

Document of
The World Bank

READINESS PREPARATION PROPOSAL ASSESSMENT NOTE

ON A

PROPOSED GRANT

IN THE AMOUNT 3.8 MILLION

TO THE

DOMINICAN REPUBLIC

FOR

FOREST CARBON PARTNERSHIP FACILITY
REDD+ READINESS PREPARATION SUPPORT PROJECT (P151752)

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DATA SHEET

*Dominican Republic
FCPF REDD+ Readiness Preparation Support Project*

Readiness Preparation Proposal (R-PP) Assessment Note

Latin America and the Caribbean Region

Basic Information			
Date: May 28, 2015		Sectors:	Forestry
Country Director:	Sophie Sirtaine	Themes:	Climate Change (81)
Practice Manager:	Emilia Battaglini	EA Category:	B
Senior Global Practice Director:	Paula Caballero		
Lending Instrument:	Carbon Offset/TF Grant		
Team Leader(s):	Gerardo Segura Warnholtz		
Date of country selection into FCPF: December 15, 2013			
Date of Participation Agreement signed by Country: June 24, 2014			
Date of Participation Agreement signed by Bank: February 6, 2014			
Date of R-PP Formulation Grant Agreement signature: N/A			
Expected date of Readiness Preparation Grant Agreement signature: July 31, 2015			
Joint IFC: N/A			
Project Implementation Period:	Start Date: August 31, 2015.	End Date: July 31, 2018.	
Project Financing Data			
<input type="checkbox"/> Loan	<input checked="" type="checkbox"/> Grant	<input type="checkbox"/> Other	
<input type="checkbox"/> Credit	<input type="checkbox"/> Guarantee		
For Loans/Credits/Others (US\$M):			
Total Project Cost :		Total Bank Financing :	US\$3.8 million
Total Co-financing : N/A		Financing Gap : N/A	
Financing Source	Amount		
BORROWER/RECIPIENT: Government of the Dominican Republic			
IBRD			
IDA			
FCPF:	US\$3,800,000.00		
Financing Gap	N/A		
Total	US\$3,800,000.00		

Regional FCPF Trust Fund Number:		TF017761		
FCPF Country Child Trust Fund Number:		TF017758		
Recipient: Government of the Dominican Republic				
Responsible Agency: Ministro del Ministerio de Medio Ambiente y Recursos Naturales				
Contact: Dr. Bautista Rojas Gómez		Title: Minister		
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Responsible Agency: Ministro del Ministerio de Medio Ambiente y Recursos Naturales				
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Institutional Data				
Practice Area / Cross Cutting Solution Area				
Cross Cutting Areas				
<input checked="" type="checkbox"/> Climate Change <input type="checkbox"/> Fragile, Conflict & Violence <input type="checkbox"/> Gender <input type="checkbox"/> Jobs <input type="checkbox"/> Public Private Partnership				
Sectors / Climate Change				
Sector (Maximum 5 and total % must equal 100)				
Major Sector	Sector	%	Adaptation Co-benefits %	Mitigation Co-benefits %
Forestry		100	50%	50%
Total		100		
<input type="checkbox"/> I certify that there is no Adaptation and Mitigation Climate Change Co-benefits information applicable to this project.				
Green House Gas Accounting:				
Is GHG accounting applicable for your project?		Yes		
Themes				
Theme (Maximum 5 and total % must be equal to 100%)				
Major theme	Theme	%		
Forestry	Climate Change	100		
Total		100		

Private Capital Mobilized

N/A

Gender Tag

Does the activity plan to undertake any of the following? **Please select Yes or No for each:**

Gender analysis and/or consultation on gender related issues. Yes.

Specific actions to address the distinct needs of women and girls, or men and boys, or positive impacts on gender gaps. Yes.

Mechanisms to facilitate monitoring and/or evaluation of gender impacts. Yes.

Clearances to the Readiness Preparation Proposal Assessment Note

Global Practice Manager: Emilia Battaglini, Date: **June 04, 2015**

Regional Safeguards Advisor: Glenn Morgan, Date: **XXX**

Safeguards Specialists (Environment and Social): Dora P. Andrade (Env) and Kimberly Vilar (Soc), Date: **June 04, 2015**.

Procurement Specialist: Catherine Abreu, Date: **June 04, 2015**

Financial Management Specialist: Maritza Rodríguez, Date: **June 04, 2015**

PURPOSE OF THE READINESS PREPARATION PROPOSAL ASSESSMENT NOTE

As part of its responsibilities for the FCPF, the World Bank has been asked to ensure that the FCPF's activities comply with the relevant World Bank Operational Policies and Procedures, in particular the Safeguard Policies, and the policies on Procurement and Financial Management.

The World Bank has also been asked to assist REDD Country Participants to formulate and implement their Readiness Preparation Proposals (R-PPs).

The purpose of this Readiness Preparation Proposal Assessment Note (R-PP Assessment Note), therefore, is for the World Bank to assess if and how the proposed REDD+ Readiness Support Activity, as presented in the R-PP, complies with Safeguard Policies, and the World Bank's policies on Procurement and Financial Management, discuss the technical quality of the R-PP, record the assistance it has provided to the REDD Country Participant in the formulation of its R-PP, and describe the assistance it might potentially provide to the REDD Country Participant in the implementation of its R-PP.

ABBREVIATIONS AND ACRONYMS

CCAD	Central American Committee on the Environment and Development
CO ₂ e	Carbon dioxide equivalent
CPS	Country Partnership Strategy
DECCC	Economic Development Plan Compatible with Climate Change
END	National Development Strategy
ENREDD+	National REDD+ strategy
EOP	End of project
ESMF	Environmental and Social Management Framework
FCPF	Forest Carbon Partnership Facility
FMT	Facility Management Team
FONDOMARENA	National Fund for the Environment and Natural Resources
GDP	Gross domestic product
GIZ	German Agency for International Cooperation
GNI	Gross National Income
GoDR	Government of the Dominican Republic
GRM	Grievance redress mechanism
IAF	Integrated Assessment Framework
IBRD	International Bank for Reconstruction and Development
ICT	Information and communication technology
IDA	International Development Association
LULUCF	Land use, land use change and forestry
MERN	Ministry of Environment and Natural Resources (<i>Ministerio de Medio Ambiente y Recursos Naturales</i>)
MDB	Roundtable for Dialogue on Forests
MRV	Measurement, reporting and verification
Mt	Megaton (million metric tonnes)

NFMS	National Forest and Safeguards Monitoring System
NGO	Non-governmental organization
PC	Participants Committee
PDO	Project Development Objective
PSA	Payment for Ecosystem Services
REDD+	Reducing Emissions from Deforestation and [forest] Degradation
REL/RL	Reference emissions level/reference level
R-PIN	Readiness Preparation Idea Note
R-PP	Readiness Preparation Proposal
SESA	Strategic Environmental and Social Assessment
SFM	Sustainable forest management
SICA	Central American Integration System
SORT	Systematic Operations Risk-Rating Tool
UNFCCC	United Nations Framework Convention on Climate Change
WBS	World Bank System

DOMINICAN REPUBLIC

Forest Carbon Partnership Facility, REDD+ Readiness Preparation Support Project (P151752)

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DOMINICAN REPUBLIC

Forest Carbon Partnership Facility REDD+ Readiness Preparation Support Project (P151752)

1. Introduction and Context

A. Country Context

1. The Dominican Republic (DR) has been one of the fastest growing economies of the region for the past two decades increasing national wealth and diversifying employment opportunities with a GDP growth averaging around 5.5 percent annually between 1991 and 2013. Despite this performance, poverty is higher today than in 2000. Poverty rose from 32 percent in 2000 to almost 50 percent in 2004 following the 2003 financial and economic crisis, before gradually declining to 41.1 percent in 2013. Strong macroeconomic foundations and mining exports and telecommunications services, helped the country rebound from the global market downturn of 2008. However, these sectors tend to generate fewer jobs and have eclipsed job-intensive ones such as manufacturing. Since 2000, a large share of the jobs created has been in low-skilled industries in the informal sector. As a result of the 2003 crisis and the slower growth of the textile industry, real wages have declined by 27 percent since 2000, even as labor productivity rose.

2. According to indicators of World Bank's Doing Business 2014, the DR ranked 117th out of 189 countries in terms of business environment. The country faces a series of challenges including access to and reliability of electric power service, ease of starting a business and declaring bankruptcy, property registration, and access to building permits. The government has prioritized improvement in these areas and is pursuing reforms in the sectors of education, labor, energy, and fiscal, by building inter-sectoral pacts, with education already agreed, and other reforms currently under discussion.

3. GDP of the country is forecasted to be 4.9 percent in 2015; and 4.7 percent in 2016 and 2017. Despite historical and expected growth, a large gap still remains in the distribution of wealth. In 2012 the country had a GINI index of 46. Service delivery coverage of water to rural population was 77% in 2012 but overall access to basic public services remains unequal and of low quality, particularly for people living in poverty in rural areas.

4. In terms of population growth, the Dominican Republic has seen its population increase from 3 million in 1960 to 9.2 million in 2011. With an annual growth rate of 1.4%, it could reach 11 million by 2020. Additionally, an unknown number of Haitian immigrants enter the country each year.

5. The DR is closely tied to the United States, its largest trading partner by far and home to a major diaspora. Remittances from US Dominicans account for up to 10% of national income. Its Gross National Income per capita in 2013 was calculated at US\$ 5,770 and the life expectancy at birth was 73 years by 2012.

B. Sectoral and Institutional Context

Environmental Sustainability and Climate Change Policies

6. Institutional reform in the DR began in the 1990s as part of a transition to a more democratic government. Civil society made noteworthy improvements in terms of the level of participation in government activities and decision-making. One of its achievements was the inclusion of citizen participation in a number of laws established during this time period. Of relevance are: the *General Law on Environment and Natural Resources*, **Law 64-00** (*Ley 64-00*) and the *National Development Strategy* (END), or Law 01-12 (*Ley 01-12*). Continued emphasis on the need for civil society's participation in the definition of public policy led a Constitutional reform opening participation platforms and channels in various sectors and levels of government.

7. The DR's *National Development Strategy* (END) 2010-2030 establishes four strategic pillars and governs all development programs in the country for the given time frame. The fourth pillar is the sustainable management of the environment and the implementation of appropriate measures for adaptation to climate change under the END. Article 15 of the END establishes that social participation should be promoted during the design, implementation, auditing and evaluation of public policies through the creation of platforms and institutional mechanisms that facilitate civil responsibility, gender equality, access to information, transparency, accountability, social oversight and the fluidity of state-society relations. The objectives of a strategy to reduce green-house gas emissions from deforestation and forest degradation (**REDD+**) and its readiness process to be financed under this grant fall naturally under this pillar of the END, both from the environmental sustainability and the social inclusiveness standpoints.

8. The environmental sector in the DR has a relatively recent history, mainly initiated with reforms during the 1990's, when the Ministry of Environment and Natural Resources (*Ministerio de Medio Ambiente y Recursos Naturales*) (**MENR**) was created, and Law 64-00 was passed. Among other elements, this Law assigns MENR the mandate to coordinate, and develop a multi-sectoral, strategic national territorial zoning and land use planning process that incorporates critical environmental variables, including climate change adaptation and mitigation elements. MENR is also mandated to warrant a broad and inclusive participation, and access to information by civil society in the development and implementation of such plans, as well as other sectoral policies and programs on sustainable management and conservation of natural resources and biodiversity. In accordance with Law 64-00, MENR has created the Department of Public Participation (*Dirección de Participación Pública*), currently overseeing the establishment of Provincial Councils on Environment (*Consejos Ambientales Provinciales*). These participatory platforms facilitate and encourage public dialogue and awareness on environmental and natural resources management issues at different territorial scales. It is in this context that a National Strategy to Reduce Emissions from Deforestation and Forest Degradation (**ENA- REDD+**) is being discussed and would be designed with the support of this grant.

9. MENR is also implementing a Payment and Compensations for Ecosystem Services (PES) program aiming at both conservation of natural resources and alleviation of rural poverty. The program promotes initiatives in a variety of landscapes and with different stakeholders, encouraging strategic alliances among them. The pilot project of this program has been

successful in showing that payments from a nearby hydropower company can be channeled to those landholders that protect the forest upstream of the *Yaque del Norte* watershed. With support from the GIZ it is expected that the area where this PES project is implemented will also be used as a pilot for carbon payments. A critical landmark for the Law of Payments for Ecosystem Services (*Ley de Pagos por Servicios Ambientales*) was its approval on April 7th 2015 by the lower chamber (*Camara de Diputados*) of the DR. The final step will be the endorsement by the executive branch. It is important to mention that the Law sets the ground for carbon payments to take place but further works during the regulation needs to be done in the specifics of the benefit sharing scheme and monitoring. Other national legal efforts aimed at conserving the natural resources and responding to climate change include the Sectoral Law on Protected Areas (Law 202-04), the *National Policy on Climate Change* (2012), the *National Climate Change Strategy* (2003), the National *Quisqueya Verde* Reforestation Plan (2005), and an update on the National Climate Change Strategy (2011).

The Forest Sector

10. The DR has a total area of 48,198 km², of which approximately 40% (19,130 km²) is covered by forests. The country has an extensive system of Protected Areas, comprised of 123 Areas that cover more than 25% of the national territory.

11. At the start of the 19th century 85% of the DR was covered with forests. By 1971, this area had dropped to 22%, largely as a result of conversion of forests to agriculture and pasture lands during the 20th century. During this period, a number of legal and institutional reforms were introduced to stimulate agricultural and livestock expansion, unintentionally at the detriment of forests. During the Trujillo era, between 1930 and 1961, there was a total ban on cutting forests in the DR. Cutting a tree was paid with the full force of law. These measures were assimilated by the general public and influenced a generation of forest administrators and regulators, which later influenced the recovery of the forest cover. In the early 2000, measures permitting some uses of the forest were allowed with forest cover continuing to grow up to these days, and now reaching close to 40%.

12. The more recent increase in forest cover of the last decade has been also associated to ongoing reforestation programs, such as the *Programa Quisqueya Verde*, which has an annual target of 54 thousand hectares. Another factor helping to maintain and recover forests has been the shift in consumption from wood charcoal for cooking stoves to the use of natural gas in rural areas, mainly during the 80's and 90's, - a period where close to 90% of rural households converted from charcoal to natural gas-. A more in depth review and analysis of the dynamics and underlying drivers of this positive gain in forest cover, however, is still needed. Given the high relevance of this topic to the design of REDD+ strategies, the grant has earmarked funds to conduct studies to learn from past experiences, and identify ways to continue to support and expand the policies and programs used to expand forest cover and reduce land use change.

13. Despite the increase in forest cover, deforestation and ecosystem degradation still persist in many areas. According to the Economic Development Plan Compatible with Climate Change (*Plan de desarrollo económico compatible con el cambio climático*) (DECCC) produced by

the National Council on Climate Change and the Clean Development Mechanism, the latest deforestation rate was estimated at 6,200 ha/year for 2010. The majority of deforestation (60%) continues to be caused by the expansion of agriculture and livestock in hot spots that have been pre-identified mainly in protected areas in the borders with Haiti. Other direct causes of deforestation/degradation include illegal logging, unsustainable cattle grazing, natural disasters, forest fires, and infrastructure projects for mining, energy and tourism. The main underlying causes of deforestation and forest degradation include population growth, poverty and social inequality, and unsustainable agriculture and rural development programs. The regions most affected by deforestation and ecosystem degradation are the south side of *Cordillera Central*, the highest mountain range in the country; *Sierra de Neyba*; and along the country's border with Haiti. In these regions, forests are being threatened by extensive slash and burn agriculture, intensification of unsustainable agricultural production, and the absence of land conservation practices.

14. Four additional factors have been identified as affecting stakeholder behavior regarding land use change (Geilfus 2002): (i) high opportunity cost to maintain forest cover; (ii) insecurity of forest tenure and use rights, which induce open access behaviors in detriment of natural resources¹; (iii) perverse incentives associated to subsidies for agricultural crops and agrochemicals; and iv) lack of adequate legal and institutional frameworks, and limited capacity of government agencies to ensure and enforce sustainable forest management and conservation practices.

15. A diverse group of forest sector stakeholders have established a platform to review and discuss political, legal and socioeconomic issues through the Roundtable for Dialogue on Forests (*Mesa de Diálogo sobre Bosques*, MDB). Representatives to the MDB include the private sector, NGOs, government (national and subnational), and academic institutions. The MDB has been an important forum for the early dialogue, dissemination and discussion of the DR's REDD+ Readiness Preparation Proposal (R-PP). Additionally, the MDB is credited with preparing and submitting a draft of a new Forest Law to the executive branch of the government.

16. The draft of the new Forest Law focuses on creating effective provisions to protect, conserve and restore forest ecosystems using appropriate guidelines and incentives. Specifically, the Law would reduce deforestation/degradation and increase forest cover by slowing unsustainable agricultural expansion; promote reforestation, restoration and conservation of ecosystem services and biodiversity; and forester commercial forestry. The law would also promote participatory and inclusive processes for sustainable forest management (SMF), forest protection from fire and pests, and control of illegal logging. It would create economic and fiscal incentives for 20-year periods to land owners interested in investing in plantations and commercial forest management based on principles of sustainability and efficiency. Incentives would be granted in the form of Negotiable Certificates of Tax Remuneration (*Certificado de*

¹ Land tenure and how this affects conservation and maintenance of forests was a recurrent concern from stakeholders throughout the consultations for the Readiness Preparation Proposal development phase. GIZ with its REDD+ CCAD program has been actively engaged in studies analyzing land-tenure and its effects on forests. The government is still working on a national plan for territorial ordering whereby areas suitable for agriculture, forestry, conservation and urbanization among others will be declared. The lack of territorial ordering at this moment fuels conflicting decisions of the best use of land, certainly with some areas unsuitable for agriculture being used that render low productivity gains.

Retribución Fiscal Negociable, CRFN). The Forestry Law would be complementary to the PES Law. For instance, landholders to be paid for the ecosystem services they provide could also access incentives for reforestation and SFM, which are considered in the Forestry Law. The PES Law covers broader ecosystem services at the landscape level.

The Dominican Republic's involvement in REDD+ and the Forest Carbon Partnership Facility (FCPF)

17. The Bank has been assisting the DR's REDD+ process since July 2013, when the country started formulating their *Readiness Preparation Proposal* (R-PP) under the Forest Carbon Partnership Facility (**FCPF**). Among other elements, this document contains: (i) a preliminary assessment of the drivers of deforestation and forest degradation; (ii) reasoning and actions related to strategic REDD+ options; (iii) a preliminary methodology to define its emissions reference level based on past emission rates and future emissions estimates; (iv) a Monitoring, Reporting and Verification (**MRV**) system for REDD+; (v) actions for integrating environmental and social considerations into the REDD+ Readiness process; (vi) a National REDD+ Strategy (**ENA-REDD+**); and (vii) the proposed institutional arrangements for a REDD+ regime.

18. The Participants Committee (PC) of the FCPF issued a resolution at its 16th meeting in December 2013 to provide access to the DR to a \$3.8 M grant to move ahead with REDD+ readiness. To assist in the REDD+ readiness process, the Bank signed a Country Participation Agreement with the DR in June 24, 2014. A revised version of the R-PP was finally submitted to the FCPF addressing comments and suggestions after which a "*completeness check*" was issued by the FCPF in November 2014 (for a more detailed background on REDD+ and the FCPF's policies and procedures see Annex XI. The approved R-PP document is included in Annex VIII).

19. The proposed grant would support the DR's sectoral policies and programs though the development of REED+ actions, which are conducive to the adoption of land use practices improve resilience to climate change, and mitigate greenhouse emission. As line Ministry, MENR, within the framework of the National Development Strategy, will propose options to address, not only drivers of deforestation and forest degradation, but the underlying causes that limit restoration efforts in critical rural landscapes with severe loss of biodiversity, and soil cover and fertility. An indicative list of strategic options for an ENA-REDD+ has been elaborated in the R-PP (see Annex X) and will serve as the basis for further dialogue on REDD+ options. The final selection of strategic options and the eventual formulation of the ENA- REDD+ will require further analytical work, consensus building, prioritization and operationalization during the Grant implementation period.

C. Relationship to CAS/CPS

20. The Project is aligned with the World Bank Group Country Partnership Strategy (CPS) FY2015-2018 for the DR (Report 89551-DO), discussed by the Executive Directors in September 2014, which supports the country's development priorities as established in the National Development Strategy 2010-2030. The WBG's overall strategic goal is to provide

support to the Government's efforts to achieve sustainable and more inclusive growth. Bank support is focused around five strategic result areas: i) improving the investment climate and fostering private sector development; ii) improving access to efficient and reliable electricity networks, ICT and other infrastructure; iii) supporting the government in building resilience to external shocks; iv) promoting equitable, efficient, transparent and sustainable management of public resources; and v) strengthening social services delivery. The objectives of the proposed FCPF project are closely aligned specifically with the third and fourth results area (supporting the government in building resilience to external shocks, and promoting equitable, efficient, transparent and sustainable management of public resources), which is consistent with the DR's development goals of sustainably managing the environment and adapting to climate change.

21. Given the country's geographic location, Bank support to the DR has included, and continues to include, knowledge and convening services related to disaster risk management planning. The CPS recognizes that the country's high vulnerability to economic and climate related shock is a limiting factor of progress towards shared prosperity. The proposed FCPF project would aim to contribute support to decrease vulnerability to climate change through its technical, analytical and financial assistance.

2. Proposed PDO/Results

A. Proposed Development Objective

22. The Project Development Objective (PDO) is to support key efforts by the Dominican Republic to prepare a national REDD+ readiness strategy.

B. Key Results

23. The PDO will be accomplished by financing targeted activities to design and implement policies and programs to reduce emissions from deforestation/degradation, which contemplate a full and meaningful engagement with potentially impacted stakeholders. The main results expected at project closure are presented below. A *Results Framework and Monitoring* strategy containing outcome and output indicators by component and project calendar is also included in Annex IV.

- a) A cross-sectoral government coordination body (*Comité Directivo*) and a multi-stakeholder participatory platform (*Comité Técnico Asesor*) for REDD+ have been established and are under regular operation;
- b) A national consultation and participation strategy, including a gender mainstreaming strategy, has been designed and is under operation;
- c) A citizen feedback mechanism, also known as a *Grievance Redress Mechanism*, for REDD+ has been designed and is under operation;
- d) A National REDD+ Strategy (ENA- REDD+) has been designed with the support of a broad stakeholder participation;

- e) A *Strategic Environmental and Social Assessment (SESA)* has been carried out, and informed the preparation of an *Environmental and Social Management Framework (ESMF)*, as the country's main safeguards instrument;
- f) The capacity and progress to establish a National Forest Reference Emission Level and/or a Forest Reference Level has been improved;
- g) The capacity and progress to develop a *National Forest Monitoring System (NFMS)* for the Measurement, Reporting, and Verification (MRV) of Green House Gases (GHG) emissions reductions and non-carbon impacts from REDD+ activities has been improved.

24. These results encompass the main elements needed by the DR to develop the country's "Readiness Package" (R-Package)² under the FCPF, and provide the foundation for the country's participation in any future REDD+ mechanism under the United Nations Framework Convention on Climate Change 3 (UNFCCC) that the DR may consider.

3. Project Context

A. Concept

1. Description

25. The Readiness Preparation Proposal (R-PP)⁴ of the DR identifies a broad set of activities aimed at strengthening the technical and institutional capacities for the Government to participate in a future REDD+ mechanism. The financial envelope for these activities is estimated at US\$5.077 million. The activities to be financed by the FCPF Preparation Grant were selected jointly with the *Ministry of Environment and Natural Resources (MENR)*, and in coordination with other donors, considering the following criteria: (i) activities needed to strengthen the immediate institutional capacity of MENR to conduct participatory and consultation processes for REDD+; (ii) fundamental readiness activities for which the GoDR had specific financial needs, not covered by other sources of funding; (iii) a discrete set of activities that would generate a specific outcome (with no- or minimal parallel-financing that could jeopardize the achievement of the project objective); and (iv) activities that complemented those of other sources of funding and the government, and that could serve to strengthen the achievement of the project objective.

