



# Forest Carbon Partnership Facility

## 2. Readiness Package Assessment Framework

Fourteenth Meeting of the Participants Committee (PC14)

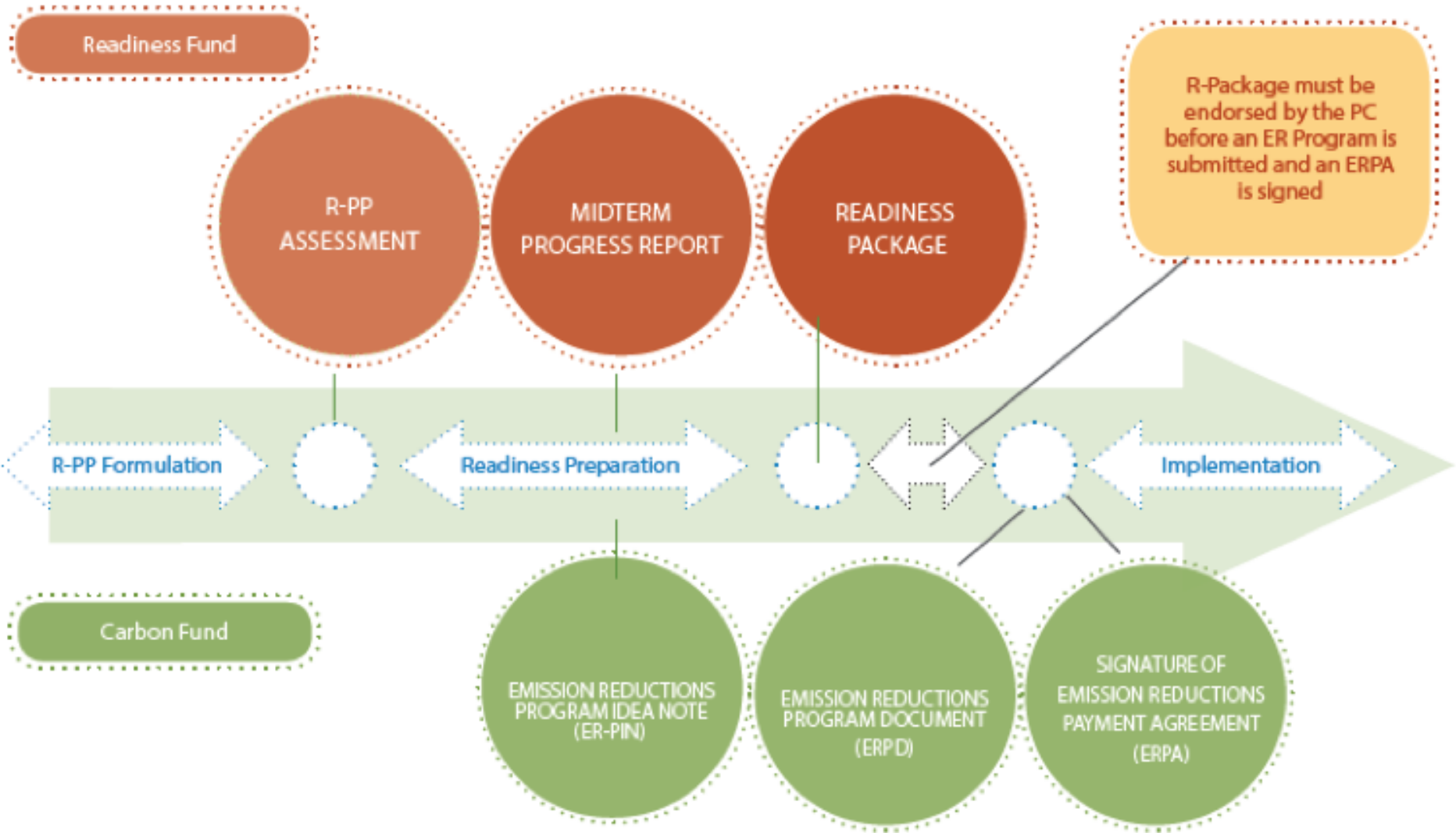
Washington, DC

March 18, 2013

# Session Objective

- Recall PC12 resolution on Readiness Package (R-Package)
- Present Key Features of Assessment Framework and Process
  - Detailed in FMT Note 2013-1
  - Provide examples
- Propose content for a resolution for PC's consideration
  - Based on FMT proposal (FMT Note 2013-1)
  - Draft resolution will be distributed in contact group at lunch

