



Forest Carbon Partnership Facility

Readiness Package (R-Package) Assessment Process

Eighteenth Meeting of the Participants Committee (PC18)

Arusha, Tanzania

October 31- November 4, 2014

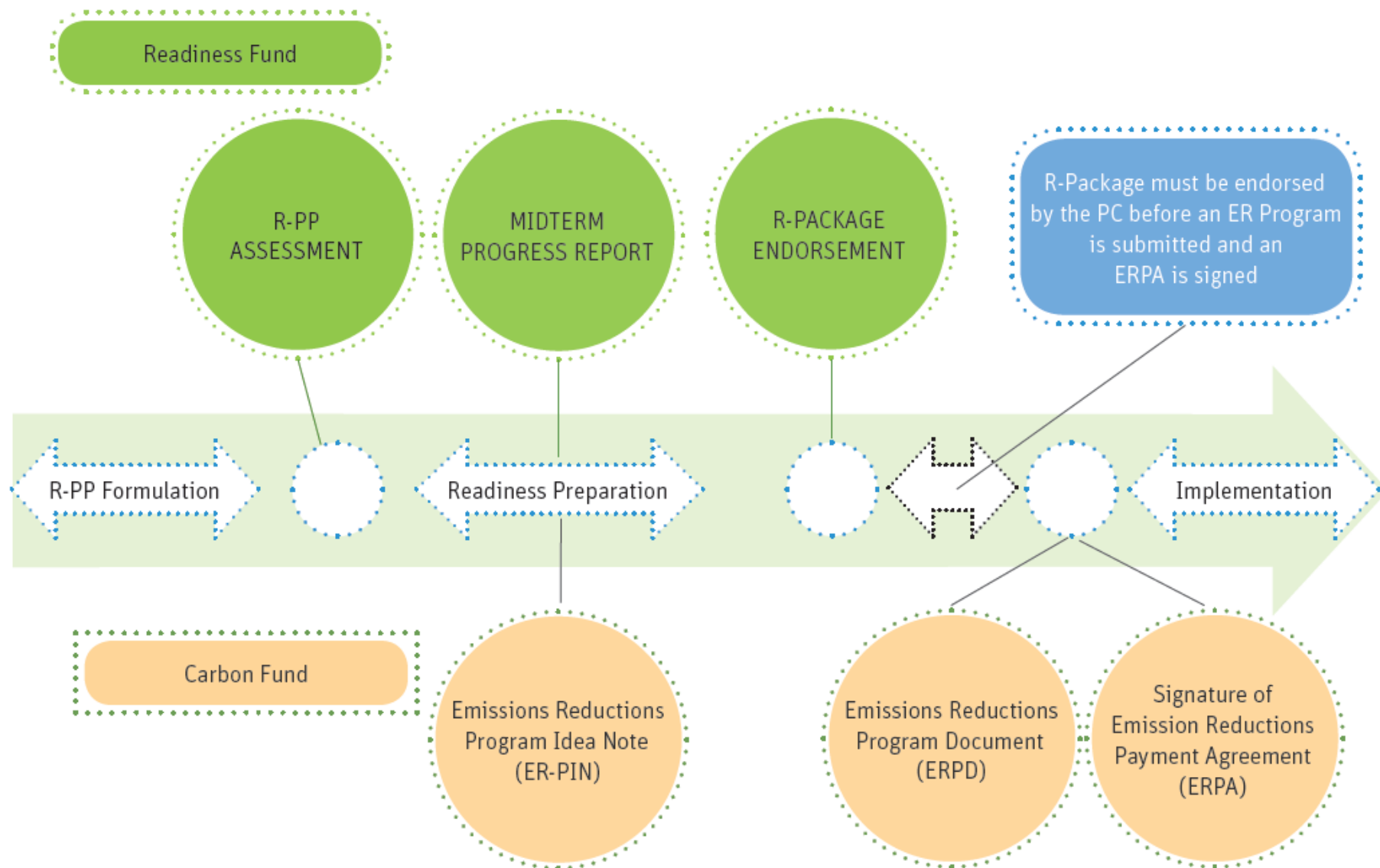
Session Objectives

Picking up from decision adopting Readiness Assessment Framework (Resolution PC/14/2013/1, March 2013)

1. Provide a recap of the Readiness Assessment Framework and Assessment Process
2. Seek PC feedback on aspects of the PC review process in light of expected submissions in 2015 (no formal decision required)