26. The FCPF implementation grant contemplates the following five component (a detailed description of activities under each component is included in **Annex III**):

² The Readiness Package is a document generated by a REDD+ country towards the end of the Readiness preparation phase under the FCPF (i.e., at a stage when activities proposed in the R-PP are well advanced or completed). Its content thus mirrors the R-PP components and sub-components. The R-Package is a major milestone and comes at the transition from REDD+ Readiness preparation to REDD+ piloting (i.e., the implementation of performance-based activities), and provides an opportunity to self-assess the progress on REDD+ Readiness. As per the FCPF's Charter, the production of an R-Package and its submission for PC review is voluntary and not a reporting requirement under the FCPF Readiness Fund.

³ See Cancun Agreements, UNFCCC Decision 1/CP.16 Section C and Appendix I to that Decision.

⁴ The R-PP submitted by the GoDR is included in Annex VIII and can also be found at: <http://www.cedaf.org.do/REDD>

Component 1: REDD+ Readiness Organization and Consultation (US\$708,000.00). This component will assist MENR to: (i) establish and operate a multi-sector, multi-stakeholder consultative platform for climate change and REDD+; (ii) design and operate a national communications and dissemination strategy for REDD+; and (iii) design and implement a consultation and participation strategy for REDD+ that includes a citizen feedback mechanism (i.e. *Grievance Redress Mechanism*; GRM).

Component 2: National REDD+ Strategy (ENA- REDD+) (US\$1,180,000.00). This component will assist MENR to: (i) identify and analyze the main direct and indirect cause of deforestation and degradation; (ii) identify effective REDD+ strategy options; (iii) design a implementation framework for REDD+; and (iv) assess possible social/environmental impacts associated to the REDD+ strategic options (i.e. SESA) and develop risk management instruments (e.g. ESMF).

Component 3: National Forest Reference/Emission Level (US\$320,000.00). This component will assist MENR to identify a national Reference Emissions Level, and/or Reference Level (REL/RL) for the forest sector.

Component 4: National Forest and Safeguards Monitoring Systems (NFMS) (US\$1,150,000.00). This component will assist MENR and other government agencies to design and operate: (i) a national forest monitoring systems; and (ii) a national information system for multiple benefits, other impacts, safeguards and governance.

Component 5. Monitoring and Evaluation Framework and Grant Administration (US\$442,000.00). To establish and operate a technical/administrative implementation unit in MENR to be in charge of coordinating and executing the technical and fiduciary activities of the readiness phase, including a monitoring and evaluation framework for the Preparation Grant and other REDD+ readiness institutional efforts.

2. Overall Risk and Explanation ⁵

27. The overall risk rating for the project is **Substantial**. The REDD+ Readiness process presents a substantial level of risk, as it depends on several measures that need to be improved in the medium and long term, including institutional arrangement for MENR and a broad number of public institutions, as well as private, and social organizations (including forest dependent communities and other vulnerable groups with weak participation platforms), to jointly work on the REDD+ processes in the country. In addition to the challenges regarding the prerequisites for ensuring a broad and informed participation of the many stakeholders, the REDD+ process will also require developing a stronger institutional capacity. A successful REDD+ mechanism involves important changes to the existing institutional and policy frameworks and addressing sensitive issues such as forest tenure and carbon rights and revenue distribution across government levels. In addition, the program has high international visibility due to the high

⁵ <http://intresources.worldbank.org/INTOPCS/Resources/380831-1405609276340/SORTGuidanceNote.pdf>

stakes of REDD+ for various stakeholders (including vulnerable forest-dependent communities). Therefore, legitimate and effective stakeholder involvement, and technically sound policies and programs oriented to improve the livelihoods of local communities will be critical during preparation phase. See the Systematic Operations Risk Rating Tool (SORT) in Annex I for further details.

B. Implementing Agency Assessment

28. The MENR is the country's leading sectoral agency on environmental and climate change policy. The Ministry has experience with different types of consultation processes for its various policy instruments, and has a successful record of implementing environmental programs financed by different donors. Particularly MENR has not implemented a World Bank-financed project in the recent past and would need to develop capacities to apply environmental and social safeguards, and comply with fiduciary arrangements. The national REDD+ Readiness Process will be led by MENR, in close coordination with the authorities of the main public institutions related to the process (e.g. Ministry of Agriculture and Ministry of Economy, Planning and Development). MENR will also lead the work of the technical aspects of the REDD+ readiness preparation phase. In this sense, MENR's leading role at both policy and technical levels will be key for the success and progress of the initiative towards developing the ENA-REDD+.

29. Given the cross-sector and countrywide nature of REDD+ -as well as other climate change issues- the application of safeguard policies and the structuring of a truly inclusive and participatory national dialogue to build the ENA-REDD+, will also pose a significant challenge to the institutional and technical capacity of MENR. The recent R-PP formulation phase helped MENR organize its vision for REDD+ and start building the mechanisms for the preparation phase. The Bank team has been assisting MENR to establish the required platforms for early dialogue and training on REDD+, design a methodology to engage stakeholders for the SESA process, and initiate inter-institutional coordination at different levels. The FCPF Preparation grant will support the establishment of a technical/fiduciary implementation unit (UTG-REDD+) under MENR's Vice-ministry of Environmental Affairs, and the Directorate of Climate Change. This unit would also report to the Directive Committee for REDD+ (CD-REDD+), to be chaired by MERN and integrated by the ministries of agriculture, economy, planning and development. The implementation of the REDD+ initiative would also benefit from, and contribute to enhance MENR's national institutional capacity in other aspects of their climate change agenda (e.g. adaptation and mitigation), along with other donors that are currently supporting the DR in these areas.

C. Project Stakeholder Assessment

30. Broad identification of stakeholders at the national, regional and local levels, as well as their roles is critical for understanding the social context for which forests resources are owned, managed, and valued. It is equally important to differentiate the various roles within each stakeholder group in order to understand their specific involvement in the overall REDD+

process. In this context, MENR has initially identified stakeholders at the national and local levels, including representatives from: (i) national-level line ministries; (ii) governmental, semi-autonomous agencies and institutes focused on natural resource management, statistics, gender and other related areas; (iii) private sector organizations dedicated to, inter alia, agriculture, forestry, coffee production, cacao production, livestock production; (iv) small-scale producers living/producing in precarious and/or vulnerable conditions; (v) academic organizations, including universities and research institutes; and (vi) national-level, non-profit organizations, faith-based organization and community organizations.

31. The DR has put in place a multi-stakeholder REDD+ participation platform that has started a political and technical dialogue on REDD+ at the national level. This has been strengthened through the creation of an inter-institutional governmental REDD+ committee. After the National SESA Workshop, MENR prioritized in their SESA Work plan the need to carry out subsequent consultations at the local level to boost the participation of the abovementioned private sector associations in the decision-making process, especially small-scale producers with multidimensional vulnerabilities into the discussion, including individuals and communities living and working along the international border with Haiti.

4. Proposed Team Composition and Resources, including Technical Assistance Provided by Bank Staff to Date

32. The Bank has provided specific technical assistance to the DR's REDD+ process based on the Government's needs. Support has focused on technical aspects for the formulation of their R-PP, including the participation processes to establish an early multi-stakeholder dialogue on REDD+ and SESA. The Bank's assistance has mainly focused on carbon finance, forestry and forest carbon, institutional arrangements, social development and early dialogue on climate change and REDD+.

33. To proceed with the formalization of the US\$3.8M Preparation grant, a multidisciplinary Bank team began its due diligence process and assessment of the Government's REDD+ preparation in July 2014. Two Due Diligence missions to the DR in November 2014 and March 2015 to assess the institutional capacity of MENR to implement R-PP activities including: institutional arrangements for REDD+, communications, consultation and early dialogue and, stakeholders engagement, safeguards –including the need to develop a SESA, which will eventually culminate with the drafting of an ESMF-, strategic REDD+ options, reference levels for forests and carbon emissions, and monitoring, reporting and verification. During these missions Bank staff met with the most relevant government and civil society organizations and stakeholders, both in Santo Domingo and locally during fieldtrips. Main stakeholders included MERN and MENR's REDD+ Technical Committee, Ministry of Economy, Planning and Development; Ministry of Agriculture; Ministry of Tourism; National Fund for the Environment and Natural Resources; visit to PES Project “*Yaque del Norte*”; representatives from the private and academic sectors; NGO's; and the Roundtable on Forest [*Mesa Nacional de Diálogo sobre Bosques*]. In early March 2015, the Bank team also assisted in the preparation and participated in the first National SESA Workshop.

34. The team will continue to support MENR during the readiness preparation phase to develop the country's National REDD+ Strategy (ENAREDD+). The expected budget for the Bank support and technical assistance would be approximately US\$50,000.00 per year, over a three-year period of implementation, including approximately US\$30,000.00 for variable expenses (i.e. consultants, and mission travel). The preparation schedule and resources, including the team composition are included in Annex II.

5. Assessment Summary

A. Technical

35. The Task Team reviewed the various versions of the R-PP and related documentation (see Annex VIII) and feels that DR is prepared to advance through the Readiness Preparation phase. Overall, the country has identified the critical issues relevant to REDD+ and has developed adequate processes to address them during preparation. The R-PP contains the key elements required for a future REDD+ mechanism as defined by the COP16 in December 2010. After a slow start, the Government has made a commendable effort to take into account and incorporate the views of key stakeholders and their systematic inclusion in the process of preparing the ENA-REDD+ (see annex IX). A stakeholder analysis, early dialogue actions, and the proposed consultation-participation arrangements and strategy are reflected in Component 1 (b), (c) and 2 (d) of the R-PP (Annex VIII), and in the SESA Work plan (see Annex XII). Additional relevant issues identified by the team during the due diligence process are discussed below. Considerations to address these issues have been factored in the project design and its components.

36. *Engagement with forest dependent communities.* The team noticed a relatively limited and individualized participation of the private sector -especially small-scale producers and forest dependent communities- in the early dialogue conducted by MENR on the REDD+ readiness process. Whether due to a lack of appropriate consultation-participation platforms, or other logistic challenges to reach rural communities in inaccessible or remote areas, some local stakeholders could be at risk of being excluded or have limited involvement in the development of REDD+ strategies. In recognition to these limitations, MENR is considering a targeted and budgeted strategy to develop a comprehensive consultation/participation strategy that will include elements to engage remote, or under-represented, forest-dependent communities and other small-scale rural stakeholders. Also considered under the SESA work plan, this inclusive approach will be designed following appropriate cultural principles related to gender dynamics, consultation practices and livelihoods. This engagement will also be documented through an improved stakeholder mapping of local stakeholder organizations, to be financed by the grant.

37. *Inclusion and Participation of vulnerable forest communities.* The Dominican Republic's legal framework on human rights and participation is broadly inclusive and designed to prevent any form of discrimination or exclusion. This framework applies to individuals with, or without, legal status, and warranties, in a comprehensive way, the fundamental rights of all people, including vulnerable communities living in forested areas and depending on forest resources for their livelihoods. In this same context, the Dominican Republic has the legal and institutional instruments to ensure participation, in any governmental initiative, of forest

dependent individuals or groups, without distinction of race, ethnicity, religion or migratory status.

38. The REDD+ preparation activities financed under this grant will be conducted according to the referred legal framework. As mentioned before, these will include, among others, the assessment of direct and underlying causes of deforestation and forest degradation, and the identification and design of a national REDD+ strategy. Activities will be conducted in an inclusive and participatory manner, taking into consideration the conditions and needs of all forest dependent and vulnerable communities; including those of individuals, groups or communities from Haitian origin. As needed, existing or new participatory and consultation platforms will be established to ensure involvement of all forest dependent stakeholders.

39. ***Land and Forest Tenure issues:*** One of the key findings of the Bank team's due diligence missions to the DR were unresolved questions with respect to land tenure. *De iure*, the laws of the DR recognize individual land ownership. However, the factual situation on the ground seems less clear as the majority of small farmers in rural areas do not have secure legal title to the lands they have at times been occupying and cultivating for decades. Approximately fifty percent of the land in the DR is publicly owned but more often than not at least partially privately occupied. The Bank team recognizes the ongoing efforts made by the government of the DR to regularize the land tenure situation in rural areas and work around it through flexible new mechanisms such as payment for environmental services (PES)⁶, but also acknowledges that more needs to be done given that still no more than an estimated forty percent of the rural population has secure legal title to the land they hold and cultivate.

40. While land tenure regularization is beyond the scope of activities financed out of the proposed grant, the implications are nonetheless significant and range from direct impacts (e.g. link between lack of land tenure security and deforestation and forest degradation) to more indirect, but no less important effects (e.g. impact of lack of land tenure security on carbon rights and fair and equitable distribution of future benefits to forest dependent communities) and therefore need to be taken into account. Additional studies financed out of Grant proceeds will analyze existing PES piloting schemes to explore options to make use of the more flexible arrangements thereunder for possible future payments for emission reductions under the Carbon Fund of the FCPF. In addition, Grant funding will be used to study the legal situation of carbon ownership (see also paragraph 44 below) in the DR. In the event that carbon rights will be equated to land ownership, further studies on benefit-sharing mechanisms would be warranted to ensure that future payments for emission reductions would not only benefit land owners but also include other land holders without any formally recognized ownership rights in order to ensure a fair and equitable distribution of potential future carbon payments.

⁶ Law 64-00 (General Law of Environment and Natural Resources) introduces the possibility of PES in the DR and Law 202-04 (Protected Areas) recognizes the existence of PES. The regulatory framework has yet to be finalized and the exact legal contours of PES in the DR are still unknown. It is important, however, to highlight the existence of PES piloting schemes which seek to be as inclusive as possible and allow for payments to land holders who do not necessarily need to be able to demonstrate formal legal title to their land in order to participate in the PES. Analyzing such PES pilots could yield valuable information for a future benefit-sharing mechanism under the Carbon Fund of the FCPF.

41. **National Forest Reference Emission Level/Reference Level (REL/RL) and Monitoring System (NFMS).** The task team has had satisfactory technical discussions with MENR on the development of the National REL/RL and NFMS during several missions. With the crucial support of GIZ, MENR has built up a solid understanding of its strengths and weaknesses with respect to these issues, as well as the opportunities that arise through the process of REDD+ preparation. The R-PP shows a good level of familiarity with relevant UNFCCC guidelines and IPCC Good Practice Guidance, and the right institutions have been identified and involved so far. As part of the R-PP formulation, a preliminary institutional structure has been established (National Forest Monitoring Commission) that will be consolidated during the preparation phase. FCPF resources will be critical in complementing and providing continuity to the support received by the GIZ so far. A key deliverable in this respect will be the provision of technical support in order for the country to submit a FREL/FRL to the UNFCCC. In summary, the approach seems reasonable, is consistent with UNFCCC guidelines and the R-PP outlines the necessary analytical work.

42. Dominican Republic will use a combination of remote sensing and ground-based forest carbon inventory approaches to establish a multi-purpose NFMS for REDD+, in line with UNFCCC guidelines. The country does not yet have a fully developed National Forest Inventory (NFI) in place, but so far GIZ has provided crucial support in preparing a solid methodological design, sampling and stratification for the NFI. Complementing this work by supporting the necessary field work will be a key deliverable under the FCPF grant. Importantly, a dedicated unit within the Forest Resources Vice-Ministry of MERN has been assigned with this task, created through Ministerial Decree (No. 20/2012). The task team has noticed with satisfaction the efforts of MENR to coordinate this task. Given Dominican Republic's approach to REDD+, the NFMS will be adapted to reflect the country's strong emphasis on increasing its forest cover through its renowned reforestation efforts (e.g. *Quisqueya Verde*). In parallel, the Dominican Republic will also develop a series of complementary monitoring systems that will allow the country to assess a variety of environmental and socioeconomic co-benefits (as well as potential negative impacts) expected to be generated through the implementation of the ENA-REDD+.

43. **Carbon Ownership.** Like most other FCPF participant countries, the Dominican Republic does not have specific legislation or jurisprudence on carbon rights. The question of carbon ownership is especially acute in a country like the Dominican Republic where, as outlined *supra*, the vast majority of forest dependent communities do not own the land on which they depend. Therefore, the issue of a fair and equitable distribution of potential future carbon revenues arises with greater urgency in the context of the Dominican Republic compared to countries where *campesino* and indigenous communities have collective titles to their lands. MENR is exploring different options to ensure a fair distribution of benefits, including to individuals and communities that do not enjoy any property rights and have expressed interest in receiving technical assistance from the Bank in this matter.

44. **Benefit-sharing Arrangements.** As of now, the GoDR has not yet developed explicit benefit-sharing arrangements for REDD+. The Protected Areas Law, however, contemplates the development of management plans that allow for different forms of joint management of these areas. This and other formal or informal granting of forest usufruct rights to local communities

could serve as a potential starting point for a future REDD+ regime. In addition efforts will be dedicated to identify benefit-sharing arrangements for REDD+ under Component 2 of the Grant.

B. Financial Management

45. The Bank carried out a financial management assessment and concluded that the MENR has adequate FM capacity to carry out the FM tasks envisaged under this US\$3.8 Million Project to be implemented over a 3-year period. Details of other FM considerations, including flow of funds, are discussed in Annex VII.

46. MENR, an entity mapped to the Central Government is subject to entity's external scrutiny via public audit performed by the Chamber of Accounts. The Chamber of Accounts have issued qualified (not clean) opinion audit reports corresponding to FY2008-2010, due to identified weaknesses in the entity's internal controls, which are mostly resolved and closed. The entity has in place and properly running, the country FM information system (SIGEF); in addition, to follow Bank preferred approach of using country systems whenever feasible, the entity will implement the country system for Projects with external financing (UEPEX, the DR FM IT country system). UEPEX has operational and internal control features embedded into it.

47. Some transparency features will be implemented. To adhere to the DR Law on access to information, annual audit reports will be posted at the entity's webpage www.ambiente.gob.do. Audit reports will also be sent to the Supreme Audit Institution (the Chamber of Accounts), to be publicly displayed at the SAI's website www.camaradecuentas.gob.do. The audit report will also be classified as public in Bank systems to comply with Bank policy and the country's access to information law.

48. The scope of the Bank risk-based FM implementation support missions is comprehensive, including full on-site visit plus desk reviews thereafter, with a frequency set as one per year. Customized training on Project specific fiduciary considerations will be provided during the start-up phase, and as frequent as needed. The task team will provide support, so that agreed-upon risk mitigating measures at every Project stage are promptly implemented and robust accountability mechanisms are maintained, so identified risks are highly unlikely to materialize throughout the Life of Project.

C. Procurement

49. *Capacity Assessment at Country Level.* The latest Country Procurement Assessment Report (CPAR) for the DR was published in April 2005. Since then the country passed Law 340-06 for Public Procurement of Goods, Works, Services and Concessions, approved in August 2006 and later modified by Law 449-06. This law is the first to comprehensively include all aspects of procurement of goods, works, services, the selection of consultants and concessions in the country, while also attempting to increase competition and transparency by allowing direct contracting only for limited circumstances specifically detailed in the law. Another important milestone in the procurement reform was the passing of Decree No. 490-07 that provided the enabling regulations for the new procurement law and the launching of the procurement portal

“*comprasdominicana*.” However, in practice, Law 340-06 is not being fully implemented and there is the need for considerably more transparency and efficiency in the system. The new administration that took office on August 16, 2012 has placed procurement reform in the center of the transparency agenda. The Bank is supporting the *Dirección General de Contrataciones Públicas* (DGCP) together with other donors in procurement reform; nevertheless, there are still important challenges ahead in order to improve the quality of public expenditures in the country. Relevant improvements have taken place since the passing of Decree 543-12, which repeals and replaces Decree 490-07, as the implementing regulations of Law 340-06 for Public Procurement of Works, Goods, Services and Concessions.

50. Assessment of the agency’s capacity to implement procurement. A project implementation unit (PIU) to be created within MERN will be responsible for Project coordination and execution. Given that MERN has no previous experience in the implementation of World Bank financed projects, the PIU will be staffed with a Procurement Specialist with relevant experience in the Bank’s procurement processes, as well as other key staff. An assessment of the procurement capacity MERN was completed in April 2015 using the P-RAMS. Project risk is considered **Substantial**, mitigating measures are included below, the residual risk after implementation of the mitigating measures is considered as **Moderate**.

51. The mitigating measures proposed for procurement include: (a) Defining the organizational structure of the PIU and how it will interact with other Departments in MERN; (b) the PIU needs to ensure that a Procurement Specialist with relevant experience in Bank’s procurement is dedicated full time to the project. TORs of the proposed specialist and CV to be submitted to the Bank’s approval before effectiveness; (c) Submission to the Bank of a preliminary Procurement Plan to cover the first 18 months of the project. Due for approval before appraisal. MERN will use the Procurement Plan Execution System (SEPA) for the preparation and approval of the Procurement Plans; (d) preparation of an operations manual with a specific chapter on procurement, detailing all the procedures and channels of responsibilities and flow of documentation; (e) training in procurement will be provided by the Bank to the PIU and technical staff during preparation and as soon as the project is declared effective. Further training to be provided during implementation; (f) Conducting a Project launch workshop by Project effectiveness.

52. The procurement for the project will be carried out in accordance with the World Bank “Guidelines: Procurement of Goods, Works, and Non-Consulting Services under IBRD Loans and IDA Credits and Grants by World Bank Borrowers”, dated January 2011 (Procurement Guidelines), revised on July 2014,” and “Guidelines: Selection and Employment of Consultants under IBRD Loans and IDA Credits and Grants by World Bank Borrowers January 2011, revised on July 2014 (Consultant Guidelines)” and in addition to the provisions stipulated in the Loan Agreement. The World Bank Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credit and Grants dated October 15, 2006 and revised on January 2011, will also apply.

D. Social and Environmental (including Consultation, Participation, Disclosure and Safeguards)

53. **Strategic Environmental and Social Assessment (SESA).** This grant will, in part, support the DR's activities to identify the potential risks associated with REDD+ activities and mitigation options. In order to do this, the FCPF is supporting the development of a SESA to integrate key environmental and social considerations into REDD+ Readiness by combining analytical and participatory approaches.⁷ The SESA allows for: (i) social and environmental considerations to be integrated into the REDD+ Readiness process, in particular the ENA-REDD+; (ii) stakeholder 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 reports 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.

54. Based on the inputs and feedback received through the various early stage consultations on the R-PP and a National SESA workshop conducted in March 2015, MENR prepared a draft SESA Work Plan that outlines the steps of the SESA process throughout the readiness phase. The draft SESA Work Plan –included in Annex XII- outlines a participatory process throughout the readiness phase in providing feedback and inputs from stakeholders as the design of the REDD+ program progresses. The SESA Work Plan will serve as a live document subject to revision as the design of the REDD+ evolves.

55. At the end of the preparation phase for the ENA-REDD+, MENR will prepare a self-standing SESA Report documenting: (a) the participation process throughout SESA; (b) the risks and benefits of proposed REDD+ options; and (c) the contextual challenges that would enhance or undermine the ENA-REDD+ from the perspective of stakeholders. An ESMF will also be prepared for managing downstream impacts once the national ENA-REDD+ is being implemented. The ESMF will provide a framework to manage and mitigate the potential environmental and social impacts related to specific projects and activities within strategic options to be financed (including investments and carbon finance transactions) in the context of the future implementation of the ENA-REDD+.