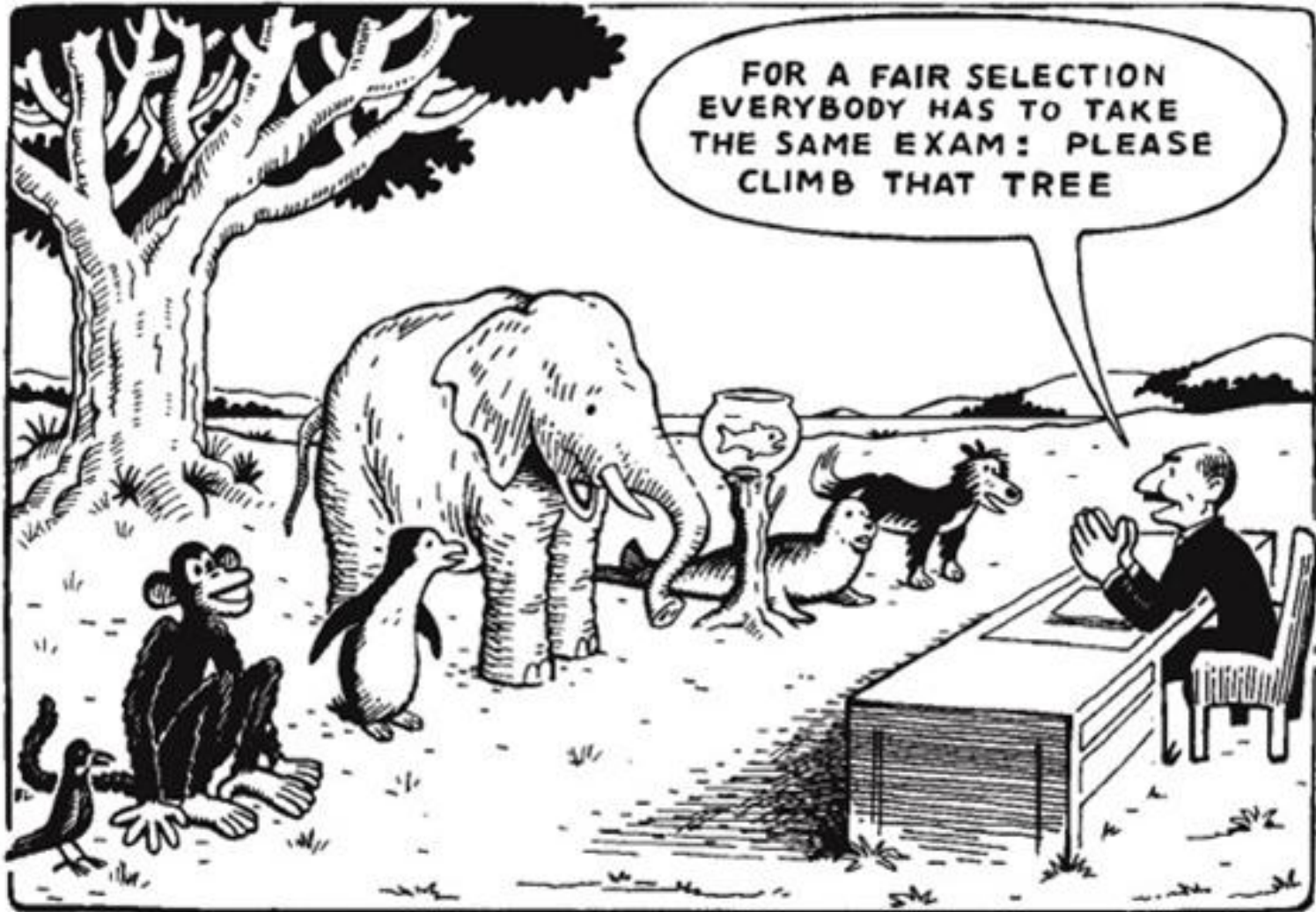
# R-Package: A REDD+ Readiness Milestone