Readiness Assessment: Milestones in FCPF Readiness and Carbon Fund processes



Readiness Assessment Framework serves multiple purposes

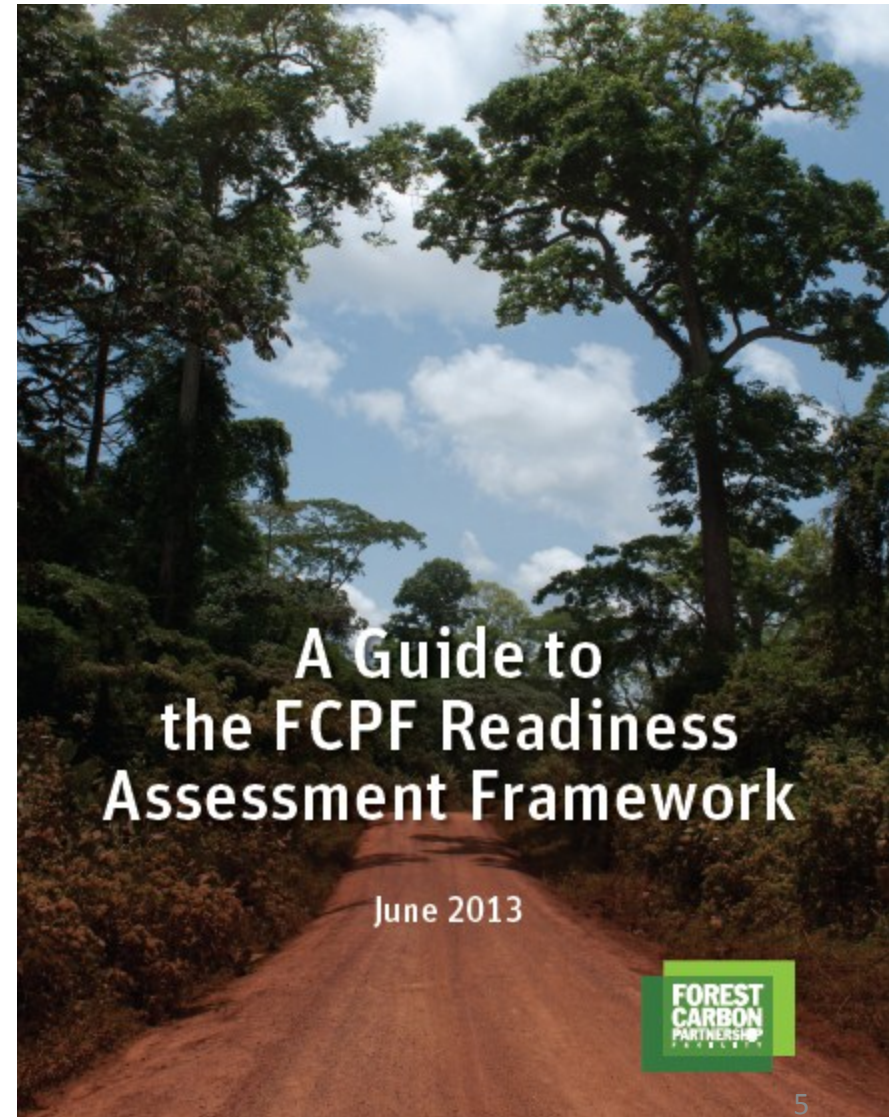
It provides a country with the opportunity to:

- Assess **progress** on readiness preparation
- **Demonstrate** national **commitment** to REDD+
- Receive valuable **feedback** and **technical guidance**
- Participate in the **Carbon Fund** (eligibility requirement)
- **Focus** readiness preparation activities going forward
- Display **transparency** in readiness preparations
- **Assure stakeholders** that potential social and environmental risks are being addressed
- Receive international **recognition** for early REDD+ activities
- Potentially **attract additional funds** from external sources for further work or scaling up activities