56. With regards to citizen feedback mechanisms, a specific and ample budget has been allocated under Component 1.c for the development of a citizen feedback mechanism (also known as *Grievance Redress Mechanism; GRM*) to establish culturally appropriate channels that can be accessible to the broad range of stakeholders at the national, regional and local levels. The mechanism for REDD+ will also take into account community conflict resolution mechanisms, for which further technical assistance and harnessing of adequate capacity will be needed for MENR staff. The design of the GRM will include activities to conduct institutional assessment of appropriate channels, strengthening of existing channels, training staff, dissemination campaigns, and monitoring.

D.1. Social (including Safeguards)

⁷The current FCPF SESA guidelines can be found in Annex B and D of version 6 of the R-PP template.

57. The main social development risks identified by the Bank’s team during the due diligence process, and the proposed mitigation measures to the GoDR are presented below.

<i>Social risks of the REDD+ process</i>	<i>Proposed mitigation measures</i>
Preliminary stakeholder mapping has not yet identified livelihood impacts and potentially conflicting economic interests related to REDD+ activities in detail.	MENR has proposed that the SESA process, and ESMF in particular, focus on economic impacts as well as social and environmental dimensions.
Potentially limited access to REDD+ benefits due to lack of clarity regarding carbon ownership may lead to reduced incentives for forest-dependent communities to contribute to emission reductions and have limited access to non-carbon co-benefits.	The Project will support the design and implementation of a national communications strategy, and the hiring of a communications specialist to ensure that MENR has the adequate means of dissemination of information during the REDD+ readiness process. This will include an appropriate engagement with stakeholders on important building blocks of the ENA-REDD+ such as definitions and agreements related to carbon ownership and benefit-sharing arrangements.
Insecurity of land and forest tenure among vulnerable groups	The Bank team recognizes the ongoing efforts made by the government of the DR to regularize the land tenure situation in rural areas but also acknowledges that a lot more needs to be done. While land tenure regularization is beyond the scope of this project, the implications are nonetheless significant for a successful REDD+ mechanism. As part of Component 2 of this project, studies will be conducted to identify alternative land-forest tenure clarification mechanisms, particularly to address the needs of forest-dependent communities participating in of future REDD+ program benefits.
Limited participation of forest dependent communities in decision-making processes: due to lack of appropriate participation platforms and other logistical limitations, local stakeholders are at risk of being excluded from participation in the design of the ENA-REDD.	The Consultation and Participation Strategy and the Grievance Redress Mechanism to be financed under Component 1.c of the project aim at ensuring that all potential stakeholders to be influenced by the REDD+ process are adequately taken into consideration during the REDD+ readiness phase. More specifically, the project will also address these risks as part of the development of the SESA and ESMF safeguard instruments. The current draft of the SESA work plan (see Annex XII) includes a targeted strategy to engage local and vulnerable communities. This will have an inclusive approach, with a culturally

	<p>appropriate way (timing, methodology, livelihood, composition).</p> <p>Furthermore, the FCPF Capacity Building Program for REDD+ -led by civil society organization to engage in an informed and empowered way in the REDD+ process-, is exploring the possibility of focusing on vulnerable communities.</p>
<p>Exclusion of rural women from project benefits: The Project risks excluding rural women producers from future REDD+ benefits by not proactively including them until in the participatory construction of the ENA-REDD+.</p>	<p>MENR will hire a social specialist during readiness to design a gender mainstreaming strategy –including analysis and specific actions- and train the core team to implement the strategy during the REDD+ readiness phase. The implementation of the strategy will be monitored through the project’s results framework.</p>

58. These and other risks will be further analyzed during the grant implementation process as part of the SESA process. As mentioned above, the ESMF will establish guidelines to address the adverse social impacts associated to the prioritized strategic options identified during the SESA process, as well as measures to mitigate them. As the World Bank Involuntary Resettlement Policy (OP/BP 4.12) will apply, impacts related to involuntary taking of land and increased restrictions or enforcement of restriction to protected areas will be addressed within specific safeguard instruments (Involuntary Resettlement Policy Framework and Livelihood Restoration Process Framework) that will be included in the ESMF (this is further discussed in Section D.4).

59. ***Institutional capacity for safeguards.*** Regarding MENR’s social safeguards capacity, the Project contemplates, as one of its first actions, to recruit a qualified social scientist, with gender mainstreaming expertise. This specialist will oversee the design and implementation of the overall social aspects and social safeguards, and work closely with the MENR’s Social Participation Unit to strengthen the institution’s capacity on social impact management, as well as to ensure consistency with their institutional policies.

D.2. Environmental (including Safeguards)

60. Given that the explicit goal of REDD+ is to promote the reduction in the rates of deforestation and degradation by rewarding measures to protect and conserve forests, the environmental impacts of an eventual REDD+ strategy are expected to be mostly positive. It is expected that benefits associated with forests will improve as forest cover is maintained and/or increased, not only as a carbon sink but also for the many environmental services forests provide, such as watershed protection, provision of important habitats, and sustainable resources for forest based livelihoods. The REDD+ strategy itself would not promote the intensification of

harvesting practices or conversion of forests so there is little if any direct adverse environmental impact expected to be associated with activities planned as part of the REDD+ strategic options.

61. The principal risk from REDD+ would arise in the event that the strategies fail to achieve their objectives thereby creating unexpected indirect adverse impacts through the unintended creation of incentives to clear forests for other purposes (e.g. unsustainable production of charcoal, which is a common practice in many forested areas). Similar risks could occur, for example, if incentive schemes fail to provide sufficient incentive to retain areas under forest cover, or, if lack of land tenure security were to undermine commitment to maintain land under forest cover for long time periods.

62. For these reasons, and due to the critical nature of the strategic options and choices being considered, the following environmental safeguards policies are considered relevant during the grant implementation period: Environmental Assessment (OP/BP 4.01); Natural Habitats (OP/BP 4.04); Forests (OP/BP 4.36); and Pest Management (OP 4.09). These are further discussed in Section D.4. The main instrument to document the environmental benefits and risks of the REDD+ strategy will be the SESA.

D.3. Consultation, Participation and Disclosure

i. Experience to Date

63. The REDD+ readiness process involves multiple sectors and stakeholders nationwide at various levels (national, regional and local). Adequate information, dissemination, effective participation and culturally relevant consultation is essential to take stakeholders' views into consideration, generate support, increase the chance of achieving the multiple benefits expected from REDD+ and reduce the risk of generating unintended negative impacts.

64. To date, the GoDR has engaged with stakeholders from all three levels to varying degrees, to conduct the participation process for REDD+ readiness. The Government has conducted various early engagement workshops and meetings with a diverse range of stakeholders, mainly in 2012-2014, and has received and incorporated feedback to their R-PP. Nevertheless (see annex IX), the level of knowledge and active participation in the R-PP development is still disproportionately centered upon the national governmental, non-profit and academic institutions, while the private sector, small-scale vulnerable and marginalized communities and women's producer organizations are underrepresented.

65. The SESA process has also provided new platforms for participation focused on the stakeholder analysis of causes of deforestation and strategic options. A first National SESA workshop took place on March 12-13, 2015. The main conclusions have been documented and included in Annex XII. MENR disseminated a draft R-PP as well as other workshop materials (such as the draft causes of deforestation and degradation and associated strategic options) prior to the National SESA workshop. The Bank observed that few tensions or conflicts surfaced during the workshop in relation to the country's engagement in REDD+. The Government concluded that the stakeholders involved in this process so far have been actively participating for many years and have therefore reached working consensuses on any major differences and

position they have held. Minor inter-sectoral or institutional differences were documented. However, during readiness, as the SESA work plan is implemented, the stakeholder analysis and map, and the consultation process will be expanded to include stakeholders that have been marginally or not involved in the early dialogue processes conducted to date. Relevant stakeholders to be considered include coffee and coco producer organizations, forest-dependent communities, and other vulnerable local stakeholders, including migrant populations living along the national border with Haiti.

ii. Proposal Going Forward

66. ***Creation of Consultative Platform for dialogue on REDD+***. MENR is committed to strengthen and broaden the participation of all relevant stakeholders in a systematic way and ensure the establishment of open platforms to foster a balanced dialogue that takes into account the perspectives of forest-dependent populations. Activities in component 1 have been designed to address these issues by establishing appropriate cross-sectoral and multi-stakeholder committees (i.e. REDD+ Advisory, and Directive Committees) and strengthen the role and scope of other existing platforms such as the Forest Dialogue Roundtable.

67. ***Engagement with new stakeholders***. Coffee and coco producers, small-scale agricultural/cattle producers, and forest-dependent communities are important stakeholders influencing REDD+ processes in the DR. A more formal and targeted approach needs to be implemented to ensure their involvement. It was agreed that MENR would develop an action plan to engage with these stakeholders as a priority for the initial implementation of the Grant.

68. ***Communication Strategy***. As part of the FCPF Preparation grant, MENR will hire a communication specialist to develop and implement a communication strategy to support information dissemination, dialogue and participation. The strategy will follow the principles of communication for development in the design and implementation of the REDD+ strategy. A differentiated approach will be used according to each target population in order to ensure an appropriate process, as well as tailored activities and products. A more systematic effort will also be needed to ensure a timely and continuous access to information during the preparation phase.

69. ***Consultation and Participation Plan***. MENR will continue to refine the Stakeholder Map contained in Component 1 (b) of the R-PP to ensure the full and effective participation of all relevant actors. The proposed grant would support the design and implementation of a national participation and consultation strategy and plan for REDD+, which will have specific elements to ensure a broad and culturally appropriate engagement with each stakeholder group, especially the forest-dependent populations.

70. ***Grievance Redress Mechanism (GRM)***. Per the FMT Note 2011-12 on Enhancing Capacity for Dispute Resolution, a national feedback and GRM needs to be effectively available, and if necessary strengthened, as part of the country's REDD+ institutional arrangements. Such a mechanism needs to be available to REDD+ stakeholders from the earliest stages of R-PP implementation in order to facilitate handling of any request for feedback or complaint by any REDD+ Readiness stakeholders, with particular attention to providing access to geographically,

culturally or economically vulnerable groups⁸. Under Component 1.c. of the Grant MENR will strengthen their own national feedback and grievance redress mechanism under Component 1.c. of the Grant.

D.4. Safeguards Policies Triggered

71. The table below presents the safeguards policies which are being triggered at Assessment Note stage. The Project is proposed as environmental risk Category B, given that is not likely to result in significant negative impacts on human populations and/or environmentally important areas. The environmental impacts of the Project are expected to be mostly positive, and it is expected that benefits associated with forests will improve as forest cover increases.

<i>Safeguard Policies</i>	<i>Triggered</i>	<i>Explanation</i>
<i>Environmental Assessment OP/BP 4.01</i>	YES	This policy should be triggered even though the Project expected impacts are mostly positive, a risk could arise in the event that the strategies fail to achieve their objectives thereby creating unexpected indirect adverse impacts through the unintended creation of incentives to clear forests for other purposes. The Project is expected to help prepare a Strategic Environmental and Social Assessment (SESA) and an Environmental and Social Management Framework (ESMF) through Component 2. These instruments are fit for the purposes of the Project and the process to prepare them is clearly explained, and in line with good practices.
<i>Natural Habitats OP/BP 4.04</i>	YES	This policy should be triggered to account for the Project's involvement with existing protected areas as well as other forest habitats.
<i>Forests OP/BP 4.36</i>	YES	This policy should be triggered given that the Project activities will be conducted in forest areas, and could involve commercial management of forest resources.
<i>Pest Management OP 4.09</i>	TBD	This policy remains TBD until the full scope of Project activities are defined. Given the information available at this stage on the forest management practices that may involve pesticide use.
<i>Physical Cultural Resources OP/BP 4.11</i>	TBD	This policy remains TBD given: a) the uncertainty regarding the exact locations of activities under the Project; and, b) some of the forests or landscapes involved with the REDD+ strategy might be considered to have historical or cultural significance
<i>Indigenous Peoples OP/BP</i>	NO	This policy should not be triggered as there are no longer distinct

⁸ For more details on the GRM mechanisms go to: <http://www.forestcarbonpartnership.org/grievance-redress>.

4.10		indigenous peoples according to the four criteria established under OP 4.10 in the DR.
<i>Involuntary Resettlement OP/BP 4.12</i>	YES	This policy should be triggered, primarily because there could be potential restrictions on the use of natural resources in national protected areas associated with the REDD+ strategic options and whilst unlikely, there is still possibility that land acquisition would be required. Given that this grant will finance preparation and planning activities for REDD+ and includes a SESA, the determination of any needed mitigation measures for future activities, such as the formulation and consulting of a Process Framework and possible other needed instruments, would be determined and carried out during project implementation.
<i>Safety of Dams OP/BP 4.37</i>	NO	This policy should not be triggered given that the Project will not support the construction or rehabilitation of dams nor will support other investments which rely on the services of existing dams.
<i>Projects on International Waterways OP/BP 7.50</i>	NO	The policy should not be triggered because the Project will not affect international waterways as defined under the policy
<i>Projects in Disputed Areas OP/BP 7.60</i>	NO	The policy should not be triggered because the proposed Project will not affect disputed areas as defined under the policy

72. The main safeguards assessment to be applied is the SESA. As part of the SESA process the preparation of an ESMF is included, and may evolve and be updated over time when new REDD+ strategy options, projects or activities (including investments) and/or policies or regulations are identified during the implementation of REDD+. The SESA addresses the key environmental and social issues associated with the preparation of ENA- REDD+ options as well as REDD+ projects, activities (including investments), policies and regulations. In this manner SESA can ensure compliance with World Bank's environmental and social safeguards.

73. The SESA process requires that the selection of ENA- REDD+ options should take into account the country's institutional and capacity constraints for managing environmental and social risks, as well as the potential environmental and social impacts associated with these strategic options. Any identified gaps to manage these risks and potential impacts in relation to relevant World Bank safeguard policies will be identified along with the strategic options to feed into the preparation of the ESMF. The ESMF should provide a framework to manage and mitigate the potential environmental and social impacts related to specific projects and activities (including investments and carbon finance transactions, in the context of the future implementation of REDD+).

74. The ESMF will be structured to contain subject-specific frameworks addressing the relevant requirements of the applicable environmental and social safeguard policies including,

but not necessarily limited to, a Resettlement Policy Framework (RPF), the Process Framework (PF), and the Environmental Management Framework (EMF).

6. ANNEXES

- Annex I: Systematic Operations Risk-Rating Tool (SORT)
- Annex II: Preparation Schedule and Resources
- Annex III: Detailed Project Description
- Annex IV: Results Framework and Monitoring
- Annex V: Proposed Readiness Preparation Activities and Budget Breakdown
- Annex VI: Integrated Assessment Framework (IAF) for Small and Micro Grants
- Annex VII: Financial Management Assessment and Mitigating Actions
- Annex VIII: Readiness Preparation Proposal (R-PP) Submitted by the REDD Country Participant
- Annex IX: Participation and Early Dialogue Matrix (based on the stakeholder analysis)
- Annex X: Strategic options and their relationship with the drivers of deforestation
- Annex XI: Background on the FCPF and REDD+ Readiness
- Annex XII: Draft Strategic Environmental and Social Assessment Work Plan
- Annex XIII: Project Documents
- Annex XIV: Draft Preparation Grant Agreement

Annex I: Systematic Operations Risk-Rating Tool (SORT)

Risk category	Rating
1. Political and Governance	S
2. Macroeconomic	L
3. Sector Strategies and Policies	S
4. Technical Design of Project or Program	S
5. Institutional Capacity for Implementation and Sustainability	S
6. Fiduciary	M
7. Environment and Social	S
8. Stakeholders	S
9. Other (Donor support and coordination)	M
OVERALL	S

1. Political and Governance. A potential change in government administration during the Project Implementation period with presidential, congressional and municipal elections set for May 2016 in DR, may cause project delays and staff turn-over in key Project staff in the aftermath of the electoral season.

Mitigation measures: This risk will be mitigated by proactively engaging in dialogue with DR authorities to guarantee Project continuity and sustainability. Also, by signing a readiness preparation grant with the FCPF, the GoDR, who is already an official member of this entity, will establish international commitments that a future government would need to commit to.

2. Sector Strategies and Policies. The MENR has a successful track record of designing and implementing NRM policies and programs, many of which have elements linked to a potential REDD+ Strategy. This record suggests that the Ministry, as the executing agency of this project, has the critical capacity and commitment to effectively engage in a REDD+ program. The inter-institutional and multi-sector nature of the dialogue and decision making associated to REDD+ issues, however, represents a major challenge to the capacity of MENR to effectively influence other sectors that are relevant to REDD+ (e.g. agriculture, finance, tourism, etc.). Additionally, an Emissions Reduction Program development may be delayed if carbon markets fail to develop and/or the price of carbon declines.

Mitigation measures. The recent R-PP formulation phase has helped the MENR to organize its vision for REDD+ and start building the mechanisms for managing the REDD+ readiness phase. As part of the proposed project, MERN has committed to set up a cross-sectoral government coordination body (Comité Directivo) and a multi-stakeholder participatory platform (Comité Técnico Asesor) for REDD+. These participatory/ consultative platforms, which will include vis-à-vis the ministries of

Agriculture, Finance and Tourism, in addition to key private sector, academic and civil society organizations, will be established by a formal government decree. In addition, the GoDR has already been selected as a candidate to access funds of the FCPF Carbon Fund (CF) under the framework of payment for results yield by REDD+ actions. If the formal participation of the DR in the CF materializes, the country could secure initial funds in the order of 50-80 million dollars to compensate for their emissions reduction efforts.

3. *Technical Design of Project or Program.* The design of REDD+ strategies, Monitoring/Reporting/Verification (MRV) systems, and Reference Level scenarios may be technically complex. REDD+ is a new and still evolving initiative. Preparation and implementation will necessarily involve a broad array of government and non-governmental actors across multiple sectors in order to address the drivers of deforestation and forest degradation, adding to the complexity of coordination. Adequate consensus may not be built at a national level to pursue the REDD+ strategies.

Mitigation measures: The project team will closely supervise the technical design of the ENA-REDD+, to ensure that it is properly integrated within the country's needs and capabilities, both at the interior of MENR and across other relevant sectors such as Agriculture, Finance, Economy and Planning, and Tourism. The communication strategy developed under component 1.b of the grant will put particular emphasis on these issues. In addition, special emphasis will be given to protocols to assess co-benefits during the implementation of the REDD+ strategy.

4. *Institutional capacity for implementation and sustainability.* MENR does not currently have a dedicated multi-disciplinary team responsible for leading the national REDD+ readiness process, resulting in a weak institutional presence at the technical and political levels. Policies and incentives relating to other sectors could conflict with MENR's efforts to build a cross-sectoral ENA- REDD+. The possible negative effects of laws and regulations with respect to agriculture, mining, urbanization and zoning, infrastructure and trade are only superficially analyzed in the R-PP.

Mitigation measures: The project design includes the institutional strengthening of MENR on both climate change and the REDD+ process as an important element of its objective. Funds will be allocated to assist MENR in establishing a Project Implementation Unit (PIU) for the execution of the grant, and measures will be taken to implement an exit strategy to ensure that capacities remain in the institution after project closure.

Also, within the realm and guidance of the National Development Strategy, the *National Policy on Climate Change*, the *National Climate Change Strategy*, and the *Economic Development Plan Compatible with Climate Change* the grant will facilitate a coordinated and transparent dialogue with stakeholders for a better understanding of the trade-offs on sectoral developments and REDD+. MENR has established inter-ministerial agreements with several line ministries (e.g. Agriculture). Sectoral developments and

their potential impact on the ENA- REDD+ will also be assessed through the SESA process. Also, an in-depth review and analysis of the legal and institutional framework affecting REDD+ activities will also be conducted under the grant.

5. ***Environment and Social.*** The principal risk from a REDD+ strategy and regime would arise in the event that the strategies fail to achieve their objectives thereby creating unexpected indirect adverse impacts through the unintended creation of incentives to clear forests for other purposes. This could occur, for example, if incentive schemes are insufficient or failed to provide the needed incentive to retain areas under forest cover. Similar risks could occur if limited land and forest tenure security were to undermine commitment to maintain land under forest cover for long time periods. There is also a risk of elite capture of benefits from REDD+ program giving unfair/disproportionate advantage to a specific group of stakeholders.

Mitigation measures: During the current administration the GoDR has defined clear policies and programs to promote sustainable management of natural resources that also improve the livelihoods and resilience of local and marginalized communities. The ENA-REDD+ has been initially designed and socialized under these principles. The desirable harmonization and coordination among programs and policies across different line ministries will be challenging, but the conditions to establish a more inclusive process are present. The team will prioritize the supervision of the technical design of the ENA-REDD+ and the multi-stakeholder participation processes to ensure consistency with the above principles of sustainability and inclusion.

6. ***Stakeholders.*** During the development of the R-PP, MENR initiated a stakeholder analysis and established an early dialogue for REDD+ with key actors. A stakeholder map was reviewed and expanded during the Bank's due diligence process. Additional participatory and training events were conducted as part of the launching of the SESA process, culminating in a national SESA workshop and the preparation of a national SESA Work plan to be implemented during the preparation phase (see Annex XII). Despite these efforts, there is still no formal multi-stakeholder participatory platform to ensure a solid and continuous engagement with stakeholders for the construction of a future REDD+ process. Isolated, forest-dependent communities living in rural areas, particularly those with limited or no representation in local participatory platforms, are among the most vulnerable to be excluded or have limited involvement in the development of REDD+ strategies.

Mitigation measures: As a specific objective of this project, MENR has agreed to establish a formal multi-sector, multi-stakeholder consultative platform for REDD+ (*Comité Técnico Asesor para REDD+*) and strengthen other related existing participatory platforms, such as the Forest Dialogue Roundtable (*Mesa de Diálogo sobre Bosques*). These platforms would aim at ensuring an inclusive and broad representation of all relevant stakeholders to be affected by REDD+, both at the national and provincial/local levels. Measures will be taken to ensure that information will be delivered to all such stakeholders in a systematic manner, as the REDD+ process moves forward. Specific activities under this grant have also been agreed with MENR to establish a more permanent engagement with minority, poor, and isolated stakeholders, including Haitian migrants, during the readiness implementation phase.

7. ***Fiduciary.*** Fiduciary residual risk is rated Moderate, mostly driven by country context which are unlikely to materialize at the Project level, and entity specific circumstances such as the need for intra-*institutional* coordination for key functions, which adds additional risks. Although MENR does not have experience handling Bank projects, it has vast experience implementing donor funded projects and its fiduciary staff is qualified and capable of handling this operation. Lack of Bank experience is being mitigated with customized training for capacity building already provided. Additional training will be made available during the Project launch, and as needed.

Mitigation measures: External audit reports issued by the Chamber of Accounts for FY2008-2010 have flagged weak governance issues at the entity level, as measured by qualified with exception opinion (not clean). Internal control risks will be mitigated for the Project by defining strong internal control features and implementing automated control features embedded into the FM country system for external resources (UEPEX). In addition, internal control opinion will be required in the annual audits, besides the opinion on the Project financial statements.