# Evolution of the Assessment Framework

- Initial discussions at PC9 (Oslo) and PC10 (Berlin)
- FMT Note 2011-14 (Dec 2011)
  - Early FMT proposal based on R-PP review approach (standards-based)
  - Broad and diverging range of views from Participants and Observers
- FMT Note 2012-2 (Mar 2012) at PC11
  - PC guidance on general approach
- FMT Note 2012-6 (Jun 2012)
  - PC Resolution PC12/2012/1 defined (i) Purpose, (ii) Scope, (iii) Assessment Process
- FMT Note 2012-10 (Oct 2012)
  - Proposed draft readiness assessment approach and process
- FMT Note 2013-1 (Mar 2013)
  - Resolutions sought
  - Incorporates feedback from countries, TAP expert, Participants, Observers

# Where we started two years ago ...



# Resolution PC12/2012/1 on the Readiness Package

- Purpose
  - Assess progress on readiness preparation
  - Demonstrate commitment to REDD+
  - Generate feedback and guidance to countries
- Scope
  - All readiness preparation activities (9 subcomponents)
- Process
  - Two stage assessment followed by PC endorsement
    - (i) National multi-stakeholder self-assessment
    - (ii) PC assessment (with input from Technical Advisory Panel)

# The Scope of the R-Package at its Assessment

## 1. Readiness Organization and Consultation

- 1a. National REDD+ Management Arrangements
- 1b. Consultation, Participation, and Outreach

## 2. REDD+ Strategy Preparation

- 2a. Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance
- 2b. REDD+ Strategy Options
- 2c. Implementation Framework
- 2d. Social and Environmental Impacts

## 3. Reference Emissions Levels/Reference Levels

## 4. Monitoring Systems for Forests; Safeguards

- 4a. National Forest Monitoring System
- 4b. Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards



# A thorough self-examination



# Structure of the Assessment Framework

- For each R-Package subcomponent (9), the assessment framework provides
  - Rationale
    - Describes the role and function of subcomponent activities
  - Assessment criteria (34 total)
    - Capture core aspects related to each subcomponent
  - Diagnostic questions (58 total)
    - Capture desired outcome of readiness preparations activities
  - Guidance notes
    - Provide guidance, good practice examples, and references

# Assessment Criteria (1-18)

Component/Subcomponent	Assessment Criteria
<b>1. Readiness Organization and Consultation</b>	
1a. National REDD + Management Arrangements	<ol style="list-style-type: none"> <li>1. Accountability and transparency</li> <li>2. Operating mandate and budget</li> <li>3. Multi-sector coordination mechanisms and cross-sector collaboration</li> <li>4. Technical supervision capacity</li> <li>5. Funds management capacity</li> <li>6. Feedback and grievance redress mechanism</li> </ol>
1b. Consultation, Participation, and Outreach	<ol style="list-style-type: none"> <li>7. Participation and engagement of key stakeholders</li> <li>8. Consultation processes</li> <li>9. Information sharing and accessibility of information</li> <li>10. Implementation and public disclosure of consultation outcomes</li> </ol>
<b>2. REDD+ Strategy Preparation</b>	
2a. Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance	<ol style="list-style-type: none"> <li>11. Assessment and analysis</li> <li>12. Prioritization of direct and indirect drivers/barriers to forest enhancement</li> <li>13. Links between drivers/barriers and REDD+ activities</li> <li>14. Action plans to address natural resource rights, land tenure, governance</li> <li>15. Implications for forest law and policy</li> </ol>
2b. REDD+ Strategy Options	<ol style="list-style-type: none"> <li>16. Selection and prioritization of REDD+ strategy options</li> <li>17. Feasibility assessment</li> <li>18. Implications of strategy options on existing sectoral policies</li> </ol>

