available in English, French and Spanish at [www.forestcarbonpartnership.org](http://www.forestcarbonpartnership.org). [↑](#footnote-ref-6)
7. For more information on the structure of the UN-REDD Programme Policy Board, see the UN-REDD Programme Rules of Procedure and Operational Guidance at <http://www.un-redd.org/PolicyBoard/tabid/588/language/en-US/Default.aspx> [↑](#footnote-ref-7)
8. The World Bank also serves as a DP for the FCPF Readiness Fund. Unless otherwise stated, all references to DP in this document are intended to refer to the World Bank and the other DPs. [↑](#footnote-ref-8)
9. Paragraph 1(i) of PC/7/2010/4, notes that the PC’s selection of potential DPs was based on those entities that are either implementing entities or executing agencies under the Global Environment Facility (GEF) and either meet or will meet by 2012 the GEF Minimum Fiduciary Standards. [↑](#footnote-ref-9)
10. “Material elements” are those procedural and substantive elements of the World Bank’s environmental and social safeguard policies and procedures applicable to the FCPF Readiness Fund that will have a significant impact on the outcomes that are likely to be achieved through the application of WB environmental and social safeguard policies and procedures under the FCPF Readiness Fund. [↑](#footnote-ref-10)
11. DP’s use a variety of terms to refer to the legal instrument that channels FCPF Readiness Preparation funds to REDD Countries. For consistency, the remainder of the Common Approach will refer to this legal instrument as the “FCPF Readiness Preparation grant agreement”. See below for a crosswalk of the terminology used by WB, IDB and UNDP. [↑](#footnote-ref-11)
12. The R-Package is a package of activities which builds on the R-PP and is designed to support a REDD Country Participant’s capacity to participate in possible future systems of positive incentives for REDD+. [↑](#footnote-ref-12)
13. The R-PP Assessment Note can be accessed at: <http://www.forestcarbonpartnership.org/fcp/sites/forestcarbonpartnership.org/files/Documents/PDF/Jun2011/FCPF_R-PP_Assessment_Note_PCN_05-27-11.pdf>. [↑](#footnote-ref-13)
14. The WB safeguards can be accessed at <http://go.worldbank.org/WTA1ODE7T0>; the IDB safeguards are accessible at <http://www.iadb.org/index.cfm?lang=en>; the UNDP documents will be available at <http://www.unredd.net/index.php?option=com_docman&task=cat_view&gid=1030&Itemid=53>. [↑](#footnote-ref-14)
15. The WB’s OP4.01 version of February 2011 explicitly refers to SESAs and ESMFs (see [http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/EXTPOLICIES/EXTOPMANUAL/0,,contentMDK:20064724~menuPK:64701637~pagePK:64709096~piPK:64709108~theSitePK:502184,00.html](http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/EXTPOLICIES/EXTOPMANUAL/0%2C%2CcontentMDK%3A20064724~menuPK%3A64701637~pagePK%3A64709096~piPK%3A64709108~theSitePK%3A502184%2C00.html). IDB’s OP-703 applies to all types of operations and contemplates the use of SESA. UNDP’s draft environmental and screening and assessment procedure is not limited to investment projects and includes SESA/SEA for strategic and programmatic projects. [↑](#footnote-ref-15)
16. The SESA is in line with the guidance on strategic environmental assessment for development cooperation prepared by the OECD Development Assistance Committee in response to the call for harmonization of the Paris Declaration on Aid Effectiveness. See the 2005 Paris Declaration on Aid Effectiveness at <http://www.oecd.org/dataoecd/11/41/34428351.pdf>. Paragraph 41 includes the reference to the commitment of donors and partner countries to “develop and apply common approaches for “strategic environmental assessment” at the sector and national levels.” Also see the OECD Development Assistance Committee’s good practice guidance on Applying Strategic Environmental Assessment (SEA) at <http://www.oecd.org/dataoecd/4/21/37353858.pdf>. The SESA approach is also in line with the recommendation of the 2007 Mid-Term Review of WB’s Forest Strategy that strategic assessment ought to be used to mainstream safeguards into forest sector work. The WB’s Board of Executive Directors endorsed the SESA approach in March 2011. More information on SESAs is available at <http://go.worldbank.org/XIVZ1WF880>. Another useful resource is the WB’s Forests Sourcebook (2008), which delves into issues relevant to SESAs in the forest sector and is available at <http://worldbank.org/forestsourcebook>. To help draw attention to the use of SESA as an environmental assessment instrument used in the context of REDD+ readiness (or various strategic activities other than REDD+ readiness) and so as to better reflect internationally accepted practice, the WB has inserted explicit references to SESAs and ESMFs in its OP 4.01 on Environmental Assessment. IDB’s OP-703 Directive B.5 already provides for the use of SEAs (or SESAs) to integrate environmental and social consideration in decision-making and management of policies, plans and programs and its Environment and Safeguards Unit is in the process of developing specific guidance in this respect, based on the OECD approach. UNDP’s draft environmental and social assessment guidance also includes specific SEA guidance and is based on the OECD approach. [↑](#footnote-ref-16)
17. The SESA and ESMF are further described in Annexes C and D of the R-PP template. Version 5 of the R-PP template is available at [www.forestcarbonpartnership.org](http://www.forestcarbonpartnership.org/). [↑](#footnote-ref-17)
18. The draft FCFP/UN-REDD Guidelines on Stakeholder Engagement in REDD+ Readiness are available at: <http://www.forestcarbonpartnership.org/fcp/sites/forestcarbonpartnership.org/files/Documents/PDF/Nov2010/FCPF%20UN-REDD%20Stakeholder%20Guidelines%20Note%20Draft%2011-17-10.pdf> and presented in Attachment 2. [↑](#footnote-ref-18)
19. “Grievance mechanism” means the mechanism(s) established by the Country or by the DP in order to address grievances of people alleging an adverse effect related to the implementation of the readiness grant. “Accountability mechanism” means the independent mechanism established by the DP to address eligible claims that the DP’s alleged failure to comply with its policies and procedures or the Common Approach has been or is likely to be the direct cause of harm to the claimant(s). [↑](#footnote-ref-19)
20. This may be after PC Resolution on the R-PP. [↑](#footnote-ref-20)