Annex II: Preparation Schedule and Resources

Preparation Schedule				
Milestone	Basic	Forecast	Actual	
AIS Release				
Concept Review	5/28/2015		5/28/2015	
Readiness Preparation GFR approved				
Readiness Preparation Grant signed				
Sector Unit Estimate of Resources Required from Preparation through Approval				
Source of Funds	Preparation Expenses to Date (USD)	Estimate of Resource Requirements (USD)		
		Fixed	Variable	
Bank Budget				
Trust Funds	US\$85,000.00	US\$340,000.00	US\$225,000.00	
Team Composition				
Name	Title	Specialization	Unit	UPI
Gerardo Segura Warnholtz	Sr. Rural Development Specialist	TTL	GENDR	187035
Julius Thaler	Counsel	Legal	LEGEN	335926
Kimberly Vilar	Social Development Specialist	Social development	GSURR	298658
Dora Patricia Andrade	Environmental Specialist	Environmental issues	GENDR	241627
Stavros Papageorgiou	Forest Carbon Specialist	Forest carbon	GCCCF	444456
Jeannette Ramirez	Operations Officer	Operations officer	GENDR	113368
Zoila Catherine Abreu Rojas	Procurement Specialist	Procurement	GGODR	228585
Maritza A. Rodríguez de Pichardo	Sr. Finance Management Specialist	Finance management	GGODR	314311
Rodrigo Martinez Fernandez	Consultant	Consultant – forest carbon	GCCGT	467066
Selene Castillo	Consultant	Consultant – forestry	GENDR	456923
Santiago S. Valencia	Language Program Assistant	Language	GENDR	140328

Annex III. Detailed Project Description

A. Proposed Development Objective

1. The Project Development Objective (PDO) is to support key efforts by the Dominican Republic to prepare a national REDD+ readiness strategy.

B. Key Results

2. The PDO will be accomplished by financing targeted activities to design and implement policies and programs to reduce emissions from deforestation/degradation, which contemplate a full and meaningful engagement with potentially impacted stakeholders. The main results expected at project closure are presented below. A *Results Framework and Monitoring* strategy containing outcome and output indicators by component and project calendar is also included in Annex IV.

- a) A cross-sectoral government coordination body (*Comité Directivo*) and a multi-stakeholder participatory platform (*Comité Técnico Asesor*) for REDD+ have been established and are under regular operation;
- b) A national consultation and participation strategy, including a gender mainstreaming strategy, has been designed and is under operation;
- c) A citizen feedback mechanism, also known as a *Grievance Redress Mechanism*, for REDD+ has been designed and is under operation;
- d) A National REDD+ Strategy (ENA- REDD+) has been designed with the support of a broad stakeholder participation;
- e) A *Strategic Environmental and Social Assessment* (SESA) has been carried out, and informed the preparation of an *Environmental and Social Management Framework* (ESMF), as the country's main safeguards instrument; and the ESMF has been prepared, adequately consulted and disseminated;
- f) The capacity and progress to establish a National Forest Reference Emission Level and/or a Forest Reference Level has been improved;
- g) The capacity and progress to develop a National Forest Monitoring System (NFMS) for the Measurement, Reporting, and Verification (MRV) of Green House Gases (GHG) emissions reductions and non-carbon impacts from REDD+ activities has been improved;

3. These results encompass the main elements needed by the DR to develop the country's "Readiness Package" (R-Package)⁹ under the FCPF, and provide the foundation for the country's

⁹ The Readiness Package is a document generated by a REDD+ country towards the end of the Readiness preparation phase under the FCPF (i.e., at a stage when activities proposed in the R-PP are well advanced or completed). Its content thus mirrors the R-PP components and sub-components. The R-Package is a major milestone and comes at the transition from REDD+ Readiness preparation to REDD+ piloting (i.e., the implementation of performance-based activities), and provides an opportunity to self-assess the progress on REDD+ Readiness. As per the FCPF's Charter, the production of an R-Package and its submission for PC review is voluntary and not a reporting requirement under the FCPF Readiness Fund.

participation in any future REDD+ mechanism under the United Nations Framework Convention on Climate Change 10 (UNFCCC) that the DR may consider.

A. Project Description by Component.

4. The Readiness Preparation Proposal (R-PP)¹¹ identifies a broad set of activities aimed at strengthening the technical and institutional capacities for the GoDR to participate in a future REDD+ mechanism. The financial envelope for these activities is estimated at US\$5.077 million. The activities to be financed by the FCPF Preparation grant were selected jointly with the Ministry of Environment and Natural Resources (MENR), and in coordination with other donors, considering the following criteria: (i) activities needed to strengthen the immediate institutional capacity of MENR to conduct participatory and consultation processes for REDD+; (ii) fundamental readiness activities for which the GoDR had specific financial needs, not covered by other sources of funding; (iii) a discrete set of activities that would generate a specific outcome (with no- or minimal parallel-financing that could jeopardize the achievement of the project objective); and (iv) activities that complemented those of other sources of funding and the government, and that could serve to strengthen the achievement of the project objective.

5. Below is a detailed description of the grant components and the activities to be financed by the FCPF as a portion of the REDD+ Readiness in DR:

Component 1: REDD+ Readiness Organization and Consultation (US\$708,000.00).

1.a National Readiness Management Arrangements. (US\$168,000.00). This subcomponent will support efforts initiated by MENR to create a cross-sectoral forests and REDD+ advisory committee (*Comité Técnico Asesor; CTA*), and a Directive Committee (*Comité Directivo; CD*) to be integrated by MA, the Ministry of Agriculture, and the Ministry of Economy, Planning and Development (MEPyD). These committees will be established by presidential decree and operate under the National Council for Climate Change and the Clean Development Mechanism. MENR will also continue to strengthen other existing multi-stakeholder participatory platforms, such as the Forest Dialogue Roundtable (*Mesa de Diálogo sobre Bosques*), which would operate at both national and local levels and include a broad array of actors previously identified by MENR under their stakeholder analysis, and to include producers and other forest dependent communities and organizations, the private and academic sectors, national and local governments, and civil society organizations. Activities to be funded by this subcomponent include salaries for consultants to administrate the platforms, travel costs for participants, studies, workshops and meetings.

1.b. Information Sharing and early Dialogue with Key Stakeholders Groups. (US\$ 340,000.00). Under this sub-component MENR will continue to engage in a permanent dialogue on climate change and REDD+ related issues with national and local

¹⁰ See Cancun Agreements, UNFCCC Decision 1/CP.16 Section C and Appendix I to that Decision.

¹¹ The R-PP submitted by the GoDR is included in Annex VIII and can also be found at: <http://www.cedaf.org.do/REDD>

stakeholders that have had a limited participation in the ongoing early dialogue process for REDD+ (e.g. coffee and coco growers, local environmental councils and poor forest dependent communities). To strengthen this process a national communications and dissemination strategy for climate change and REDD+ will be designed and implemented with the help of communications specialist, who will be hired to develop and produce knowledge, attitudes and abilities, and a communications and training strategy based on annual implementation plans. The strategy and its plans will be designed based on the principles of communication for development, which emphasizes the broad and effective participation of all REDD+ stakeholders with a culturally and gender sensitive approach. The subcomponent will finance salaries, workshops, dissemination campaigns, operating costs and materials.

1.c. Consultation and Participation Process and Grievance Redress Mechanism. (US\$ 240,000.00). This subcomponent will support the design and implementation of a national participation and consultation plan for REDD+, which will be developed in coordination and support of the communications and dissemination strategy. In addition, this subcomponent will also finance the strengthening of the national Grievance Redress Mechanism (GRM) as outlined in the R-PP and FCPF guidelines and principles¹². The Bank considers the GRM to be a key element of social accountability and meaningful participation. The subcomponent will finance consultancies and analytical work required to prepare the participation and consultation plan and the GRM as well as implementation costs such as workshops (national and regional) and production of materials.

Component 2: National REDD+ Strategy (ENA-REDD+) (US\$1,180,000.00).

2.a Assessment of Land Use Change, Forest Policy and Governance. (US\$180,000.00). This subcomponent will focus on expanding and deepening the analysis of the critical direct and underlying causes of deforestation and forest degradation, focusing on those identified during the engagement of national and local stakeholders and in the first phase of the SESA process. Emphasis will be put in those drivers that reduce the resilience of local communities to climate variation and that continue to exacerbate ecosystem degradation in areas that have already lost forest cover. Attention will also be given to the analysis of legal and institutional elements have been successful in the past or that need to be in place to ensure the harmonization, coordination and synergy of policies and programs in agriculture and livestock and other relevant sectors affecting deforestation and forest degradation. The subcomponent will finance specialized national and international consultancy services, studies, and dissemination/consultation activities.

2b. National REDD+ Strategy Options (US\$255,000.00). This subcomponent will contribute to the design of a comprehensive ENA- REDD+ to include targeted policies and programs that should also be mainstreamed into the National Development Strategy

¹² This principles indicate that a GRM needs to be available to REDD+ stakeholders from the earliest stages of R-PP implementation in order to facilitate the handling of any requests for feedback or complaints by any REDD+ Readiness stakeholders, wherever they originate, with particular attention to providing access to geographically, culturally or economically isolated or excluded groups.

(*Estrategia Nacional de Desarrollo, END*). Some of these would include policies that: (i) promote incentive/compensation mechanisms and technology transfer packages to improve income from sustainable forestry and agricultural/livestock practices (e.g. agro-silvo-pastoral systems), and promote soil conservation/restoration; (ii) have a direct influence in regulating land use and land use change; and (iii) have a transversal influence across REDD+ relevant sectors. The subcomponent will finance specialized national and international consultancy services and studies, and dissemination/consultation activities.

2c. REDD+ Implementation Framework (US\$305,000.00). This subcomponent will focus on the design of legal and technical instruments, and the institutional arrangements needed to ensure effective implementation of the national REDD+ strategic options. These may include: (i) a legal and institutional framework for REDD+ analyses to identify possible legal/institutional perverse incentives that induce deforestation/degradation; (ii) inter-sectoral harmonization plans; (iii) identification of strategic areas to implement REDD+ strategies and implement informal pilot activities; (iii) actions to address carbon rights and benefit sharing arrangements; and (iv) progress in the design and establishment of a national entity to be in charge of managing REDD+ funds in a transparent fashion, with fiduciary and safeguard management capacity. The subcomponent will finance specialized national and international consultancy services and studies, training, and dissemination/consultation activities.

2.d Social and Environmental Impacts (SESA and ESMF) (US\$440,000.00). This subcomponent will finance activities that are outlined in the National SESA Work plan (see Annex XII), including the strengthening of the stakeholder analysis/map, analytical studies to evaluate possible social and environmental impacts associated with the REDD+ strategic options and a comprehensive consultation and participation process. One of the main products of the SESA will be an ESMF, or other safeguard instrument as appropriate, that will be prepared in order to manage risks and impacts and maximize the potential benefits of any future REDD+ investments. Analytical work that will be undertaken may include analytical work on: possible impacts of REDD+ activities on local communities (including vulnerable and marginalized rural populations) and ecosystems; adaptation based mitigation alternatives and resilience of local livelihoods to climatic variation. This subcomponent will finance consultancies, studies, training events, and consultation and participation workshops as outlined in the budget in the attached National SESA Work plan.

Component 3: National Forest Reference/Emission Level (US\$320,000.00).

Establishing a national Reference Emissions Level/Reference Level (REL/RL) for the forest sector based on historical data is one of the key pillars of the ENA-REDD+, as it constitutes the benchmark against which future REDD+ efforts will be assessed as measured by the national forest monitoring and Monitoring Reporting and Verification (MRV) System.

The component will complement existing support from the German Cooperation Agency (GIZ)¹³ to assist MENR in the definition of methodologies, identification and collection of major data requirements, and institutional capacity needs to design and establish a forest REL/RL scenario for the DR. The component will finance studies, equipment, software, training; and information sharing, outreach, and consultation with key stakeholders to conduct the following activities: (i) provide technical assistance for the preparation of a National Forest REL/RL submission to the UNFCCC; (ii) develop potential Business as Usual scenarios based on econometric and spatial modeling; and (iii) establish methodologies and data for generating a forest degradation REL.

Component 4: National Forest and Safeguards Monitoring Systems (NFMS) (US\$1,150,000.00).

As in the case of the REL/RL, GIZ will play an important role in the development of the MRV systems in the DR. Complementary support is necessary to conduct several key activities at the national level and to strengthen the focal team of staff across the key agencies in charge of the design, planning and implementation of the national MRV system (e.g. ME, Ministry of Agriculture, National Office of Statistics (*Oficina Nacional de Estadística [ONE]*). In addition, given the contribution of GIZ to the national REL/MRV systems, the FCPF preparation grant will place a strong emphasis in supporting the design of the information system for multiple benefits responding to the DR's national circumstances, related to environmental degradation in forested landscapes.

4.a. National Forest Monitoring Systems. (US\$1,020,000.00). This subcomponent will assist the MENR in developing national forest monitoring systems to measure, report and verify (MRV) GHG emissions reductions and removals from the implementation of REDD+ activities. The subcomponent will finance salaries, studies, computer equipment, software, and information sharing, outreach, and consultation with key stakeholders in order to establish and/or strengthen the following elements: (i) establish a logical framework and the required institutional arrangements for the national MRV system; (ii) carry out field measurements to advance the national forest inventory; (iii) develop expansion factors and allometric equations for three areas of the country to improve forest carbon measurements; ; (iv) develop an information platform prototype for forest monitoring and LULUCF activities; (v) strengthen the remote sensing and monitoring unit within the MENR with new hardware equipment; (vi) support a research program on forest monitoring led by national universities; and (vii) strengthen the newly created GHG Inventory Unit within the MA.

4.b National Information system for Multiple Benefits, Other Impacts, Safeguards and Governance (US\$130,000.00). This sub-component focuses on

¹³ Together with the Bank, the GIZ will play an important role in the development of the REL/MRV system in DR as it is providing technical support and hardware/software through its Regional REDD Program for Central America and the DR.

establishing the technical foundations to report on co-benefits, or possible impacts expected from the implementation of the ENA- REDD+. Funds would be dedicated to assist MENR in generating a system and the required protocols and methodologies for assessing and monitoring collateral social and environmental non-carbon benefits. This system would also address other REDD+ related impacts including information on safeguards compliance. The component will finance studies, equipment, software, training; and information sharing, outreach, and consultation activities with key stakeholders to conduct the following activities: (i) development of monitoring protocols to assess the environmental impacts of the ENA- REDD+ (e.g. biodiversity, soils, water); (ii) development of monitoring protocols to assess the socioeconomic impacts of the ENA- REDD+ (livelihoods, governance, safeguards, adaptation); (iii) develop and pilot community-based, non-carbon monitoring methodologies; and (iv) development of baselines for non-carbon benefits monitoring.

Component 5. Monitoring and Evaluation Framework and Grant Administration (US\$442,000.00). This component will support the establishment and operation of a technical/administrative implementation unit that will be in charge of coordinating and executing the technical and fiduciary activities of the readiness phase, including the developing of a monitoring and evaluation framework for REDD+ readiness. This unit will be integrated by highly qualified staff in each of the areas of specialization required by the project (e.g. communications, social, environmental, forestry/carbon, fiduciary). Given the institutional constraints and the risks for continuity to manage a ENA- REDD+ by MENR after the readiness phase, an exit plan will be discussed and agreed with the GoDR at project initiation to ensure that staff, initially hired as external consultants for this project, would remain or formally be incorporated as regular staff of the ministry by project closure. In addition to salaries, this component would cover operating costs, office equipment and supplies, computers, software and consulting costs necessary to develop internal grant audits.

Annex IV: Results Framework and Monitoring

PDO	Outcome Indicators	Use of Outcome Information
Strengthen the recipient's capacity to design and implement key REDD+ readiness preparation activities including:	By End of Project (EOP), government institutions have been provided with capacity building support to improve management of forest resources (number).	Information on progress on this indicator will be collected and assessed to confirm if this project is having the intended impact. If not, adjustments will be made to project activities so as to achieve the desired impact.
Intermediate Results per Component	Results Indicators for each component	Use of Results Monitoring
Component 1: REDD+ Readiness Organization and Consultation	<p>By Q3, a cross-sectoral coordination body for REDD+ (<i>Comité Directivo</i>), and a multi-stakeholder participation platform, involving a broad range of key stakeholders (<i>Comité Técnico Asesor</i>), has been established and is under operation.</p> <p>By Q2, a national communications and dissemination strategy for REDD+ has been designed and initiates full implementation by Q2.</p> <p>By Q3, a gender mainstreaming strategy has been designed and incorporated into the national participation and consultation plan.</p> <p>By Q3, a national participation and consultation plan for REDD+ (with adequate representation of local-level stakeholders) has been designed and is under full implementation.</p>	<p>Every quarter, these output indicators will be reported in the project reports and as part of the supervision missions of the Bank. Information will be used to assess planned versus actual accomplishments. Adjustments will be made to the operating plans when needed and justified.</p> <p>Citizen feedback will be utilized to improve participatory policy making process to ensure transparency and multi-sectoral, multilevel engagement of stakeholders without barriers to entry based on productive or cultural identity.</p>
Component 2: National REDD+ Strategy (ENA- REDD+)	By EOP, a ENA- REDD+ strategy including the design of specific legal, economic and technological instruments (i.e. a REDD+ incentives system, regulation of LULUCF related	Every quarter, these output indicators will be reported on in the project reports and as part of the supervision missions of the Bank. Information will be used to assess planned versus actual

	<p>sectors, technological packages for REDD+) has been designed and is under operation.</p> <p>By Q4, a citizen feedback mechanism and institutional protocol will be in place. Its effectiveness will be measured by “% of grievances satisfactorily redressed according to service protocol”.</p> <p>By Q10, a SESA has been carried out and an appropriate safeguard instrument such as an ESMF has been prepared</p>	<p>accomplishments. Adjustments will be made to the operating plans when needed and justified. Important elements to assess progress in this component will also be the monitoring the implementation of the SESA Work plan, and the communications and consultation strategies.</p>
<p>Component 3: National Forest Reference/Emission Level</p>	<p>By EOP, the capacity and progress to establish a National Forest Reference Emission Level and/or a Forest Reference Level has been significantly improved by:</p> <p>(i) By Q6, a national forest REL/RL has been submitted to the UNFCCC</p> <p>(ii) By Q8, potential business-as-usual scenarios have been developed based on econometric and/or spatial modeling;</p>	<p>Every quarter, these output indicators will be reported on in the project reports and as part of the supervision missions of the Bank. Information will be used to assess planned versus actual accomplishments. Adjustments will be made to the operating plans when needed and justified</p>
<p>Component 4: National Forest Monitoring Systems</p>	<p>By EOP, the capacity and progress to develop a NFMS for the MRV of GHG emissions reductions from REDD+ activities has been significantly improved by:</p> <p>(i) by Q4, the logical framework and required institutional arrangements for MRV have been established;</p> <p>(ii) By Q4, the capacity of the remote sensing, and the GHG Inventory units have been strengthened.</p>	<p>Every quarter, these output indicators will be reported on in the project reports and as part of the supervision missions of the Bank. Information will be used to assess planned versus actual accomplishments. Adjustments will be made to the operating plans when needed and justified</p>

	<p>(iii) By Q6, a research program on forest monitoring has been supported;</p> <p>(iv) By Q9, monitoring protocols to assess the environmental and social impacts of the ENA-REDD+ have been developed;</p> <p>(v) By Q10, the National Forest Inventory has been completed; and allometric equations developed for three areas</p>	
<p>Component 5: Monitoring and Evaluation Framework and Grant Administration</p>	<p>By Q1, a PIU with technical and fiduciary staff satisfactory to the Bank established and operating.</p> <p>By Q2, PIU disbursing funds as programmed, and meeting fiduciary commitments as established in the Grant Agreement.</p> <ul style="list-style-type: none"> - On time delivery of annual fiduciary audits (due by June 30 of each calendar year). - On-time delivery of interim non-audited financial reports (due each calendar semester). <p>By EOP, an exit strategy to ensure continuity of institutional capacity for REDD+ is developed and agreed with ME.</p>	<p>Every quarter, these output indicators will be reported on in the project reports and as part of the supervision missions of the Bank. Information will be used to assess planned versus actual accomplishments. Adjustments will be made to the operating plans when needed and justified</p>

Annex V: Proposed Readiness Preparation Activities and Budget Breakdown (in US\$)

REDD Readiness Preparation Activities (main FCPF-funded activities)	FCPF	GIZ ¹⁴	GoDR ¹⁵	TOTAL US\$
Component 1: REDD+ Readiness Organization and Consultation	708,000	80,000	70,000	858,000
1.a National Readiness Management Arrangements	168,000		40,000	208,000
Establishment and operation of the REDD+ Directive Committee (CD)	78,000		20,000	98,000
Establishment and operation of the REDD+ Technical Advisory Committee (CTA) and other multi-stakeholder platforms.	90,000		20,000	110,000
1.b Information Sharing and early Dialogue with Key Stakeholders Groups	300,000		8,000	308,000
Design and implementation of a national communications strategy for REDD+	150,000			150,000
Design of a web-based platform and dissemination materials	35,000			35,000
Early dialogue and training activities on REDD+ with key stakeholders	35,000			35,000
Communications specialists	80,000		8,000	88,000
1.c Consultation and Participation Process and Grievance Redress Mechanism (GRM)	240,000	80,000	22,000	342,000
Stakeholder analysis and design of a national participation/consultation strategy for REDD+ (includes a gender approach strategy)	55,000	20,000		75,000
Design and implementation of a GRM (includes institutional arrangements, guidelines, salaries, etc.)	123,000	30,000	12,000	165,000
Implementation, monitoring and evaluation of the participation/consultation strategy and GRM	62,000	30,000	10,000	102,000
Component 2. National REDD+ Strategy	1,180,000	85,000	62,000	1,327,000
2.a Assessment of Land Use Change, Forest Policy and Governance.	180,000		12,000	192,000
In depth assessment of direct and underlying causes of deforestation and forest degradation	65,000			65,000
Influence of productive sectors on REDD+	45,000			45,000
Analysis and lessons learned from past policies and programs to reduce deforestation	35,000		12,000	47,000
Negative incentives from policies and legal instruments on deforestation/degradation	35,000			35,000
2.b REDD+ Strategy Options	255,000			255,000
Policy instruments to reduce deforestation/degradation in the agriculture and cattle ranching sectors	50,000			50,000

¹⁴**Note:** The GIZ program is implemented with Governments of Central America and the DR, in coordination with the CCAD. Current contributions to R-PP implementation in DR from this GIZ program is planned for the next 18 months.

¹⁵ Most contributions by the GoDR are in kind institutional resources provided by MERN and other government agencies (e.g. Ministry of Agriculture) that will be dedicated to support preparation activities for REDD+.