# Assessment Criteria (19-34)

Component/Subcomponent	Assessment Criteria
<b>2. REDD+ Strategy Preparation cont.</b>	
2c. Implementation Framework	19. Adoption and implementation of legislation/regulations 20. Guidelines for implementation 21. Benefits sharing mechanism 22. National REDD+ registry and system monitoring REDD+ activities
2d. Social and Environmental Impacts	23. Analysis of social and environmental safeguard issues 24. REDD+ strategy design with respect to impacts 25. Environmental and Social Management Framework
<b>3. Reference Emissions Level/ Reference Level</b>	26. Demonstration of methodology 27. Use of historical data, and adjusted for national circumstances 28. Technical feasibility of the methodological approach, and consistency with UNFCCC/IPCC guidance and guidelines
<b>4. Monitoring System for Forests and Safeguards</b>	
4a. National Forest Monitoring System	29. Documentation of monitoring approach 30. Demonstration of early system implementation 31. Institutional arrangements and capacities – Forests
4b. Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards	32. Identification of relevant non-carbon aspects and social and environmental issues 33. Monitoring, reporting and information sharing 34. Institutional arrangements and capacities – Multiple benefits and safeguards

## Example: Subcomponent 1b

# Consultation, Participation and Outreach

## *Assessment Criteria 7 and 8 and Respective Diagnostic Questions*

### 7. Participation and engagement of key stakeholders

- How is the full, effective and on-going participation of key stakeholders demonstrated through institutional mechanisms (including extra efforts to engage marginalized groups such as forest-dependent women, youth, Indigenous Peoples and local communities)?
- What are the participatory mechanisms being used to ensure that Indigenous Peoples and forest-dependent communities have the capacity to effectively participate in REDD+ readiness and implementation?

### 8. Consultation processes

- What evidence demonstrates that consultation processes at the national and local levels are clear, inclusive, transparent, and facilitate timely access to information in a culturally appropriate form?
- What evidence is there that the country has used a self-selection process to identify rights holders and stakeholders during consultations?
- What evidence is there that Indigenous Peoples institutions and decision-making processes are utilized to enhance consultations and engagement?
- What evidence is there that consultation processes are gender sensitive and inclusive?