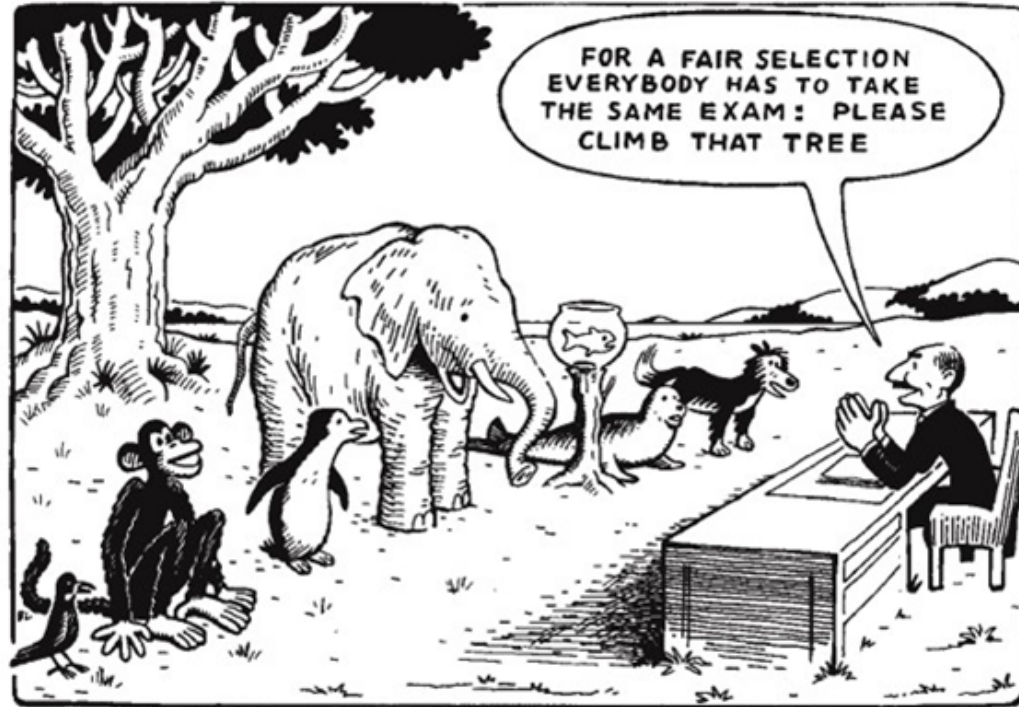
Readiness Assessment Framework

- The Readiness Assessment Framework was adopted by the FCPF Participants Committee at its 14th meeting
 - Resolution PC/14/2013/1
 - FMT Note 2013-1 rev 1
- A guidance document is available on the [FCPF website](#)



Readiness Assessment Framework is designed to measure *relative* progress

- Provides a common framework to consider a country's progress on core readiness activities
 - Not an absolute standard for readiness
 - Pace of progress varies from country to country
 - Many aspects of readiness will remain ongoing
 - Includes all readiness preparation activities (irrespective of funding source)



Countries report progress on same Readiness components over time



- REDD countries have used the framework to **gauge** readiness progress at mid-term, help **focus** readiness implementation; and as a **management** tool (Indonesia, Ghana, DRC, Nepal, Costa Rica)
- The R-Package can be flexible and respond to lessons from the MTR
- At the global level, monitoring for the FCPF is aligned with key components and progress indicators
- Going forward, framework could improve bi-annual reporting by REDD Countries, and national monitoring and evaluation

Four Readiness Components (9 subcomponents)

1. Readiness Organization and Consultation
2. REDD+ Strategy Preparation
3. Reference Levels
4. Monitoring Systems for Forests, and Safeguards

Structure of the Assessment Framework

For each subcomponent (9), the assessment framework provides

- **Rationale**

- Describes the role and function of subcomponent activities

- **Assessment criteria (34)**

- Capture core aspects related to each subcomponent

- **Diagnostic questions (58)**

- Capture desired outcome of readiness preparations activities

- **Guidance notes**

- Provide guidance, good practice examples, and references

Component/Subcomponent	Assessment Criteria
1. Readiness Organization and Consultation	
1a. National REDD + Management Arrangements	1. Accountability and transparency 2. Operating mandate and budget 3. Multi-sector coordination mechanisms and cross-sector collaboration 4. Technical supervision capacity 5. Funds management capacity 6. Feedback and grievance redress mechanism
1b. Consultation, Participation, and Outreach	7. Participation and engagement of key stakeholders 8. Consultation processes 9. Information sharing and accessibility of information 10. Implementation and public disclosure of consultation outcomes
2. REDD+ Strategy Preparation	
2a. Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance	11. Assessment and analysis 12. Prioritization of direct and indirect drivers/barriers to forest enhancement 13. Links between drivers/barriers and REDD+ activities 14. Action plans to address natural resource rights, land tenure, governance 15. Implications for forest law and policy
2b. REDD+ Strategy Options	16. Selection and prioritization of REDD+ strategy options 17. Feasibility assessment 18. Implications of strategy options on existing sectoral policies