Policy instruments to improve productivity in the forest sector	65,000			65,000
Policy and legal instruments to regulate the LULUC Sector	70,000			70,000
Cross-sectoral policy options to reduce deforestation/degradation	70,000			70,000
2.c REDD+ Implementation Framework	305,000	25,000	25,000	355,000
Adjustment to legal/institutional frameworks and specific instruments	70,000	25,000		95,000
Identification of potential sites/projects for REDD+	110,000			110,000
Carbon rights and benefit sharing arrangements	40,000			40,000
Legal/Institutional Specialist	85,000		25,000	110,000
2.d Social and Environmental Impacts (SESA and ESMF)	440,000	60,000	25,000	525,000
Early engagement with key stakeholders		60,000		60,000
Environmental and socio-economic risk assessment studies (e.g. impacts or REDD+ to local communities and ecosystems, vulnerability to climate change, etc)	140,000			140,000
Participation, consultation and dissemination activities	50,000		15,000	65,000
Development of an ESMF	125,000		10,000	135,000
Institutional arrangements and management of the SESA process and ESMF	75,000			75,000
Operational costs and publications	50,000			50,000
Component 3: National Forest Reference /Emission Level	320,000	320,000	50,000	690,000
Technical support for the submission of a REDD+ FREL/FRL to the UNFCCC	105,000		20,000	125,000
Develop a consistent time series of land use change based on standardized protocols		75,000		75,000
Assessment of forest degradation	40,000			40,000
Sampling methods, data gathering and analysis		100,000		100,000
Assessment of emissions and uptake		25,000		25,000
National Forest and Carbon Inventory and LULUCF mapping		120,000		120,000
Develop potential Business as Usual scenarios and econometric modeling	55,000			55,000
Forestry and carbon finance specialists	120,000		30,000	150,000
Component 4: National Forest and Safeguards Monitoring Systems	1,150,000	360,000	190,000	1,700,000
4.a National Forest Monitoring System	1,020,000	275,000	190,000	1,485,000
Establish the logical framework and required institutional arrangements for MRV	30,000			30,000
Strengthen the institutional capacity of key agencies involved in the national forest monitoring system for REDD+		60,000	50,000	110,000
Development of an information platform prototype to monitor forest and LULUCF activities	50,000			50,000
Forest monitoring and systematization pilot for REDD+		45,000		45,000
Forest cover map (<i>Rapideye</i> and Landsat images)		170,000		170,000
Strengthening of the remote sensing and forest monitoring unit	60,000		60,000	120,000
National Forest Inventory	550,000		80,000	630,000

Development of expansion factors and algometric equations.	145,000			145,000
Support a research program on forest monitoring	60,000			60,000
Strengthening of the GHG inventory unit (LULUCF sector)	125,000			125,000
4.b Information system for multiple benefits, other impacts, governance and safeguards.	130,000	85,000		215,000
Development of monitoring protocols to assess the environmental impacts of the ENA- REDD+	40,000	30,000		70,000
Development of monitoring protocols to assess the socioeconomic impacts of the ENA- REDD+	25,000	20,000		45,000
Development and pilot a community-based, non-carbon monitoring methodologies and baselines.	65,000	35,000		100,000
Component 5: Monitoring and Evaluation (M&E) Framework and Grant Administration	442,000		60,000	502,000
Design of a M&E for the preparation phase	30,000			30,000
Office space and services			60,000	60,000
Project coordination	137,000			137,000
Technical support for fiduciary services	90,000			90,000
External evaluations and audits	120,000			120,000
Equipment	65,000			65,000
TOTAL	3,800,000	845,000	432,000	5,077,000

Annex VI. Integrated Assessment Framework (IAF) for Small and Micro Grants

	Question	Recipient Response	Comments of TTL
Fiduciary Arrangements	Does the Recipient (Implementing Entity) have secure access to the internet and does it have experience of electronic banking?	MENR has secure access to the internet and e-banking experience.	NA
	In what bank does the Recipient hold a bank account if any? Who is authorized to deposit and withdraw funds?	MENR has its bank account at the Reserves Bank (BANRSERVAS), DR public commercial bank.	NA
	Describe Recipient system for recording: (a) financial transactions, including funds received and paid (e.g. up-to-date cash book, as well as reconciled bank statements); (b) complete records of procurement transactions and contract administration eg copies of public advertisements, the bidding/proposal documents, the final bid/proposal evaluation report (c) Signed originals of the final contract, invoices etc. Are cross-references to pertinent files adequate and clear?	a) MENR uses the country integrated financial management information system (SIGEF), for recording financial transactions. It allows for automated processes and reporting, and there are control features (soft and hard controls) embedded into the system. b) Signed originals of the final contract are filed, and cross-references to pertinent files are adequate and clear.	NA
	Does the Recipient have a filing system for maintaining written records of procurement, financial and contract documents? Who has access to these records? Can anyone in the office access the files during working hours?	MENR has a filing system for maintaining written records and keeps them within the corresponding offices with restricted access.	NA
	Does the Recipient have staff specialized in (a) financial management and (b) procurement (c) contract management? If yes, please specify the qualifications and years of experience for each.	The Recipient has a Procurement Department, however, they do not have experience in Bank operations. There is qualified, experienced financial management staff, adequate for the needs of the Grant, and commensurate with Project scope.	A Procurement and FM specialist will be hired with project proceeds to assist MENR in fiduciary tasks for this project.

	Does the Recipient organization have an Operating Manual that describes (a) the internal control system and (b) procurement management of the project? If yes, please attach a copy.	An OM will be drafted for the Project prior to effectiveness.	The OM is under preparation
	Is the accounting system computerized or done manually?	The country system (SIGEF) is computerized.	NA
	Do standard templates (ie contract forms) exist for the type of expenditures (consulting services, goods, works) and procurement methods that will be financed by the grant? If so please attach copies.	The Recipient uses the local procurement procedures (Law 340-06) for all their procurement processes.	NA
	How often does the Recipient produce interim financial reports? What information is included in the financial reports (such as income and expenditure tables, balance sheet, reconciled bank accounts)?	MENR produces interim financial reports with key information whenever they need it, as the recording is online. They are formally produced for circulation to high level officers at least quarterly.	NA
	<p>Does the Recipient have financial audit reports? If yes, please attach a copy of each of the two most recent audited financial statements (including the Management Letters from the auditors for the same periods) and procurement reports.</p> <p>Does the audit include procurement? If not, is there any form of oversight of procurement eg third party monitoring?</p> <p>Are the annual financial statements audited by an external audit firm? If so, please provide name and contact information.</p> <p>Are the audit reports public and/or published on the website? If so please provide the link.</p>	<p>MENR is subject to external audits performed by the Chamber of Accounts, DR Supreme Audit Institution (DR SAI). Last audited periods corresponds to FY2008, 2009 and 2010. Audit reports are publicly available at the institutional portal of the DR SAI.</p> <p>https://www.camaradecuentas.gob.do/index.php/auditorias-realizadas-por-categoria/administracion-publica-central/category/246-ministerio-de-medio-ambiente-y-recursos-naturales.html.</p> <p>Auditors also reviewed Procurement. SAI's opinions on internal controls were qualified with exception (not clean), mostly due to weaknesses resolved and closed. The OM will define measures to strengthen the internal control environment. The audit for the Project will require an opinion based on the (COSO) internal control integrated framework as established by the Controller</p>	NA

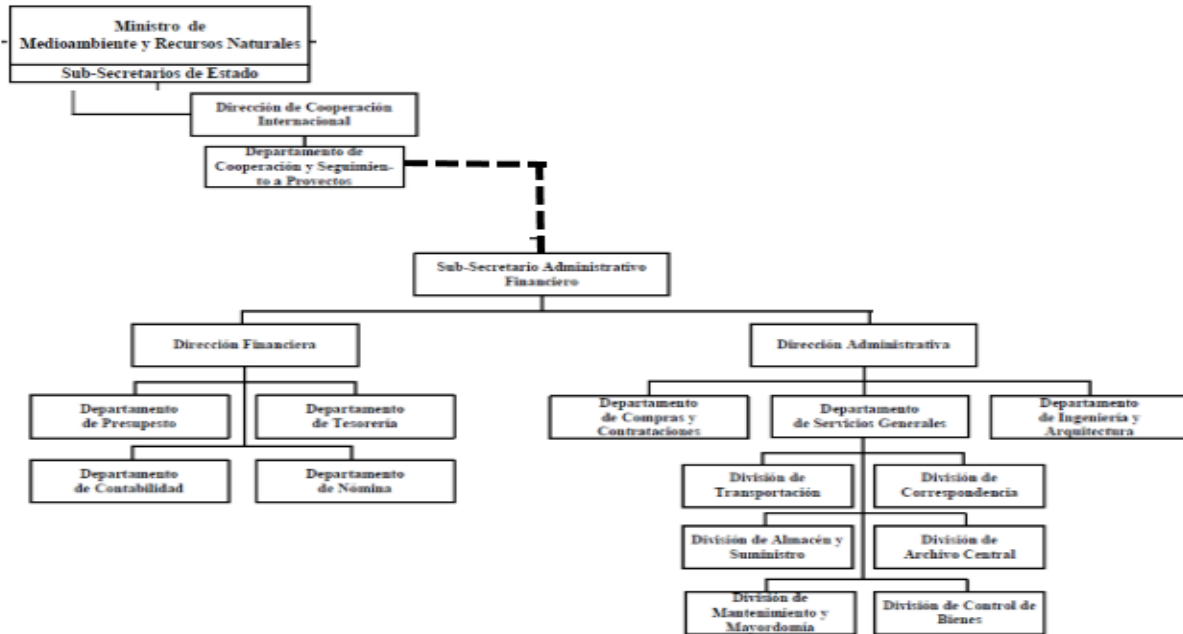
		General of the DR.	
	What measures are in place to ensure the integrity of the (a) FM and (b) procurement process (e.g. regular board meetings, externally audited reports)? Do the evaluation committee members sign a declaration of impartiality and disclose any conflicts of interest? If so please attach a copy of the declaration.	Integrity is evaluated mostly by externally audited reports. Integrity and risks handling Bank proceeds will be audited as inherent elements of the (COSO) framework.	NA
	Has the Recipient procured and administered contracts of a similar type and size to the one for which it will be responsible under the grant-financed project/activity? If so, please indicate (for the last two years): (a) type of contracts (consulting firms, individual consultants, goods, works); (b) the average contract amount per each type of contract; (c) the number of such contracts per year.	MERN has limited experience with procurement and administration of contracts such as those considered for this project.	The FM staff to be hired under the project will have to have proven experience in this type of transactions. Such staff will be responsible to ensure compliance and quality of the project procurement processes.
	What experience does the Recipient have in monitoring and evaluation of projects? Does the Recipient have staff capable of undertaking M&E work? Does the Recipient already have an M&E system in place?	MENR has some experience in implementing M&E systems for other projects financed by donors (e.g. GIZ). MENR has limited capacities to conduct M&E activities, and has rudimentary tools to conduct this task.	One of the responsibilities of the PIU will be to develop and implement an M&E system for the project.

Annex VII: Financial Management Assessment and Mitigating Actions

1. The Bank carried out a financial management (FM) assessment to the Ministry of Environment and Natural Resources (MENR) as fiduciary entity and overall coordinator of the FOREST CARBON PARTNERSHIP FACILITY REDD+ READINESS PREPARATION SUPPORT PROJECT (P151752), a US\$3.8 M operation over a three-year period. The results of this assessment were discussed with the entity's officials. Based on the results of this assessment and entity's track record, the Bank conclusion is that MENR has adequate capacity to carry out the FM tasks envisaged under this Project.
2. There is a FM Division is formalized within the organizational structure of the MENR, with the required capacity and experience for implementing donor funded operations will handle fiduciary tasks. This FM Division is adequately staffed, with appropriate systems and controls in place. This Project will be relying on the FM information system (DR country system –UEPEX) to be implemented shortly after the signing of the grant. Except for the audit to be performed by external audit firms, no ring-fencing is required for FM with the Project following Bank's preferred approach of strengthening and using country systems wherever appropriate and feasible.
3. Overall FM arrangements for the Project, including organization and staffing, planning and budgeting, accounting and reporting, and external audit, are assessed as satisfactory. Internal controls have revealed some weaknesses in previous external audits performed by the DR Supreme Audit Institution; correspondingly, the internal control section of the Operating Manual will be carefully defined for this Project.
4. The frequency of Project interim financial reports (IFRs) will be semiannual, to be submitted to the Bank within 45 days after the end of the reporting period. The Project financial audit will be carried out annually, to be submitted 4 months after the end of the fiscal year, as required to DR public entities. The Project will open two segregated bank accounts: (i) a Designated Account in the Central Bank of the DR denominated in US Dollars (US\$) to process Bank proceeds; and (ii) an Operating Account at the Reserves Bank (BANRESERVAS) denominated in local currency (Dominican pesos -RD\$). The Project flow of funds will follow a simple path. Methods of disbursement will be advance, reimbursement and direct payment. Statement of Expenses (SOEs) will be used to document disbursement.
5. The MENR will follow established financial management (FM) procedures to be included in the Project Operations Manual. For country specific laws and regulations, the Project will follow those applicable, including:
 - a. The MENR FM Manual, which includes the entity's internal control system
 - b. DR Government Financial Guidelines
 - c. Ethics Code for public employees established by Law 41-08 of the Public Function.
 - d. DR Law 340 on Public Procurement
 - e. DR laws on taxes and duties, paying attention to exemptions applicable to programs and projects with external sources of funds
 - f. Organizational functions and roles

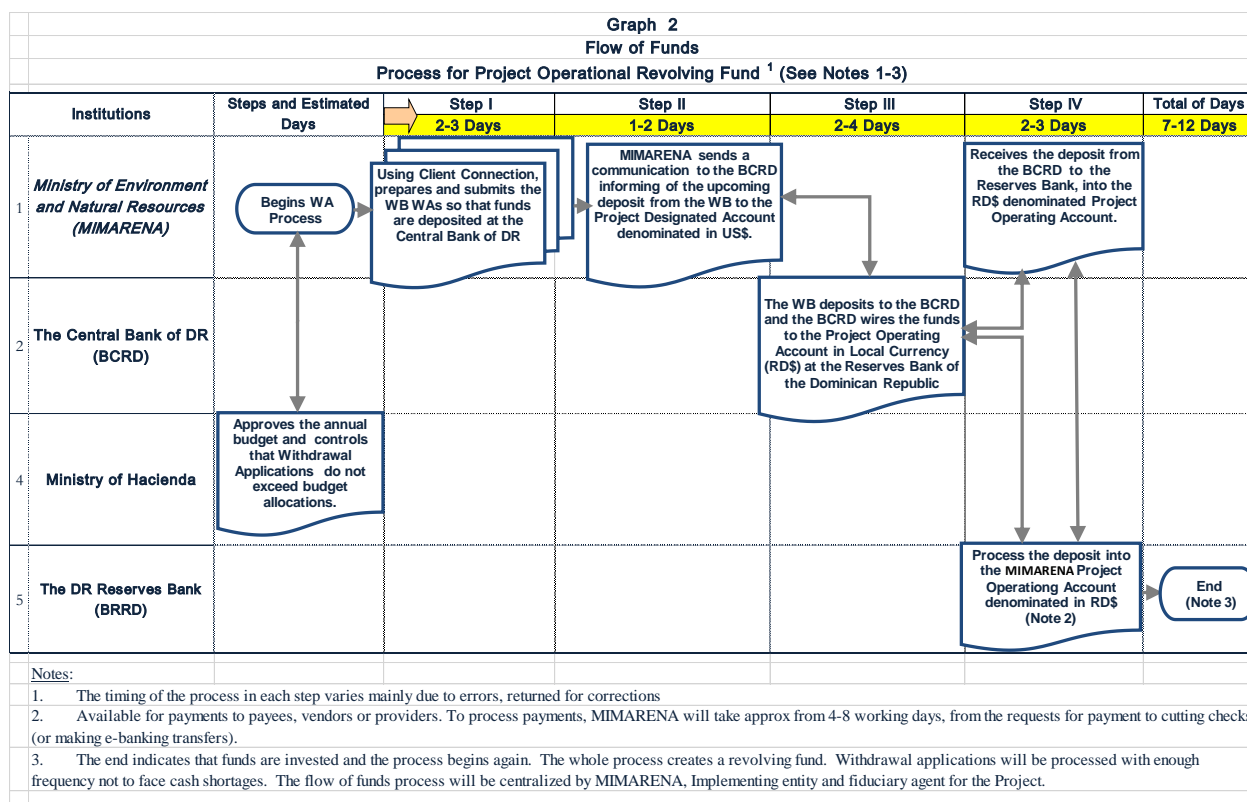
- g. DR Citizen’s Access to Public Information Law 200-04, which is in line with Bank policy.

Graph 1 –Organizational Chart of MENR
(To be Confirmed)



- a. The unit has built a cadre of qualified FM professionals with Bank experience, and commensurate with Project scope. As activities unfold, the MENR and the Bank may agree on additional FM staff in order to bear with incremental workload as Project activities accelerate.
- b. The MENR already has in place and properly running, the country FM information system (SIGEF); however, the entity will implement the country system for Projects with external financing (UEPEX, the DR FM IT country system). It can track components, categories and activities online. It also has automated recording and reporting abilities, fully capable of timely providing accurate financial data for management and monitoring purposes. The Project will benefit from the automated and internal control features embedded into the IT system, including getting online banking excerpts to automate bank account reconciliations.
- c. MENR is subject to entity’s external scrutiny via public audit performed by the Chamber of Accounts. The Chamber of Accounts have issued qualified (not clean) opinion audit reports corresponding to FY2008-2010, with weaknesses in the entity’s internal controls, which are mostly resolved and closed.
- d. Use of simple disbursement and flow-of-funds arrangements, with main processes fully automated, not only to prepare withdrawal applications, but also to timely process payments for Project vendors and providers. On the flow of funds side, it is presented schematically below. The MENR will open two segregate bank accounts: (i) a Designated

Account, denominated in US Dollar (US\$) at the Central Bank of the DR to process Bank proceeds; and (ii) an Operating Account, denominated in RD Pesos (RD\$) to process day to day operations in local currency.



6. Careful attention merits exogenous situations which may pose some risks to project activities, including fiduciary, such as the following:

- A possible change in government administration during the Project Implementation period with DR presidential, congressional, and municipal elections set for May 2016. This may cause a change in key FM staff during the aftermath of the electoral season. Unintended FM staff-turn over will be mitigated during implementation by engaging in a constructive dialogue with the Government at the ministerial level, and by carefully setting requirements and screening competencies of FM candidates.
- Intra-institutional coordination among MIRENA officers needed for the Project may add complexity and risks as it entails unique talents and soft skills will be needed, which are not the brightest features in the DR public sector. The Operations Manual to be validated by the Bank will incorporate a dedicated section for FM processes and procedures clearly defining roles and responsibilities throughout the FM cycle.

7. Likelihood of these exogenous FM risks materializing range from medium-low, since this sector is high in the Government agenda, and MENR has received political support from the President to overcome the challenges posed to be faced by this Ministry. Although risks associated with political decisions outside the Task Team span of control may impact FM

arrangements for this Project, including staffing, the team will be alert to red flags to proactive raise issues to Bank Management and Governmental authorities.

8. The following measures to strengthen financial management were agreed as risk-mitigation and monitoring tools, to be included in the Grant Agreement, the Disbursement Letter and the Operations Manual:

- a. Reporting: Periodicity of reporting was set as semiannual, to be delivered within 45 days after the reporting period, and the annual independent project audit within 4 months after the audited period.
- b. Disbursement: Disbursements will be made according to certified Statement of Expenditures (SOEs). The ceiling for the Designated Account and other disbursement instructions is suggested at US\$750,000. This and other instructions will be formalized in the Disbursement Letter.
- c. Documents –Type and retention period: Full documentation in support of SOEs will be retained by the implementing agency for at least two years after the World Bank has received the audit report for the fiscal year in which the last withdrawal was made.

9. Transparency Features and Fiduciary Implementation Support for the Project:

- a. Transparency: Disbursement, procurement and FM information will be made available for review during supervision by World Bank staff and for annual audits which will be required to specifically comment on the propriety of SOE disbursements and the quality of the associated record-keeping. To adhere to DR Law on access to information, annual audit reports will be posted at the entity's webpage <http://www.ambiente.gob.do>. Audit reports will also be sent to the Supreme Audit Institution (the Chamber of Accounts), to be publicly displayed at the SAI's website www.camaradecuentas.gob.do and for monitoring purposes. The audit report will also be classified as public in Bank systems to comply with Bank policy and the country's access to information law.
- b. Supervision: The scope of the Bank risk-based FM implementation support missions is comprehensive, including full on-site visit plus desk reviews thereafter, its frequency is set as one per year. Customized training on Project specific fiduciary considerations will be provided during the start-up phase, and as frequent as needed. The task team will provide support, so that agreed-upon risk mitigating measures at every Project stage are promptly implemented and robust accountability mechanisms are maintained, so that identified risks are highly unlikely to materialize.

Annex VIII: Readiness Preparation Proposal (R-PP) Submitted by the REDD Country Participant

1. DR presented its R-PP or assessment by the FCPF Participants Committee (PC) at its 16th meeting, held in December 2013, in Geneva, Switzerland. At this meeting, the PC adopted PC resolution PC/16/2013/5 deciding to allocate funding to enable DR to move ahead with REDD+ readiness preparation. The PC requested DR to address the key issues identified in the Technical Assessment Panel (TAP) assessment, as well as those raised by the PC.
2. An R-PP contains a detailed assessment of the consultation and participation plans, the institutional arrangements, the drivers of deforestation and forest degradation, and the definition or terms of reference to establish the Reference Emissions Level based on past emission rates and future emissions estimates. It also contains the requirements needed to establish an MRV system, the steps needed to finalize a ENA- REDD+, and actions for integrating environmental and social considerations into the REDD+ Readiness process.
3. DR submitted a revised R-PP to the FCPF FMT on August 7, 2014 for completeness check. This last version has been cleared by the FMT and it can be downloaded at: <https://www.forestcarbonpartnership.org/dominican-republ>

Annex IX

Participation and Early Dialogue Matrix (based on the stakeholder analysis)

Stakeholder Group	Area of Influence	Role in REDD+	Early Dialogue Participation	RPP Participation	Participatory Platform	Engagement activity/topic during the REDD+ Readiness Phase. (including SESA)
Instituto Politécnico de Azua	Southern	Technical training	Yes	No	No	Training
Instituto Superior de Agricultura (ISA)	Northern	Technical Training	Yes	No	No	Training, research on agriculture and forestry.
Universidad Autónoma de Santo Domingo (UASD)	National	Technical and Vocational Training	Yes	No	No	Training and research.
Pontificia Universidad Católica Madre y Maestra	National	Technical and Vocational Training	Yes	No	No	Training, social research
Universidad Agroforestal Fernando Prío (UAFAM)	National	Technical and Vocational Training	Yes	No	No	Training on agro forestry
Universidad INTEC	National	Technical and Vocational Training	Yes	Yes	Yes	Training and social research
UTESUR	Southern	Technical and Vocational Training	Yes	No	No	Training
Vivero Agroforestal Loma Grande	Northern	Forest Management	Yes	Yes	No	Seedling production, development of forest management tools
Consejo Nacional de Investigaciones Científicas y Forestales CONIAF	National	Technical and Vocational Training	Yes	No	No	Training and research
Instituto Dominicano de Investigaciones Agropecuarias y Forestales IDIAF	National	Technical and Vocational Training	Yes	No	No	Training and research
Centro de Estudios Urbanos y Rurales (CEUR) de la PUCMM	Northern	Technical and Vocational Training	Yes	No	No	Training and research on environmental management, natural resources and forests.
Fundación Ecológica Punta Cana	Eastern Region	Research and training	Yes	No	No	Research and environmental education
	National	Development of environmentally sustainable agriculture	Yes	Yes	Yes	Policy making on agricultural development nationwide. Development of legal and institutional instruments. Coordination with farmers.