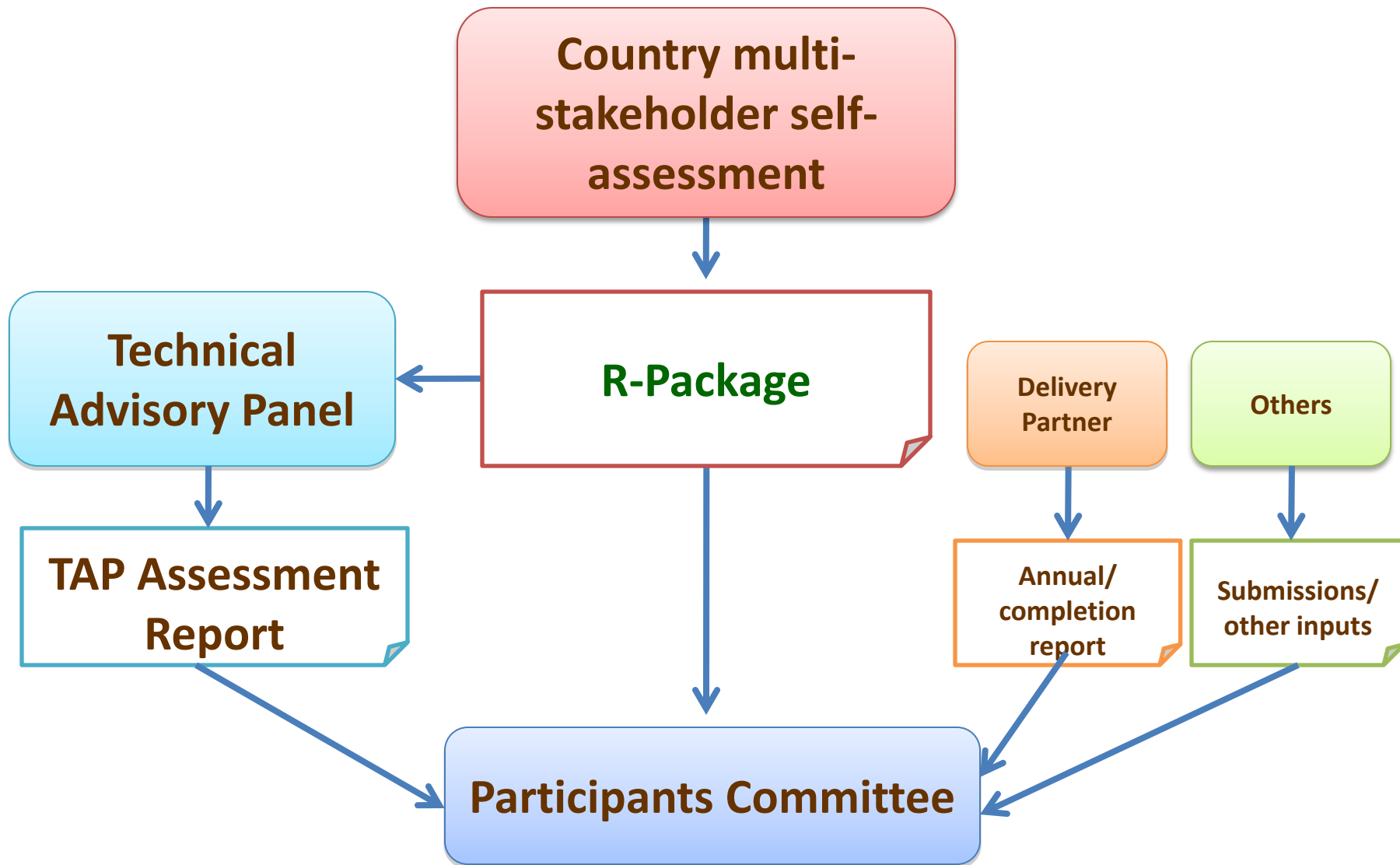
## Example: Subcomponent 1b

# Consultation, Participation and Outreach

## *Guidance Notes*

- Countries should provide information on how consultation, participation, and outreach have been conducted during the preparation phase and will continue in the future.
- Countries should draw upon the outcomes of dialogues with key stakeholders and the documentation produced during the readiness preparation phase, including the Consultation and Participation Plan (and various communication tools), SESA, and ESMF.
- Information should be consistent with relevant United Nations Framework Convention on Climate Change (UNFCCC) guidance on safeguards and applicable World Bank and/or other Delivery Partner safeguard policies as provided for under the Common Approach, including FCPF Guidelines and generic Terms of Reference for SESA and the associated ESMF, FCPF/UN-REDD Joint Guidelines on Stakeholder Engagement in REDD+ Readiness, and FCPF Guidelines on the Disclosure of Information.
- Countries should explicitly address identified stakeholders' concerns about potential social economic and environment risks and impacts, and expectations of potential delivery of benefits of proposed REDD+ activities.

# Overview of Assessment Process



# Assessment Process

## Stage 1: National Multi-Stakeholder Self-Assessment

- Participatory and inclusive
- Builds on practices established during readiness phase
  - e.g., Strategic Environmental and Social Assessment
- Can use other assessment frameworks
  - e.g., REDD+ soc. & env. standards
- FMT Note provides guidance on assessment preparation and implementation, and communication of its outcome
  - Based on good practice



# After Country Self-Assessment comes the Submission of the R-Package to the PC

- Summary of readiness preparation process
- Report of the multi-stakeholder self-assessment process
- Assessment results for each subcomponent
  - Progress indicators: synthesis of the overall achievement
  - Systematic analysis of strengths and weaknesses
  - Actions that address identified areas for further work
- References to key outputs of readiness preparation process
  - REDD+ Strategy
  - REL/RL, MRV technical report
  - Environmental and Social Management Framework
  - Feedback and Grievance Redress Mechanism, etc.