REDD Countries lead the Assessment Process

- Participatory and inclusive
- Builds on practices established during readiness phase
 - e.g., Strategic Environmental and Social Assessment
- FMT guidance document includes good practice on assessment preparation, implementation, and communication of its outcome



Important steps for REDD Countries Performing a Self-Assessment

- Identify assessment **organizer, facilitator and/or sponsor**
- Develop a clear **schedule** and **budget**
- Ensure meaningful **stakeholder consultation and engagement**
 - Assessment can be conducted in **different ways** i.e., national multi-stakeholder workshops, regional or issue-specific, etc.
 - May need to **adapt** the assessment framework and process to country context (translation, country-specific terms, additional components such as independent review)
- **Synthesize, validate and disseminate** inputs, outputs and outcomes



REDD Countries compile the R-Package and report results of the self-assessment

- Summary of readiness preparation process
- Report on the multi-stakeholder self-assessment
- 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



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

- References to key products

- REDD+ Strategy
- REL/RL, MRV technical report
- Environmental and Social Management Framework
- Feedback and Grievance Redress Mechanism, etc.

➤ *World Bank/Delivery Partner reviews quality of outputs as part of grant implementation supervision*

PC Reviews the R-Package

- A Technical Advisory Panels (TAP) may be tasked to provide an independent review and provide constructive feedback
- PC receives
 - Countries' R-Package, including self-assessment
 - TAP review
 - Reports from Delivery Partner
 - Input from others (e.g., Observers)
- PC considers inputs with a view to adopting a resolution endorsing the R-Package
 - Recognition of the readiness progress achieved to date, strengths, areas for improvement



The Readiness Assessment comes before final decisions on REDD+ Programs under the Carbon Fund

- The R-Package review informs the development and assessment of REDD+ Programs under the FCPF Carbon Fund
 - Vice versa: the preparation of an Emission Reduction Program for the Carbon Fund provides focus for national readiness preparation activities
- All core components of readiness preparation are reviewed again for Carbon Fund emission reduction programs, with more focus on detailed implementation, including
 - Safeguards
 - Benefit sharing arrangements
 - Reference levels and forest monitoring (consistency of program RL with national RL)
- The Carbon Fund Methodological Framework and program documents for emission reduction programs (ER-PD) align with core components of Readiness Assessment Framework



Key Messages

- The R-Package endorsement by the PC is one of several requirements for the **Carbon Fund**
 - R-Package is voluntary for the Readiness Fund
 - ER Programs are comprehensively assessed by the World Bank, TAP, Carbon Fund Participants
 - Carbon Fund has adopted a Methodological Framework that stipulates technical, programmatic and safeguard requirements
- It is a **Framework** not a ‘**cook book**’
 - The assessment framework and process is flexible and can be tailored to country-specific context (e.g., use existing consultation arrangements)
 - Consistent with UNFCCC and Warsaw REDD Framework
 - More guidance can be provided later as lessons are learned from applying the framework more broadly
- R-Packages will vary by country as they reflect different country-led processes, government priorities and timelines
 - Readiness funding is directed accordingly

FMT Recommendations (1): TAP role

- A small and focused TAP process is adequate considering that
 - R-Package and associated products are comprehensively reviewed by national governments, multiple stakeholders, and the Delivery Partner
 - REDD countries progressing to Carbon Fund will undergo a detailed assessment by the World Bank, TAP, Carbon Fund Participants
 - Many REDD countries include provision for their own independently commissioned assessments
- In light of expected R-Package submission in 2015 the FMT recommends to hire a small TAP (1-2 experts) to
 - Perform an independent desk review of countries' progress (guided by the Assessment Framework for consistency across countries)
 - Provide targeted feedback, highlight strengths and weaknesses in subcomponents, and propose actions going forward

FMT Recommendations (2): Submission Deadlines

- R-Packages to be submitted to FMT 8 weeks prior to PC meeting
 - For PC19 this could be as early as March 2015
 - A comprehensive and inclusive country-led process may take 3-5 months
- FCPF completeness check: 1 week
 - Check for completeness of documentation
- TAP review: 3 weeks
 - Desk based (on basis of submitted and public information)
- Posting on FCPF website: 4 weeks prior to PC meeting
 - Includes complete R-Package with country self-assessment and TAP review, along with annual/completion report from Delivery Partner

Thank you.



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