Ministerio de Agricultura	National	REDD focal point RF handles the management of forest resources, CM management of forest resources, management of grievances, Assessment of protected areas mapping of land and bringing forest.	Yes	Yes	Yes	Coordinate the implementation of RCPP. Create legal and institutional instruments, Development of administrative tools.
Ministerio de Medio Ambiente y Naturales (AP,CM, RF, PS,IA)	National	Possible arrangements for managing level REDD Internationally	Yes	No	No	International relations, support entities, manage opportunities for cooperation.
Ministerio de Relaciones Exteriores	National	Cooperation for creating climate scenarios	Yes	Yes	No	Support the development of climate scenarios, providing meteorological services throughout the country.
Oficina Nacional de Meteorología	National	Forest conservation in watersheds	Yes	No	Yes	Assist in coordination with the producers of irrigated areas. Provide information on hydrological and soil issues.
Instituto Nacional de Recursos Terrestres (INDRHI)	National	Management of land with agricultural uses	Yes	No	No	Support the tenure regularization (titling) of land. Assist in coordination with the producers of the lands under agrarian reform.
Instituto Agrario Dominicano	National border	Promote possible REDD activities in border region.	Yes	No	No	Assist in the collection of information in the border area. Assist in coordination with the producers of the border area.
Dirección General de Desarrollo Rural (DGDR)	National	Policy formulation and land use planning	Yes	No	No	Support the mainstreaming of land management in the forestry sector. Assist in the collection of information and preparation of land use maps.
Dirección General de Ordenamiento Territorial (MEPyD)	National	Supporting the appropriate inclusion of gender dimensions within the REDD project.	Yes	No	No	Supporting the appropriate inclusion of gender dimensions within the REDD project., and the program's activities at the national level.
Ministerio de la Mujer	Northern	Pilot project area for REDD	Yes	Yes	Yes	It will be a learning and practice ground for the program. Experience exchange. Training.
Proyecto PSA-CAY	National	To promote potential projects for the development of own coffee production.	Yes	No	Yes	Promotes the incorporation of REDD in coffee development policy of the Dominican Republic. Assist in coordination with the coffee growers. Support in the process of research and consultation with the coffee.
CODOCAFE	National	Agricultural financing	Yes	No	No	Information regarding agricultural producers
Banco Agrícola	National	Sustainable Livestock Management	Yes	Yes	No	Support incorporation of livestock producers in the program activities.
Dirección General de Ganadería	National	Coordination role to harmonize legal aspects and compensation mechanisms with the producers.	Yes	No	No	Support research activities. Develop instruments to launch REDD-related activities.
Ministerio de Energía y Minas	National	Contribute expertise on conservation watersheds	Yes	Yes	No	Support research on water. Support the incorporation of producers irrigation areas in the program's actions. Institutional development and legal tools to implement REDD
Instituto Nacional de Agua Potable y Saneamiento Básico	National	Forestry advisors	Yes	No	Yes	Training and research. Encourage and support the participation of their members.
	Local	Community representation to ensure participation of local interests	Yes	No	Yes	Will continue to promote the participation of the inhabitants of the province San José de Ocoa, mainly agricultural producers in self-managed nature, educational, cultural, environmental, and health

						programs.
	Northern	Promote inclusion of gender at the local level	Yes	No	No	Will continue to promote the empowerment of women through the Organization, Training and productive initiatives
Asociación Nacional de Profesionales (ANPROFOR)	National	Professional technical support for building	Yes	Yes	Yes	It is a private organization Nonprofit that will continue to promote the sustainable development of the agricultural and forestry sector, through the training, information, institutional innovation and analysis of policies and sectoral strategies.
Asociación para el Desarrollo de San Joaquin (ADESJO)	Local, Padre	Promote social inclusion and equity of REDD at the local level	Yes	No	No	Will contribute analysis of social justice, equal rights and gender equality.
Centro de la Mujer y Participación (San Joaquin) CEDEMUR	Local, Provincia	Promote local representation and inclusion of REDD projects	Yes	No	No	Will continue to implement projects that empower grassroots groups, ensure financial services, protect the environment and encourage small firms
Centro para el Desarrollo Agropecuario (CEDAF)	Local, La Vega	Permanence of the forest as a natural resource	Yes	No	No	Will represent providers of sporting, leisure, adventure, ecological and cultural activities.
Centro de Estudios y Promoción Social	Local, Elías	Local representation and promotion of REDD projects	Yes	No	Yes	Promote local development through the active participation of the inhabitants of Savannah Mule.
Centro de Investigación y Educación Ambiental (IEPO)	National	Professional technical support for the implementation of the forest policy	Yes	Yes	Yes	It is a facilitating agency strategies and solutions for environmental sustainability, with a view to widely influencing decision-making in the environmental sector, through the transfer of validated experiences of high quality and the coordination of organizations, resources and capabilities
Clúster Eco turístico Jarabacoa	National	Trade Union representativeness REDD projects	Yes	Yes	Yes	It is a civil association of entrepreneurial Trade Union character and National in scope, that brings together individuals and legal entities, whose activities are linked with the forestry sector in all its manifestations
Consejo Comunitario de Sabana Mula	Local, la	Local financial support for possible REDD projects	Yes	No	Yes	Will help to engage community by involving values, saving and credit through innovative ideas, efficiency and responsibility.
Consortio Ambiental Dominicano	National	promotion of sustainable and participatory REDD projects	Yes	No	Yes	Will contribute to discussion through the lens of promoting human development, conservation and preservation of natural resources, human formation, the research and participatory action.
Cámara Forestal Dominicana	Local, San Juan	Represents interests of local shade-grown coffee growers	Yes	No	Yes	Will engage shade-grown coffee growers in discussion.
Cooperativa San Rafael	Southern	promote potential projects locally shade-grown coffee growers	Yes	No	Yes	It serves as a focal point of community growing local coffee, which brings together and educate members of small cooperatives from across the Southern Region.
Enda Dominicana	Local, Azua	Ensure the participation and inclusion of women in REDD activity at the local level.	Yes	No	No	It gathers associations of peasants producing farm in the province of Azua.
Federación de Caficultores de San Juan (FECADESJ)	Southern	promotion of the sustainable and productive forestry development at the local level.	Yes	No	Yes	It promotes sustainable use of dry forests to generate income in the low-income families.

Federación de Caficultores de la Sur FEDECARES	Local, Elías	promotion of participatory developme level.	Yes	No	No	It aims to contribute to social development and ecoNomic in the Elías Piña province
Federación de Campesinos ente Mamá Tingo Azua	Southern	promotion of the sustainable and ory development at the local level.	Yes	No	Yes	Promotes plans, programs and development projects sustainable, human, social, ecoNomic, cultural, environmental and education of communities most in need.
Federación de Productores de Bosque ROBOSUR	Local, s	promotion of participatory developme level.	Yes	No	No	It promotes the development of the province of pedernales through community projects.
Federación de Integración y Desarrollo FIDEP	National	promote community forestry projects	Yes	Yes	No	It is dedicated to the development of community-based conservation projects.
Fundación para el Desarrollo de Azua, y Elías Piña (FUNDASEP)	Southern	promotion of the sustainable and ory development at the local level.	Yes	Yes	Yes	Contribute to the ecoNomic, social and human development of the poor in the Dominican Republic and to the sustainable management of the environment and natural resources.
Fundación para el Desarrollo de s (FUNDACIPE)	Southern	Conservation of forest for water n	Yes	No	No	It protects and restores the basin of the Nizaíto River through both National as interNational cooperation projects.
Fundación PRONATURA	Southern	promotion of the sustainable and ory development at the local level.	Yes	No	Yes	It promotes and contributes to educational, scientific and techNological activities which contribute to the development of the city of Bahía Blanca and the region.
Fundación Sur Futuro	National	promotion of sustainable developmen uilding.	Yes	No	No	It promotes the protection of the environment through scientific technical methods and the application of the legal framework.
Fundación para la Protección de la el Rio Nizaíto.	National	promotion of sustainable developmen uilding.	Yes	No	Yes	It contributes to the sustainable management of biodiversity with emphasis on the reserve of the biosphere Jaragua-Bahoruco-Enriquillo and its surroundings, as well as well as participate in actions relating to the natural areas of the Dominican Republic
Fundación del Sur para el Desarrollo eco FUNDASUR	National	Technical support for capacity-buildin	Yes	No	Yes	Researches, develops and promotes proposals for projects to various departments of the IDDI implemented to improve the quality of life of the beneficiary population
Grupo Ambiental Hábitat	National	Technical support for capacity-buildin	Yes	No	No	It contributes to development in the Dominican Republic, of organizational structures, ecoNomicas-sociales relationships, values and a legal framework based on Social and solidarity ecoNomy.
Grupo Jaragua	National	strengthening of transparency	Yes	No	Yes	a Non-partisan civic movement for dialogue and pressure for the construction of a society that is democratic, transparent and free of corruption and impunity.
Instituto Dominicano de Desarrollo DDI	Northern	strengthening of transparency	Yes	No	No	It promotes transparency and legality in the management of public funds
Instituto de la Economía Asociativa	Northern	Conservation of forest for water n	Yes	No	Yes	Promote the sustainable management of resources, water, soil, forest and biodiversity so that saw fulfills its function of regional produce clean water for human consumption and industrial consumption and irrigation for agricultural production in the Northwest Region
Participación Ciudadana	Northern	Community representation to ensure t of local interests	Yes	No	No	Develop joint actions within the framework of the competences legally assigned to its members for the preparation of plans, programs and projects to their municipalities.
Pastoral Social Caritas	Northern	Community representation to ensure t of local interests	Yes	No	No	Develop joint actions within the framework of the competences legally assigned to its members for the preparation of plans, programs and projects to their municipalities.

Plan Sierra Inc.	Eastern region	Community representation to ensure of local interests	Yes	No	No	Develop joint actions within the framework of the competences legally assigned to its members for the preparation of plans, programs and projects to their municipalities
Mancomunidad Municipios Madre de Jarabacoa, Constanza, Jánico, San José Matas y Monción	Southern	Community representation to ensure of local interests	Yes	No	No	Develop joint actions within the framework of the competences legally assigned to its members for the preparation of plans, programs and projects to their municipalities
Mancomunidad Municipios Cibao-Sur	Southern	promotion of the sustainable and orderly development at the local level.	Yes	No	No	It fights for the protection and conservation of the natural resources of Barahona and the Region Enriquillo
Mancomunidad Municipios Monte	Northern	promotion of the sustainable and orderly development at the local level.				Promotes actions aimed at sustainability in the relationships between human beings and nature, through the strengthening of the management toward knowledge and respect by the natural environment and biodiversity
Mancomunidad Municipios del Lago	Regional	Representation of local and regional users.	Yes	No	No	It brings together and represents all users seated irrigation systems in its area of influence
Sociedad Ecológica de Barahona	Regional	Representation of local and regional users.	Yes	No	No	It brings together and represents all users seated irrigation systems in its area of influence
Sociedad Ecológica del Cibao	Local	Representation of local and regional users.	Yes	No	No	It brings together and represents all users seated irrigation systems in its area of influence
Junta de Regantes María Trinidad	Northern	Conservation of forest for water, conservation of the landscape and the development of the region.	Yes	No	Yes	Develops actions to ensure a balance between conservation and reasonable use of the natural resources of the Loma Quita Espuela and the improvement of the quality of life in communities that are directly linked to the reserve
Junta de Regantes Yaque del Sur, Azua	National,	Technical support for the creation of agricultural development policies.	Yes	No	No	strengthening of the official sector, through an ongoing technical assistance programs of the Government's agricultural development.
Junta de Regantes Padre Las Casas	National,	Technical support in the socialization, EDD and solution of conflicts in the production.	Yes	No	No	Join civil society organizations in the implementation of participatory local initiatives that contribute to the protection of the environment and the conservation of the natural resources of global importance, generating well-being more marginal populations.
Fundación Loma Quita Espuela						
Organización Mundial para la Alimentación, FAO						
Programa de Pequeños Subsidios del PPS), PNUD						

Annex X: Strategic options and their relationship with the drivers of deforestation

Direct causes of deforestation and forest degradation

- Agricultural expansion (mostly sugarcane, cacao, coffee, palm oil)
- Cattle ranching
- Forest product extraction
- Hurricanes
- Forest fires
- Infrastructure construction
- Mining
- Firewood collection
- Tourism

Underlying causes of deforestation and forest degradation

- Demographic growth
- Poverty and social inequality
- Development and fiscal policies

Strategic options to address the drivers of deforestation and forest degradation

- Identify and promote sustainable farming practices adapted to small farmers on vulnerable areas and areas with steep slopes;
- restore degraded lands and protect critical areas;
- promote productive and livelihood activities compatible with conservation;
- promote the establishment of silvopastoral systems that combine livestock management techniques with the production of forage and timber;
- Promote small scale forestry in agricultural lands as a land restoration and biodiversity conservation strategy;
- Create a financing instrument for the implementation of land restoration and conservation actions;
- Implementation of an awareness-raising program for sustainable production in hillside land.

Strategic options for increasing forest profitability

- Support adequate management of protected areas;
- Empower society in the care and rational use of forest resources;
- Promote sustainable forest management;
- increase carbon sequestration through multi-purpose reforestation;
- Promote social forestry;
- Implement Payment for Environmental Services schemes;
- Promote adequate fire management in forests, and post-fire restoration actions;

- Strengthen the monitoring of illegal logging and trade in forest products;
- Strengthen forestry production for renewable energy programs;
- Strengthen the wood processing and transformation capacity of the forestry industry;
- Promote the management and production of non-timber forest products (flowers, spices, resins, fungi, etc.);
- Promote education and training in forestry techniques;
- Strengthen forestry research;
- Strengthen forest management towards the sustainable supply of forest products;
- Strengthen the supply chain of timber products originating from management plans and forest plantations;
- Establish energy farms to supply the domestic and international market for charcoal;
- Promote the incorporation of environmental and ecotourism education in forestry projects;
- Promote the use of native and endemic species of high ecological value

Strategic options for improving land use regulation

- Promote and strengthen of land zoning regulations;
- Cross-sectoral harmonization with the policies and strategies of the most dynamic sectors of the economy with an impact on land use change;
- Promote and strengthen land titling and land cadaster projects;
- Promote legal and institutional adjustment to the forest sector;
- Promote integrated approaches to landscape management and develop sustainable multi-sector responses;
- Strengthen forest governance;
- Promote community development activities and capacity building for environmental management;
- Highlight the role of forests to reduce the country's vulnerability to natural disasters;
- Strengthen the political, legal and institutional framework for forest management with an effective participation of stakeholders with an interests in forests;
- Establish an effective national system for monitoring and control of forest resources.

Annex XI. Background on the FCPF and REDD+ Readiness

1. The Forest Carbon Partnership Facility (FCPF) is assisting developing countries in their efforts to reduce emissions from deforestation and forest degradation, and the role of conservation, sustainable management of forests and enhancement of forest (REDD+) by providing value to standing forests. It was announced at CoP13 in Bali in December 2007 and became operational in June 2008.

2. The FCPF is helping build the capacity of developing countries in tropical and subtropical +regions to reduce emissions from deforestation and forest degradation and to tap into any future system of positive incentives for REDD+. The aim is to enable countries to tackle deforestation and reduce emissions from REDD+ as well as develop capacity for assessment of measurable and verifiable emission reductions.

3. The FCPF has the dual objectives of:

(i) Assisting tropical and subtropical forest countries in developing the systems, policies, and capacity for REDD+ (Readiness Mechanism); and (ii) Testing a program of performance-based incentive payments in some pilot countries, on a relatively small scale, in order to set the stage for a larger system of positive incentives and financing flows in the future.

4. Two separate mechanisms have been set up to support these objectives: (i) Readiness Mechanism; ii) Carbon Funding Mechanism. The FCPF's initial activities relate to strategic planning and preparation for REDD+ in IBRD and IDA member countries in the tropics across Africa, East Asia and Pacific, Latin America and the Caribbean and South Asia. Specifically, countries prepare for REDD+ by:

- i. Assessing the country's situation with respect to deforestation, forest degradation, conservation and sustainable management of forests and relevant governance issues;
- ii. Identifying REDD+ strategy options;
- iii. 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;
- iv. Working out a reference level of historic forest cover change and greenhouse gas emissions and uptake from deforestation and/or forest degradation and REDD+ activities, and potentially forward-looking projections of emissions; and
- v. Designing a monitoring system to measure, report and verify the effect of the ENA-REDD+ on greenhouse gas emissions and other multiple benefits, and to monitor the drivers of deforestation and forest degradation, as well as other variables relevant to the implementation of REDD+. These preparatory activities are referred to as 'REDD+ Readiness' and are supported in part by the Readiness Fund of the FCPF. This FCPF Readiness Preparation grant activity (referred to as "Project" in the R-PP Assessment Note) will fund only a portion of the R-PP activities, but will help the Country towards achieving REDD+ Readiness, even though the Country may not reach this stage until well after the grant closes; it will not finance any implementation of REDD+ activities on the ground (e.g., investments or pilot projects).

5. These preparatory activities are referred to as ‘REDD+ Readiness’ and are supported in part by the Readiness Fund of the FCPF. This FCPF Readiness Preparation grant activity (referred to as “Project” in the R-PP Assessment Note) will fund only a portion of the R-PP activities, but will help the Country towards achieving REDD+ Readiness, even though the Country may not reach this stage until well after the grant closes; it will not finance any implementation of REDD+ activities on the ground (e.g., investments or pilot projects).

6. It is expected that approximately eight to twelve countries that will have made significant progress towards REDD+ readiness will also participate in the Carbon Funding Mechanism and receive financing from the Carbon Fund. Specifically, these countries will benefit from performance-based payments for having verifiably reduced emissions from deforestation and/or forest degradation through their Emission Reductions Programs. The structure of these payments will build on the options for REDD+ that are currently being discussed within the UNFCCC process, with payments made to help address the causes of deforestation and degradation.

7. The experiences generated from the FCPF’s methodological, pilot implementation and carbon finance experience will provide insights and knowledge for all entities interested in REDD+. The FCPF thus seeks to create an enabling environment and garner a body of knowledge and experiences that can facilitate development of a much larger global program of incentives for REDD+ over the medium term. Forty-seven countries have been selected into the FCPF

Annex XII: Draft Strategic Environmental and Social Assessment Work plan



**MINISTERIO DE
MEDIO AMBIENTE Y
RECURSOS NATURALES**

EVALUACIÓN AMBIENTAL Y SOCIAL ESTRATÉGICA (SESA)

Plan de Trabajo SESA REDD+ República Dominicana

Redución de
Emisiones por
Degradación de los bosques y
Deforestación
+ y más

Elaborado por la Dirección de Cambio Climático y
Dirección de Participación Social
del Ministerio de Medio Ambiente, Abril 2015

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Introducción

La Evaluación Social y Ambiental Estratégica (SESA, por sus siglas en inglés) es una metodología analítica que incluye un proceso participativo, la cual apoya la fase de preparación y contribuye al diseño de la Estrategia Nacional REDD+ desde la perspectiva de los actores clave. La SESA ha sido adoptada por el Comité de Participantes del Fondo Cooperativo para el Carbono de los Bosques (FCPF), como un requisito para el cumplimiento de las políticas operacionales ambientales y sociales del Banco Mundial.

La SESA busca integrar consideraciones sociales y ambientales durante el proceso de diseño de la estrategia REDD+ y su producto principal es el Marco de Gestión Ambiental y Social (ESMF por sus siglas en inglés), el cual guiará la fase de implementación para REDD+ en lo correspondiente a la gestión efectiva de los riesgos e impactos sociales y ambientales. El Marco de Gestión Ambiental y Social (ESMF) es el instrumento operacional que especificará los procedimientos e instrumentos para la gestión ambiental y social que acompañarán la implementación de actividades futuras en el terreno en base a la estrategia nacional REDD+; con el objetivo de realzar los beneficios ambientales y sociales y proporcionar medidas de mitigación y manejo de riesgos e impactos asociados a dichas actividades.

El proceso SESA a lo largo de la fase de la implementación de la estrategia nacional fortalece el diálogo y la inclusión de las perspectivas de los diferentes grupos de actores promovido desde la preparación del R-PP. Como antecedente, el SESA se da inicio con el Taller Nacional SESA multi-sectorial y multi-actor realizado en marzo 2015 en Santo Domingo donde se dio a conocer la propuesta de una estrategia nacional REDD+, se sometieron a validación las opciones estratégicas propuestas desde la perspectiva de los diferentes grupos de actores claves así como las causas de deforestación identificadas en el R-PP.

En el presente documento, se desarrolla el borrador del Plan de Trabajo SESA, para República Dominicana, en el marco de la implementación de la Estrategia REDD+ proponiendo una ruta crítica de actividades y la preparación del Marco de Gestión Ambiental y Social (ESMF).

Antecedentes

1.1 Contexto Político, Económico y Social

La República Dominicana posee una población de 9.2 millones de habitantes, aunque el 68% es urbana, la población tiene un crecimiento promedio anual de 1.6% y una tasa de desempleo de 17%, y en las últimas décadas ha logrado importantes progresos en su consolidación democrática, sin embargo todavía persisten patrones de exclusión sobre sectores sociales, especialmente sobre los pobres, (en 2001 la tasa de pobreza había caído de 38% en 1986 a 29% en 1998 y la pobreza extrema disminuyó a 5% (*Banco Mundial; 2001*), que hace que se profundicen aun más su situación, especialmente aquellas familias que no tienen acceso a los servicios sociales básicos.

La situación se agrava más cuando anexamos los resultados impactantes que se derivan del mal uso de los recursos naturales del país, especialmente los llamados recursos de vida como el recurso agua, suelo y bosques.

La degradación y deterioro de los bosques debido entre otros factores al elevado consumo de los recursos que contienen y el deteriorado de algunas de sus cuencas, afecta negativamente la base productiva nacional y aumenta la vulnerabilidad a los desastres naturales.

Desde el 2004, en el país se han implementado un conjunto de medidas dirigidas a corregir esos desequilibrios, políticas fiscales, medidas de reforma tributaria, política energética, focalización de subsidios en los combustibles y la atención de los atrasos en el servicio de la deuda pública, entre otras. Estas medidas, buscan mejorar los niveles de confianza e iniciar procesos de recuperación económica.

En el corto y mediano plazo, el país debe enfocarse a los grandes desafíos sociales y ambientales que tiene, en formular e implantar estrategias para proteger, recuperar los recursos del bosque y detener su deterioro, implementar mecanismos de institucionales y de coordinación inter-territorial necesarios para la prevención y recuperación de sus recursos básicos para garantizar un verdadero desarrollo sostenible y reducción de la pobreza.

El país cuenta con estructuras instaladas y políticas sociales y ambientales claras que buscan revertir estos procesos. La Constitución de la República Dominicana, proclamada el 26 de enero, publicada en la Gaceta Oficial No. 10561, del 26 de enero de 2010, que contiene dentro del IV de los recursos naturales en su artículo 14, que plantea que son patrimonio de la Nación. *Los recursos naturales no renovables que se encuentren en el territorio y en los espacios marítimos bajo jurisdicción nacional, los recursos genéticos, la biodiversidad y el espectro radioeléctrico.*

Así mismo en y en su artículo 15 sobre los recursos hídricos. Plantea que el *agua constituye patrimonio nacional estratégico de uso público, inalienable, imprescriptible, inembargable y esencial para la vida. El consumo humano del agua tiene prioridad sobre cualquier otro uso. El Estado promoverá la elaboración e implementación de políticas efectivas para la protección de los recursos hídricos de la Nación.*

Otros documentos de interés nacional esta la Estrategia Nacional de Desarrollo, La Ley General de Medio Ambiente y Recursos Naturales (64-00), La Ley 64-00 de Medio Ambiente y Recursos Naturales de la República Dominicana, y dentro de sus considerando plantea, *Que es un deber patriótico de todos los dominicanos, apoyar y participar en cuantas acciones sean necesarias para garantizar la permanencia de los recursos naturales para uso y disfrute de las presentes y futuras generaciones.*

En su artículo 6, establece *La libertad de los ciudadanos en el uso de los recursos naturales se basa en el derecho de toda persona a disfrutar de un medio ambiente sano.* El estado garantizara la participación de las comunidades y los habitantes del país en la conservación, gestión y uso sostenible de los recursos naturales y el medio ambiente, así como el acceso a información veraz, y oportuna sobre la situación y estado de los mismos.

El numeral 11 del artículo 18 establece que dentro de las funciones del Ministerio de Medio Ambiente y Recursos Naturales, es propiciar la integración de la sociedad civil y las organizaciones de los planes, programas y proyectos destinados a la preservación y mejoramiento del medio ambiente.

Así mismo el plan Estratégico Institucional 2012-2016 del Ministerio Ambiente, la Ley 202-04, sobre el Sistema Nacional de Áreas Protegidas (SINAP) de la República Dominicana, creado como una Ley Sectorial de Áreas Protegidas, entre otras presentan un bosquejo legal que contribuye a enfrentar, en forma planificada, el severo deterioro de los ecosistemas boscosos y la pérdida de servicios ambientales que son la clave para la supervivencia de la humanidad y garantizar su participación efectiva.