Green	'significant progress'
Yellow	'progressing well, further development required'
Orange	'further development required'
Red	'not yet demonstrating progress'

# Considerations on 'Traffic Light' Approach

- Assigning Progress Indicators ('Color Codes') by subcomponent
  - A simple communication device to convey overall results; consistent with TAP practice
  - Manageable, practical level of synthesis
  - Focuses the assessment
  - Is complemented by descriptions of achievements, gaps and actions going forward
- Different perception of progress (i.e. 'different colors' used by different groups)
  - May indicate lack of common understanding and points to possible improvements in stakeholder engagement
  - TAP assessment provides independent review and comparison across countries, which is useful to generate a constructive assessment



# Assessment Process

## Stage 2: PC Assessment

- Follow established practice whereby the TAP
  - Reviews a county's readiness progress
  - Considers comprehensiveness of the R-Package and overall quality of the multi-stakeholder assessment process
  - Documents its own independent assessment, provides feedback and proposes actions
- PC receives and considers
  - Country self-assessment and R-Package
  - TAP assessment
  - Reports from Delivery Partner



# Key Points to Remember

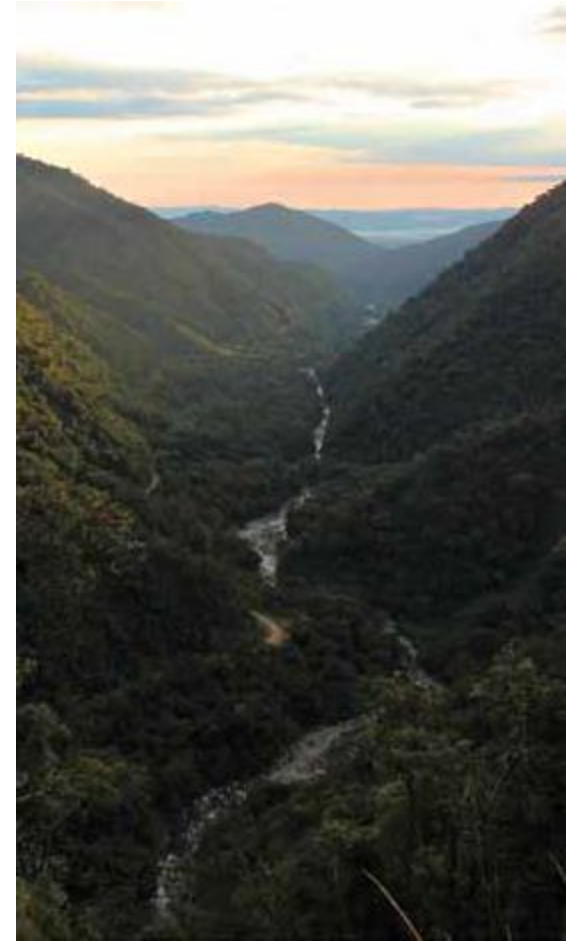
- **Assessment approach focuses on *relative* progress**
  - Accommodates different country circumstances
  - Can be applied at different stages of readiness preparation process
- **Readiness Assessment is best performed after mid-term**
  - When readiness preparations are well advanced and key outputs were generated. issues identified at mid-term were addressed; and
  - Progress on all nine subcomponents and 34 assessment criteria can be assessed
- **PC Endorsement (per FCPF Charter)**
  - PC will consider the R-Package with a view to adopting a resolution assessing the R-Package
  - The resolution provides recognition of the readiness progress achieved to date and lists the strengths and areas for improvement

# FMT Proposal for PC Resolution

- Recall Resolution PC/12/2012/1
  - Nine Subcomponents
  - Two-stage Assessment Process
    - Multi-stakeholder self-assessment performed by country
    - PC assessment with input from TAP and Delivery Partner
- Adopt Assessment Framework
  - Nine subcomponents and 34 assessment criteria
  - Urge countries to
    - Apply the assessment framework, including diagnostic questions
    - Follow guidance and process described in FMT Note 2013-1
- Framework may be amended, as necessary
  - Guidance and diagnostic questions may be improved based on emerging good practice and experiences from framework's application

# Proposed Next Steps and Actions

- PC14 to consider and adopt R-  
Package Assessment Framework
- Develop a R-Package Knowledge  
Management Product
  - Promote/facilitate countries'  
understanding of the R-Package
  - Support countries using the  
assessment framework and  
develop lessons learned
- Make further refinements to  
Assessment Framework as  
required





THANK YOU!

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