De cara a estas circunstancias y situaciones nacionales, los mandatos de la Convención Marco de las Naciones Unidas sobre Cambio Climático (CMNUCC), REDD+ inmenso en la elaboración de la propuesta estratégica REDD+ con todas sus prerrogativas, el componente social es una prioridad estratégica.

1.2 Contexto dentro de la Estrategia Nacional REDD+

En el 2010, la Republica Dominicana tomó el reto de desarrollar una Estrategia REDD+ con el financiamiento del programa REDD/CCAD-GIZ, a mediados de ese año se realizo el primer Taller Nacional REDD que sirvió como insumo para la primera fase del diseño de la Estrategia país.

Dentro de la fase de diseño de la Estrategia, años 2011-12 se realizó una fase de participación y consulta a nivel nacional con la realización de talleres con productores, campesinos y otros actores claves para el proceso de preparación de la Estrategia REDD+.

A finales de 2012 se preparó y socializó el Primer Borrador del R-PP de la República Dominicana, mediante talleres nacionales y sub-nacionales con representantes comunitarios, instituciones estatales, organizaciones de productores, empresarios, técnicos y profesionales el cual fue objeto de mejoras durante ese proceso.

En diciembre de 2013 en Ginebra, suiza, fue presentada la Propuesta para la Preparación de Readiness (R-PP) al Fondo Cooperativo para el Carbono de los Bosques (FCPF por sus siglas en inglés) que maneja el Banco Mundial. La propuesta de la República Dominicana fue aceptada, con lo cual el país pasa a ser parte de las naciones que trabajan en crear las condiciones para un ambiente de REDD+, con el objetivo de reducir las emisiones provenientes de la degradación y deforestación, así como proveer de beneficios ambientales a los ecosistemas y las comunidades humanas del entorno.

Para la implementación de la Estrategia REDD+ y por requerimiento del FCPF se debe desarrollar una serie de iniciativas de índole participativo o construcción conjunta entre los diversos actores involucrados en el sector forestal nacional e integrado en sus diversos componentes: monitoreo verificación y validación, nivel de referencia, consulta, el marco para la gestión ambiental y social; esto último en el contexto del proceso de Evaluación Estratégica Social y Ambiental (SESA). Este enfoque participativo es fundamental en la consolidación de una Estrategia REDD+ para poder acceder a los fondos de carbono.

En mayo del 2014 se realizó el taller “Preparación de la Hoja de Ruta para SESA” con la colaboración del Comité de Seguimiento para REDD+ ampliado y la participación del enlace regional para salvaguardas del Programa REDD/CCAD-GIZ, en marzo 2015 los días 12 y 13, se realizó el primer taller nacional SESA dando inicio al proceso de construcción del plan nacional SESA.

1.3 Objetivos del Análisis Social Ambiental Estratégico (SESA).

1.3.1 Generar la información técnica requerida, a partir de la identificación participativa de los beneficios y riesgos sociales y ambientales, para disponer de insumos técnicos, retroalimentados por los actores, que fundamenten una propuesta de recomendaciones de políticas públicas en el marco de la Estrategia REDD+.

1.3.2 Crear un vínculo de retroalimentación de doble vía durante el proceso de implementación de la estrategia REDD+ con los grupos de intereses identificados en el mapeo de actores.

1.3.3 Involucrar a los campesinos y comunidades locales en el proceso SESA para obtener su retroalimentación en las diversas actividades que este conlleva.

1.4 Alcance del Análisis Social Ambiental Estratégico (SESA).

A partir del conocimiento técnico, ambiental, legal e institucional aportado por el R-PP y la retroalimentación de los actores involucrados, mediante su estructura organizativa y respetando su representatividad, se dispone de una propuesta de políticas públicas que deben incluir las medidas de mitigación (Salvaguardas) de los riesgos sociales y ambientales, y los aportes hechos para el Plan SESA durante el Taller Nacional SESA, marzo 2015, identificados en los cuadros 1 y 2.

Para la elaboración de este análisis se contratara un experto en el área social el cual se auxiliara de los insumos mencionados en el párrafo anterior y hará los levantamientos de informaciones adicionales que se requieran para la obtención del producto final. (Ver anexo 4 TdR para experto Social).

El Plan SESA tiene como propósito, involucrar a los campesinos y comunidades locales, en el proceso de elaboración de la propuesta de recomendaciones de políticas de manera transversal desde la elaboración de las especificaciones técnicas hasta la obtención del producto final o informe técnico. Los actores serán protagónicos para la retroalimentación de los procesos establecidos en este plan; los mismos participarán a través del Comité Ejecutivo y las estructuras de representatividad desarrolladas en el marco de la Estrategia REDD+. En este contexto, se elaborará el Marco para la Gestión Ambiental y Social (ESMF por sus siglas en inglés) de la Estrategia REDD+.

2. Antecedentes de la Evaluación Ambiental y Social Estratégica (SESA) en el Programa Nacional REDD+ de la República Dominicana.

2.1 Participación y Consulta.

Para asegurar todo el proceso de consulta para la Evaluación Ambiental y Social Estratégica (SESA) en el programa REDD+ se llevo a cabo garantizando la participación de sectores claves en esta etapa. En busca de garantizar la participación se realizo un análisis del contexto, la organización y creación del mapa de actores, realización de talleres con los informantes claves y reuniones con los actores.

Para dar continuidad al plan de trabajo inicial se realizo el 9 y 10 de Septiembre de 2014 un primer taller sobre DEFINICIÓN DEL ENFOQUE NACIONAL DE SALVAGUARDAS, con los propósitos siguientes : Definir el marco conceptual para el diseño del enfoque nacional de Salvaguardas en República Dominicana, Definición concreta del conjunto de salvaguardas a las que se dará cumplimiento en República Dominicana, Definición preliminar del alcance del enfoque nacional de salvaguardas, Determinar la necesidad de establecer un comité/grupo multi-actor de salvaguardas en República Dominicana.

Los resultados de este proceso en el tema de participación social fueron los siguientes: **Sobre Salvaguarda (b) REDD+ CMNUCC**

A. Transparencia

- a. Derecho al acceso a la información
- b. Rendición de cuentas.

Las observaciones realizadas fueron las siguientes: sobre el tema de Transparencia se confirma, ya que está asociada con el derecho de acceso a la información y la rendición de cuentas. Se sugiere agregar al elemento de acceso a la información la generación de información veraz y de manera sostenida, y la difusión del derecho de acceso a la información.

B. Sobre el tema de Gobernanza forestal Efectiva se plantearon los temas siguientes:

- a. La necesidad de un Marco legal adecuado a tomar en cuenta:
 - i. Claridad en los derechos de tenencia de la tierra
 - ii. Distribución equitativa de los beneficios
 - iii. Equidad y género
 - iv. Aplicación y cumplimiento de la ley.

De igual modo quedaron como relevantes los temas sobre Marco institucional adecuado, Participación en los procesos de toma de decisiones que afecten al medio ambiente, Acceso adecuado a la justicia, Integración de las consideraciones sociales, políticas y socioeconómicas y la Coordinación intersectorial.

C. Un Nivel de discusión sobre la definición e implementación de la 'Participación Plena y Efectiva'

- a. Identificación de las partes involucradas relevantes

- b. Acceso adecuado a la información
- c. Implementación de los mecanismos de participación
- d. Mecanismos de resolución de conflictos en el contexto de la participación

Las observaciones más importantes realizadas son las siguientes:

Se aprueba la Definición e implementación de la participación plena y efectiva y se agregan los siguientes elementos:

- I. Diseñar e implementar un sistema de monitoreo para la participación plena y efectiva, con la consideración que podría abordarse bajo el Sistema de Información de Salvaguardas.
- II. Identificar y/o diseñar mecanismos de resolución de conflictos
- III. Garantizar la integración de las comunidades locales para la resolución de conflictos mediante mecanismos establecidos.

Participación plena y efectiva de comunidades locales:

- I. Enfocarse en la capacitación y sensibilización de los grupos afectados por las actividades REDD+.
- II. Sobre el CLPI se deberá elaborar un diagnóstico.
- III. Diseñar el CLPI de forma participativa.

Un segundo taller fue el realizado para la Preparación para la Evaluación Social Ambiental Estratégica (SESA) Mayo 2014, el cual arrojó propuestas preliminares, muy básica para el proceso REDD+, que tuvo como propósito fundamental: Proveer los insumos técnicos necesarios a través de lecciones aprendidas y de intercambio de experiencias del proceso SESA desarrollado en El Salvador como punto de partida para el proceso SESA en República Dominicana y como producto esperado fueron la obtención de forma colectiva del Formato de Matriz propia de País para la identificación de mapa de actores, la Propuesta de Actores relevantes para SESA y la Hoja de ruta propuesta para el país.

2.2 Mapa de actores para SESA

Analizando la identificación preliminar que se hace en el R-PP y el mapeo de actores realizado para el documento sobre “Dialogo Temprano” podemos identificar 4 grupos relevantes de actores que se incluyen de manera general en: Sector Público, Sector Privado, Academias y Organizaciones de la Sociedad Civil; otro sector identificado pero de manera transversal es el de agencias de cooperación. Para la asignación de responsabilidades de los actores se debe abrir un dialogo con ellos para determinar los compromisos y responsabilidades de cada uno.

MAPA DE GRUPOS DE ACTORES

Cuadro No. 1

TITULO	ROL E INTERESES	VINCULACIÓN CON LA ENRDD+
Grupo 1, Sector Público		
Ministerio de Medio Ambiente y Recursos Naturales	Institución responsable de formular la política forestal nacional y asegurar su congruencia con la política ambiental y de recursos naturales es Punto focal REDD+ ante la CMNUCC.	Toda la implementación de la estrategia REDD+ estará anclada en las políticas, programas y proyectos ambientales, a nivel local y nacional. los Vice ministerios más vinculados al tema son:

TITULO	ROL E INTERESES	VINCULACIÓN CON LA ENRDD+
		Gestión ambiental al cual pertenece la Dirección de Cambio Climático, Recursos Forestales, Costeros Marino, Participación Social, Áreas Protegidas, Información Ambiental.
Ministerio de Economía, Planificación y Desarrollo (MEPYD)	A cargo de conducir y articular el sistema de planificación con los demás sistemas transversales del Estado Dominicano de presupuesto, de contabilidad gubernamental, de tesorería, de crédito público, de administración de recursos humanos, de control interno, de administración de bienes nacionales, de compras y contrataciones y de la cooperación internacional. Dentro de este Ministerio se encuentra la Dirección de Ordenamiento territorial la cual por mandato de ley es la encargada junto al Ministerio de Ambiente de formular el Plan de Ordenamiento Territorial.	Armonizar con las funciones y estrategias de la MEPYD conducentes al desarrollo económico sostenible y en el marco del cuarto eje estratégico de la END.
Consejo Nacional para el Cambio Climático y el Mecanismo de Desarrollo Limpio (CNCC-MDL)	Se crea mediante el Decreto 601-08. A cargo de la formulación de políticas públicas necesarias para la mitigación y adaptación al cambio climático	Colaboración para la ENREDD+ en la promoción de intereses comunes.
Ministerio de Agricultura	Es responsable de formular y dirigir la política agropecuaria del país de acuerdo con los planes de desarrollo. También es responsable de velar por las técnicas aplicadas en el uso de las tierras. Es una Institución de carácter nacional; opera con una sede central en Santo Domingo y oficinas en las diferentes regiones del país.	Articulación con sus Direcciones para definir los mecanismos de compensación y armonizar las estrategias de pequeños y grandes productores, especialmente ganaderos así como al cambio de sistemas de producción pecuaria en zonas sensibles y prioritarias.
Ministerio de Energías y Mina; Comisión Nacional de Energía (CNE)	Otorgamiento de las licencias para exploraciones y explotaciones mineras y de hidrocarburos en el territorio nacional, y supervisar su ejecución bajo controles legales y ambientales para contribuir al fomento y desarrollo sostenible del país. Institución encargada de trazar la política del Estado en el Sector Energía. CNE, establece las actividades de los subsectores: Eléctrico, Hidrocarburos, Fuentes Alternas y Uso Racional de Energía.	Se coordina con esta organización ejecutorias para armonizar los mecanismos de compensación de pequeños productores por su contribución al mantenimiento de sistemas forestales que regulan el ciclo hidrológico para incrementar la disponibilidad de agua para producción de hidroelectricidad en las cuencas.

TITULO	ROL E INTERESES	VINCULACIÓN CON LA ENRDD+
Empresa de Generación Hidroeléctrica Dominicana (EGEHID)	Empresa estatal encargada de construir las unidades hidroeléctricas necesarias, operar las centrales ya construidas por el Estado y vender la energía generada por las centrales hidroeléctricas en funcionamiento.	Ha estado vinculada al PSA-CYN. Realiza planes de desarrollo local, en los municipios de Los Cacaos y Yaguaje en la Provincia de San Cristóbal y en el Municipio de Los Quemados en la Provincia Monseñor Nouel, así como jornadas de reforestación en cuencas hidrográficas ligadas a las presas y centrales hidroeléctricas.
Instituto Agrario Dominicana (IAD)	Es la entidad pública rectora política del Estado Dominicano en materia de reforma agraria, promoviendo la agricultura como actividad productiva. Tiene alcance nacional.	Se coordina con esta organización ejecutorias para los marcos legales y mecanismos de compensación a lograr con pequeños productores.
Banco Agrícola de la República Dominicana	El Banco Agrícola proporciona el financiamiento desde el Estado, mediante préstamos comerciales, a productores del sector.	Se coordina con esta organización ejecutorias para mecanismos de compensación a lograr con pequeños productores.
Consejo Dominicano del Café (CODOCAFE)	Es una institución pública, autónoma y descentralizada del Estado dominicano, responsable del diseño, la planificación y la ejecución de la política de desarrollo cafetero de la República Dominicana.	Establecer sistemas de producción y mercados internacionales y nacionales de café desde una óptica de sostenibilidad.
Instituto Nacional de Agua Potable y Alcantarillado (INAPA)	Entidad estatal cuya misión es garantizar el abastecimiento del servicio agua potable y saneamiento a nivel el nacional, a excepción de las zonas en donde se ha establecido corporaciones estatales de agua potable y saneamiento.	Se coordina con esta organización ejecutorias para armonizar los mecanismos de compensación a lograr con pequeños productores.
Instituto Nacional de Recursos Hidráulicos (INDRHI)	Es la entidad rectora en material de agua, básicamente para irrigación. Trabaja en las áreas rurales, manteniendo los embalses de las presas. Coordina con las Juntas de Regantes para el mantenimiento de canales de irrigación y las infraestructuras relacionadas.	El trabajo de la institución se beneficia del fortalecimiento y creación de las capacidades de gestión de las juntas de regantes que promueve REDD+, al igual que las compensaciones para el beneficio social y económico de los productores vinculados.
Corporación De Acueducto Y Alcantarillado de Santiago(CORAASAN)	Entidad estatal cuya misión es garantizar el abastecimiento del servicio agua potable y saneamiento en Santiago.	Ejecutorias para armonizar los mecanismos de compensación a lograr con pequeños productores.
Ministerio de Turismo (MITUR)	Responsables de formular y dirigir la política de turismo del país de acuerdo con los planes de desarrollo. Son instituciones de carácter nacional; operan con una sede central en Santo Domingo y oficinas en las diferentes regiones del país.	Colaboración para la ENREDD+ en la promoción de intereses comunes.

TITULO	ROL E INTERESES	VINCULACIÓN CON LA ENRDD+
Ministerio de la Mujer	Define y lidera la ejecución de políticas públicas, planes y programas que contribuyan a la igualdad y la equidad de género a nivel nacional.	Inclusión del enfoque de género en la ENREDD+
Oficina Nacional de Meteorología (ONAMET)	Se encarga de las mediciones meteorológicas y los informes del tiempo a nivel nacional.	Suministro de datos meteorológicos para la elaboración de escenarios.
Oficina Nacional de Estadísticas (ONE)	Coordina y promueve el Sistema Estadístico Nacional bajo una normativa común, a fin de producir y difundir las informaciones estadísticas oficiales con calidad y transparencia para la toma de decisiones en materia de políticas públicas y desarrollo nacional.	Suministro de datos.
Grupo 2, Sector Privado		
Organizaciones de Productores Agrícolas, Forestales, Apícolas, Cafetaleros, Cacaoteros y Ganaderos	Contribuyen a la construcción de una sociedad responsable, con autonomía, promoviendo el desarrollo humano, conservación y preservación de los recursos naturales, la formación humana, la investigación y acción participativa.	Promoción del desarrollo sostenible y participativo.
Organizaciones de coordinación y Cogestión del Agua como las Juntas de Regantes	Agrupan y representan a todos los usuarios asentados de los sistemas de riego en su área de influencia.	Conservación y manejo sostenible de las cuencas hidrográficas
Jose Samito Gerardo Juan Bautista Feliz	Agricultor miembro de la Junta de Regantes de Azua, la cual representa a los usuarios de los sistemas de riego. Área de siembra de frutos menores entre los que se destacan los frutales, aguacate y banana.	
Mario Segura	Agricultor miembro de la Junta de Regantes del municipio de Padre de las Casas, la cual representa a los usuarios de los sistemas de riego. Sus principales cultivos son el café, habichuela, plátano y arroz.	
Raúl Rizek	Productor y comercializador de cacao a nivel nacional y empresario del sector forestal.	
Jhonny Quiñones	Miembro de la Mesa de Bosques. Productor de Plántulas, Madera y Manejo Forestal, en Loma Grande.	
Jaime Moreno	Trabaja con el tema de manejo de biomasa y producción de energía.	
Isidro Cristóbal	Agricultura de secano. Productor de yuca maíz y gandul en la Sección de	

TITULO	ROL E INTERESES	VINCULACIÓN CON LA ENRDD+
	Comendador, Provincia Elías Pina.	
Manolo Alcantara R.	Productor de arroz, maíz, maní y gandul en la Comunidad de Palo Seco, Municipio del Llano.	
Carlos Freddy Mateo	Productor de habichuela, batata, maíz y arroz en cultivos cíclicos en la Carrera del Llano, Municipio del Llano en Elías Pina.	
Camelina Brito	Comercio y Transporte de madera	
Raúl Martínez Mera y Alexis Alonso	Manejo de Recurso Forestal	
Miguel Eneas Sabañón	Ganadero y Empresario de Yamasá	
Juan Aquino Sanchez	Productor de café en el área de Comedero Arriba, provincia Cotuí (50 tareas)	
Pablo Payero	Productor de Miel de Monte Plata. Director Agencia de Desarrollo Económico Local (Adelmopla), la cual da apoyo a los productores de Monte Plata.	
Luis Alfredo Diaz. Daysi Castillo	Manejo y aprovechamiento del bosque seco del sur del país.	
Pedro Ferreiras	Miembro de Federación Campesina Zambrana – Chacuey.	
Ángel Gerardo C	Agricultor miembro de la Federación de Campesinos Independiente Mamá Tingo Azua.	
Domingo Disla	Agricultor y productor de café orgánico en el paraje de El Aguacate, Sección Hernando Alfonso (20 tareas).	
Grupo 3, Academias y Grupos de Investigación		
UASD, INTEC, ESNAFOR, PUCMM, UNPHU, Red RAUDO, UAFAM, ISA, UTESA, ITECO, UCE, UTESUR, ITESA, UNIVERSIDAD EVANGELICA, IDIAF, CONIAF, CEUR, entre otras	Capacitación e Investigación en materia de gestión ambiental, municipal y urbana.	Formación Técnica y Profesional
Grupo 4, Sociedad Civil		
Organizaciones Ecologistas y Sociedades Ecológicas	Promueve acciones orientadas hacia la sostenibilidad en las relaciones entre el ser humano y la naturaleza, a través del afianzamiento de la gestión hacia el conocimiento y respeto por el entorno natural y la biodiversidad	Promoción del desarrollo sostenible y participativo a nivel local.
Organizaciones de	Asociaciones Gremiales que agrupan los	Investigación y Capacitación en

TITULO	ROL E INTERESES	VINCULACIÓN CON LA ENRDD+
Profesionales	profesionales de diferentes áreas.	sus aéreas temáticas
Organizaciones Comunitarias de Base (OCBs)	Son las organizaciones de base que agrupan a amas de casa, jóvenes, juntas de vecinos, grupos de mujeres y otras organizaciones de movilización social en las comunidades.	Promoviendo el desarrollo integral y sostenible de las Comunidades y zonas aledañas, a través de la participación de sus habitantes en programas autogestionarios de naturaleza social, económica, educativa, cultural, ambiental, y de salud.
Organizaciones Basadas en la Fe (OBFs)	Incluye las iglesias de las distintas denominaciones.	Apoyo de las comunidades para el desarrollo sostenible.
COOPERACION INTERNACIONAL	FAO, PNUD, GIZ, otros	Apoyo técnico y financiero para el desarrollo de iniciativas vinculadas a la creación y desarrollo en el marco de REDD+

2.3 Listado de Organizaciones

1. Asociación de Caficultores San Rafael
2. Caficultores Juncalito
3. Asociación de Caficultores Las Tres Hermanas,
4. Confederación Cafetalera Dominicana (CONCAFED)
5. Federación de Caficultores para el Desarrollo de San Juan (FECADESJ)
6. Asociación de Productores de Cacao del Cibao (APROCACI, Inc.). Carretera Salcedo - Tenares Km 4 1/2, Conuco, Hnas. Mirabal, República Dominicana
7. Cooperativa de Productores de Cacao de la República Dominicana (COOPROAGRO, INC). Carretera a Tenares Km. 2½ Urbanización Las Colinas, San Francisco de Macorís
8. Federación de Caficultores de la Región Sur (FEDECARES).
9. Federación de Mujeres Campesinas Mama Tingo de Yamasa (FEMECA).
10. Confederación Nacional de Mujeres Campesinas (CONAMUCA).
11. Federación de Mujeres del Campo de Bani.
12. Federación de Mujeres de San Jose de Ocoa.
13. Red Apícola Dominicana (REDAPI)
14. Asociación de Productores Forestales de Restauración (ASODEFOREST).
15. Federación de Productores de Bosque Seco del Sur (Feprobosur).
16. Asociaciones Unidas de la Sierra (ASUDELASI).
17. Cooperativa Apícola y de Servicios Múltiples Salvador Ferrer (COOPASAFER).
18. Confederación Campesina y Barrial El Retoño Azua
19. Asociación para el Desarrollo Forestal Sostenible (ASODEFOS).
20. Asociación de Apicultores de Bayaguana (APIBA).

2.4 Otros Actores Relevantes: *Productores y Pequeños Productores.*

Propuesta para la plataforma de participación de campesinos y pequeños productores de todas las zonas del país en el marco de la Estrategia Nacional REDD+.

La plataforma de participación de los productores y pequeños productores del país, ha sido diseñada como un instrumento de apoyo, de trabajo, información y de retroalimentación con el propósito básico de conocer los posibles impactos del proyecto y e identificar mecanismos para la canalización de los intereses de estos sectores claves.

La construcción de esta plataforma es viable, necesaria, y jugará un papel clave en el desarrollo del proyecto, además de representar oportunidades de mejora en la calidad de vida de comunidades de productores, productoras, que siempre han sido sectores excluidos.

Los productores y pequeños productores tanto ganaderos, forestales y productores agrícolas, son los verdaderos sectores, claves e imprescindibles en las políticas de manejo y gestión de los recursos forestales, en la reducción de la degradación de los sistemas boscosos y medidas de mitigación de los efectos del cambio climático. Sus actividades y prácticas productivas, aun desde lo micro y lo local, como es de esperar, tienen una gran significancia para el cambio.

La motivación principal que impulsa este proceso de participación, parte de una problemática concreta, situaciones adversas que han enfrentado y siguen enfrentando como sectores productivos.

Esta problemática se puede resumir en los siguientes indicadores:

1. Pobreza, exclusión y marginación social que afectan a grandes cantidades de personas, sectores sociales y comunidades enteras en diversas regiones del país.
2. Desigualdades sociales que genera el sistema económico predominante, que se traducen en procesos de desintegración de la familia y conflictos sociales que se acrecientan sin soluciones apropiadas, ingobernabilidad ciudadana, exclusión en las decisiones, entre otras.
3. La situación desventajosa en que se encuentran las mujeres productoras, lo que le dificulta su acceso a beneficios sociales y su participación de manera activa en las actividades y organizaciones económicas, sociales y culturales.
4. El deterioro de los recursos naturales y los equilibrios ecológicos derivado de modos individualistas de producción, distribución, consumo y acumulación por los efectos del cambio climático.
5. Otros.

Ante esta problemática, uno de los más grandes retos, es la participación, la inclusión, de tal forma que se estimule el establecimiento de relaciones sinérgicas y la construcción de iniciativas de participación en este proyecto, que garantice la retroalimentación permanente, sobre los efectos positivos y negativos que se pudieran generar del proyecto REDD+ en estos sectores.

Para el diseño de este proceso, los problemas identificados y la necesidad de establecer una estrategia que culmine en un pacto social de cumplimiento, donde se aúnen esfuerzos institucionales y la diversidad de actores se involucren, y en consecuencia sean resueltos los nudos que impiden que estos actores en sus territorios desarrollen su ciudadanía plena y horizontalidad; en tanto se plantea la propuesta siguiente, tomando como punto de referencia los elementos siguientes:

1. identificación y contactos con las iglesias, organizaciones de la sociedad civil y las instituciones públicas que actúan en los territorios, para su apoyo e involucramiento.
2. Establecer como punto de contacto, información y seguimiento a las diferentes Direcciones Provinciales de Medio Ambiente y Recursos Naturales
3. Priorización de las zonas de trabajo, teniendo como punto de partida los territorios que preferentemente tienen uso forestal, comunidades fronterizas, y las zonas que pudieran ser severamente impactadas por los efectos del cambio climático.
4. Trabajar dentro de los territorios con los productos más vulnerables ambiental y socialmente.
5. Aprovechar y trabajar con lo que ya existe en las zonas prioritarias especialmente con lo relacionado a organización.
6. Otros.

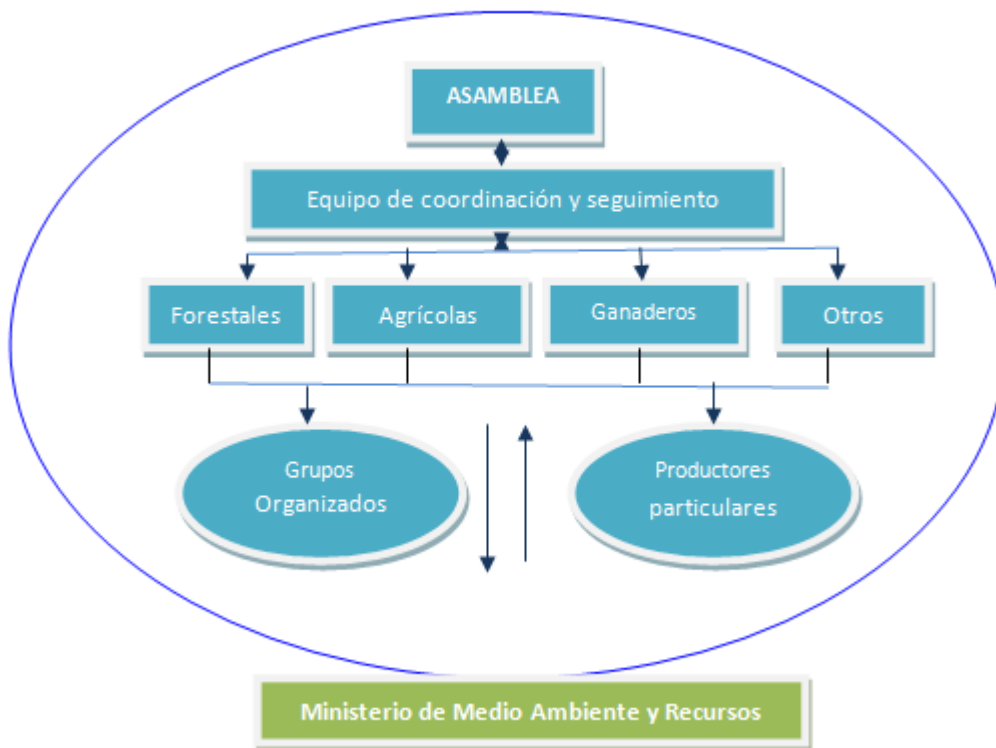
Para la plataforma de participación de los productores y pequeños productores del país, se tomara en cuenta la metodología de los Consejos Ambientales, se plantea un espacio aglutinador con carácter consultivo, de intercambios, socialización y espacios para construir propuestas de trabajo, líneas de acciones y orientaciones sobre la gestión del proyecto en sus territorios.

Este espacio debe expresar la diversidad de actores del territorio, a este mecanismo le llamamos Asamblea. La Asamblea es un espacio territorial, conformados por los grupos de interés, la cual deberá reunirse periódicamente, o cada vez que sea necesario con carácter deliberativo.

Los Grupos de Interés, los constituyen las personas del territorio, en función de sus áreas de intervención: Productores de bosques, ganadería y agricultura, entre otros que pudieran estar presente en la comunidad. Los productores ya están organizados en asociaciones que se reúnen periódicamente y tienen sus agendas de trabajo. Situación que facilita y refuerza el aprovechar lo que ya existe.

Tanto los grupos de trabajos y la asamblea tendrán el apoyo técnico del personal de las Direcciones Provinciales de Medio Ambiente y Recursos Naturales, al que durante todo el proceso de conformación de la plataforma de participación del Proyecto REDD+ y el seguimiento a los planes de trabajo, y a los mismos grupos de interés, deberán dar seguimiento, mantener el relacionamiento y articulación. Ver Grafico a continuación.

Figura No.1



Finalmente para esta etapa primaria se evidencian necesidades encaminadas a fortalecer y generar las capacidades locales para su aplicación como son las siguientes:

- I. Identificación y evaluación del personal existente en las Direcciones Provinciales de Medio Ambiente y Recursos Naturales.
- II. Entrenamiento y capacitación del personal que apoyara este proceso de participación en Direcciones Provinciales de Medio Ambiente y Recursos Naturales.

- III. Dotación de equipos tecnológicos para las Direcciones Provinciales de Medio Ambiente y Recursos Naturales.
- IV. Contratación de una consultoría para la construcción de la plataforma, elaboración del mapa de actores, preparación y diseño, conformación y funcionamiento, consolidación y seguimiento de la plataforma.

2.5 Resultados del Taller Nacional SESA

Para marzo del 2015, fue realizado el Taller Nacional SESA, con los propósitos siguientes: Análisis y validación de las causas de la deforestación y degradación forestal, de acuerdo a las prioridades de los diferentes grupos de actores representados, Análisis y validación de las opciones estratégicas propuestas para enfrentar las causas de deforestación y degradación forestal, Análisis de los riesgos, oportunidades y barreras para la implementación de las opciones estratégicas y recolectar los insumos para el plan de trabajo de SESA, vinculado con las actividades de la REDD+.

Todo este proceso de consulta y participación permitirá situar la vigilancia y mitigación de los posibles impactos adversos tanto sociales como ambientales que pudieran derivarse de la implementación de las actividades de REDD+, y con el propósito de realizar actividades para mejorar y reorientar la estrategia, además de realizar todos los ajustes necesarios.

En este sentido hemos tomando como base el trabajo las opiniones emitidas en las consultas antes mencionadas, hemos logrado identificar en todo el proceso la validación de las causas de la deforestación y degradación de los bosques de la República Dominicana, como puede observarse en la siguiente matriz.

Cuadro No. 2

MATRIZ DE VALIDACIÓN CAUSAS DE DEFORESTACIÓN Y DEGRADACIÓN DE BOSQUES													
RESUMEN CON LA VALORACIÓN DE TODOS LOS GRUPOS													
Causas		Opinión de Grupos sobre relevancia de la causa*											
		Alta				Media				Baja			
		G1	G2	G3	G4	G1	G2	G3	G4	G1	G2	G3	G4
CAUSAS DIRECTAS	7. Expansión agrícola	8.	9.	10.	X				X				
	11. Expansión de la ganadería		X		X	X		X					
	Extracción de productos forestales			X	X	X	X						
	Huracanes								X	X	X	X	
	12. Incendios forestales		X	X		X			X				
	Construcción de infraestructura		X			X			X				X
AS INDI	Minería		X	X	X	X							
	Energía					X	X	X					X

	Turismo¹⁶		X			X								X
	Turismo de costa (precisión GRUPO 4)			X										
	Turismo de montaña (precisión GRUPO 4)													X
14.	Seguridad en la tenencia de la tierra			X	X	X	X							
15.	Crecimiento demográfico	X	X	X	X		X							X
16.	Pobreza e inequidad social	X	X	X	X									
17.	Políticas fiscales y de desarrollo			X	X	X	X							

G1 es el grupo 1: sector público vinculado a actividades productivas que impactan sobre cambios de uso de la tierra.

G2 es el grupo 2: sector público no vinculado a actividades productivas y sí a rectoría sobre uso de la tierra.

G3 es el grupo 3: instituciones académicas y de investigación.

G4 es el grupo 4: organizaciones no gubernamentales, incluyendo representantes de dos asociaciones de pequeños productores y de una firma consultora.

Código de colores para facilitar visualización opiniones:

Predomina valoración ALTA (50% ó más)	
Equilibrio entre ALTA y MEDIA (50% c/u)	
Predomina valoración MEDIA (50% ó más)	
Predomina valoración BAJA (50% ó más)	

Sobre la validación de las opciones estratégicas para enfrentar la deforestación y la degradación de los bosques se trabajó con los grupos y se concluyó que esta parte es uno de los instrumentos de trabajo para la discusión de los grupos se utilizó un set de matrices divididas en dos categorías: una primera dirigida al análisis y validación de las opciones estratégicas de políticas sectoriales, políticas intersectoriales y políticas transversales, donde cada opción fue ponderada como Alta, Media o Baja, según la perspectiva de los distintos grupos de actores representados en el taller, además de hacerse observaciones con relación a los impactos sociales, ambientales y culturales, siempre desde la perspectiva de cada grupo de actores.

Una segunda categoría de matrices estuvo dirigida al análisis de los riesgos, las oportunidades y las barreras para la implementación de cada una de las opciones propuestas (ver anexos).

La matriz que resume siguiente es la valoración de los cuatro grupos sobre la relevancia de las opciones de políticas seleccionadas para enfrentar las causas de deforestación/degradación y a continuación se presentan las matrices con el resultado de la discusión de todos los grupos, tanto para la validación de las opciones como para el análisis de riesgos de las mismas.

Cuadro No. 2

MATRIZ DE VALIDACIÓN DE OPCIONES ESTRATÉGICAS RESUMEN CON LA VALORACIÓN DE TODOS LOS GRUPOS												
18. Opciones de políticas sectoriales para enfrentar los motores de deforestación y degradación por agricultura y ganadería.	Opinión de Grupo											
	Alta				Media				Baja			
	G1	G2	G3	G4	G1	G2	G3	G4	G1	G2	G3	G4
• Fomentar actividades productivas y medios de vida compatibles con la conservación:		X		X								
○ Reconversión a sistemas sostenibles de las prácticas agrícolas y ganaderas que se desarrollan en laderas y zonas frágiles;	X	X	X	X								
○ Promover el establecimiento de sistemas silvopastoriles que implementen técnicas de producción pecuaria, asociada a la inclusión de árboles forrajeros y maderables;	X	X		X				X				
○ Aplicación de un programa de sensibilización y educación para la producción sostenible en terrenos de laderas.	X	X	X	X								
• Restaurar tierras degradadas y proteger áreas críticas:		X		X								
○ Desarrollar trabajos de estabilización de taludes y zonas degradadas con practicas adaptadas a pequeños agricultores;	X	X		X				X				
○ Promover la “forestería análoga” (simula los bosques naturales) en los pequeños predios agrícolas como estrategia de recuperación de suelos y restauración de la biodiversidad;			X	X	X	X						
○ Restauración posterior a los incendios forestales;					X	X			X	X		X
○ Crear un instrumento de financiamiento para la ejecución de acciones de restauración y conservación de suelos.	X	X		X								
EL GRUPO 3 PROPONE UN CAMBIO EN LA OPCIÓN ANTERIOR, PARA QUE DIGA:												
○ Crear o fomentar los instrumentos financieros o financiamientos existentes.												
PRECISIÓN DEL GRUPO 4: AÑADIR EL PROGRAMA DE SENSIBILIZACIÓN.												

Cuadro No 3

MATRIZ DE VALIDACIÓN DE OPCIONES ESTRATÉGICAS RESUMEN CON LA VALORACIÓN DE TODOS LOS GRUPOS												
19. Opciones de políticas intersectoriales para aumentar y capturar la renta forestal	Opinión de Grupo											
	Alta				Media				Baja			
	G1	G2	G3	G4	G1	G2	G3	G4	G1	G2	G3	G4
• Manejar las áreas protegidas y gestionar adecuadamente los espacios para la conservación:	X	X	X	X								
• Empoderamiento de la sociedad en el cuidado, aprovechamiento y uso racional del recurso forestal:				X								
○ Fomentar alternativas de manejo forestal sostenible;	X	X	X	X								
○ Fortalecimiento de programas producción forestal para energía renovable;				X	X	X	X					
○ Incremento del secuestro de carbono mediante la reforestación con diversos fines;	X	X			X							

PRECISIÓN DEL GRUPO 4: CUANDO SE FOMENTA LA PRODUCCION FORESTAL SE SECUESTRA CARBONO.															
○ Promover la forestaría social;	X	X	X	X											
○ Implementar mecanismos de compensación por los servicios ambientales de los bosques;		X	X	X	X										
○ Evidenciar el papel de los bosques para reducir la vulnerabilidad del país ante desastres naturales.	X	X	X	X											
Opciones de políticas transversales que regulan directamente el uso de la tierra	Opinión de Grupo														
	Alta				Media				Baja						
	G1	G2	G3	G4	G1	G2	G3	G4	G1	G2	G3	G4	G1	G2	G3
• Fortalecimiento del marco político, legal e institucional para la gestión forestal con una efectiva participación de los actores con intereses sobre los bosques:															
○ Acelerar el cumplimiento del compromiso asumido por el Estado mediante la Ley 1-12 de la END 2030, de reformar los marcos legales e institucionales relativos al sector agropecuario y forestal;	X	X	X	X											
○ Incorporar en la política y el plan de ordenamiento territorial en desarrollo directrices específicas para armonizar las políticas y estrategias de los sectores más dinámicos de la economía del país con incidencia en el cambio de uso de la tierra;	X	X	X	X											
○ Desarrollar el catastro nacional forestal como facilitador de la regularización de tierras para su titulación.		X	X	X	X										
OPCIONES NUEVAS INCORPORADAS POR EL GRUPO 2 PARA FORTALECER EL MARCO POLÍTICO, LEGAL E INSTITUCIONAL															
○ Necesidad inminente de la ley forestal, marco legal regulador del sector		X													
○ Incorporar la perspectiva de género en el marco político, legal e institucional de la gestión forestal		X													
○ Establecer marco normativo para la implementación del mecanismo REDD+		X													
• Fortalecimiento de la gobernanza forestal y de la equidad:															
○ Fortalecer los mecanismos de información, de participación y de desarrollo de capacidades de los actores sociales, particularmente de las comunidades locales, para garantizar la equidad en las decisiones sobre el aprovechamiento de los recursos forestales;	X	X	X	X											
NUEVAS OPCIONES INCORPORADAS POR EL GRUPO 2 EN EL FORTALECIMIENTO DE LA GOBERNANZA Y LA EQUIDAD:															
○ Fortalecimiento del marco institucional y organizaciones de la sociedad		X													
○ Fortalecimiento de las capacidades, tomando en cuenta la igualdad de género.															
• Establecer un sistema nacional apropiado para la vigilancia, el monitoreo y el control del patrimonio forestal, para, entre	X		X	X											

otros reducir el corte y comercio ilegal de productos forestales y promover la gestión y el manejo del fuego en bosques.																				
<u>El GRUPO 2, sustituye la formulación anterior por la siguiente:</u>																				
• <u>Fortalecimiento del mecanismo de gestión de la protección forestal</u>																				X

Código de colores para facilitar visualización opiniones:

Predomina valoración ALTA (50% ó más)		Equilibrio entre MEDIA y BAJA (50% C/U)	
Equilibrio entre ALTA y MEDIA (50% c/u)		Predomina valoración BAJA (50% ó más)	
Predomina valoración MEDIA (50% ó más)			

2.6 Identificación preliminar de los impactos negativos potenciales y factores relevantes a ser afectados por la implementación de las opciones estratégicas de RDEE+ para enfrentar las causas de la deforestación y la degradación de los bosques.

Cuadro No. 4

Título :	Matriz de Análisis de Riesgos/Oportunidades/Barreras para la Implementación de las Opciones Estratégicas Validadas. GRUPO 1. Sector Público: Instituciones relacionadas con actividades productivas que impactan sobre los cambios de uso de la tierra.					
Objetivo:	Identificar los riesgos, oportunidades y barreras para la implementación de cada una de las opciones estratégicas validadas, desde la perspectiva de cada uno de los grupos de actores participantes en el taller nacional.					
20. Opciones de políticas sectoriales para enfrentar los motores de deforestación y degradación por agricultura y ganadería.	Opinión de Grupo (De matriz Validación)			Análisis de Riesgos		
	Alta	Medi a	Baj a	Riesgos	Oportunidade s	Barreras para su implementación
• Fomentar actividades productivas y medios de vida compatibles con la conservación:						
• Reconversión a sistemas sostenibles de las prácticas agrícolas y ganaderas que se desarrollan en laderas y zonas frágiles;				• Alto costo para prácticas de conservación de suelos	• Diversificación de ingresos. • Mejora de la biodiversidad	• Resistencia al cambio. • Capacitación y extensión agrícola y forestal
• Promover el establecimiento de sistemas silvopastoriles que implementen técnicas de producción pecuaria, asociada a la inclusión de				• Podría provocar el cambio de uso de suelo	• Tenemos entre un 11-15% del territorio.	• Resistencia al cambio • Costo de inversión y mantenimiento

Título :	Matriz de Análisis de Riesgos/Oportunidades/Barreras para la Implementación de las Opciones Estratégicas Validadas. GRUPO 1. Sector Público: Instituciones relacionadas con actividades productivas que impactan sobre los cambios de uso de la tierra.					
Objetivo:	Identificar los riesgos, oportunidades y barreras para la implementación de cada una de las opciones estratégicas validadas, desde la perspectiva de cada uno de los grupos de actores participantes en el taller nacional.					
árboles forrajeros y maderables;				de bosque a sirvopastoril	• Mejora la resiliencia de los cultivos ante el CC	del proceso
• Aplicación de un programa de sensibilización y educación para la producción sostenible en terrenos de laderas.				• No se identifiquen los grupos focales de forma adecuada	• Fortalecimiento de las organizaciones locales • Factor multiplicador	• Nivel educación de la población meta • Costos de implementación para llevar a cabo
• Restaurar tierras degradadas y proteger áreas críticas:					•	•
• Desarrollar trabajos de estabilización de taludes y zonas degradadas con practicas adaptadas a pequeños agricultores;				• Altos costos en trabajos de estabilización	• Mejora de la resiliencia y la biodiversidad • Mejora de la calidad y cantidad de agua en las fuentes superficiales	• Costos • Resistencia al cambio
• Promover la “forestaría análoga” (simula los bosques naturales) en los pequeños predios agrícolas como estrategia de recuperación de suelos y restauración de la biodiversidad;				• Manejo inadecuado, variedad no apropiadas, incompatibilidad de especies • Mayor complejidad del manejo del sistema	• Capacitación en manejo forestal • Ambiente alternativo para la producción sostenible • Mayor estabilidad de los ingresos	• Falta de conocimientos de los comunitarios
• Restauración posterior de los incendios forestales;				• Dificultades para aplicarlo en las Áreas Protegidas	• Mejora de la biodiversidad en la plantación • Recuperación de suelos • Controla la degradación de los	• Los desacuerdos en los enfoques para la restauración dentro del Sistema de Áreas Protegidas • Costos para implementación de las actividades

Título :	Matriz de Análisis de Riesgos/Oportunidades/Barreras para la Implementación de las Opciones Estratégicas Validadas. GRUPO 1. Sector Público: Instituciones relacionadas con actividades productivas que impactan sobre los cambios de uso de la tierra.					
Objetivo:	Identificar los riesgos, oportunidades y barreras para la implementación de cada una de las opciones estratégicas validadas, desde la perspectiva de cada uno de los grupos de actores participantes en el taller nacional.					
					bosques	
<ul style="list-style-type: none"> • Crear un instrumento de financiamiento para la ejecución de acciones de restauración y conservación de suelos. 				<ul style="list-style-type: none"> • No continuidad del financiamiento y los flujos del desembolso 	<ul style="list-style-type: none"> • Poder ejecutar una estrategia bien planificada, con objetivos y metas claros. 	<ul style="list-style-type: none"> • Largos procesos burocráticos para el desembolso de fondos.

Cuadro No. 5

Título :	Matriz de Análisis de Riesgos/Oportunidades/Barreras para la Implementación de las Opciones Estratégicas Validadas. GRUPO 1. Sector Público: Instituciones relacionadas con actividades productivas que impactan sobre los cambios de uso de la tierra.					
Objetivo:	Identificar los riesgos, oportunidades y barreras para la implementación de cada una de las opciones estratégicas validadas, desde la perspectiva de cada uno de los grupos de actores participantes en el taller nacional.					
21. Opciones de políticas intersectoriales para aumentar y capturar la renta forestal	Opinión de Grupo (De matriz Validación)			Análisis de Riesgos		
	Alta	Media	Baja	Riesgos	Oportunidades	Barreras para su implementación
<ul style="list-style-type: none"> • <u>Manejar las áreas protegidas y gestionar adecuadamente los espacios para la conservación:</u> 				<ul style="list-style-type: none"> • La existencia de planes de manejo de las Áreas Protegidas y no implementación de dichos planes. • Conflictos con las comunidades que viven dentro y alrededor de las 	<ul style="list-style-type: none"> • Mejora de los planes de manejo • Elaboración de los planes de manejo con participación de las comunidades, de manera que el objetivo de conservación responda a la realidad. • Las comunidades puedan 	<ul style="list-style-type: none"> • Legales y económicas

			Áreas Protegidas.	beneficiarse de la gestión de las Áreas Protegidas.	
<ul style="list-style-type: none"> • <u>Empoderamiento de la sociedad en el cuidado, aprovechamiento y uso racional del recurso forestal:</u> 					
<ul style="list-style-type: none"> ○ Fomentar alternativas de manejo forestal sostenible; 			<ul style="list-style-type: none"> • Burocracia del proceso pueda desalentar a sus propietarios. Altos costos de transacción 	<ul style="list-style-type: none"> • Aumento de la cobertura boscosa, restauración de bosques, generación de empleos. • Protección de los bosques existentes • Capacitación 	<ul style="list-style-type: none"> • Políticas gubernamentales • Percepción de la población sobre el manejo forestal • Desconocimiento de los beneficios
<ul style="list-style-type: none"> ○ Fortalecimiento de programas producción forestal para energía renovable; 			<ul style="list-style-type: none"> • Introducción de nuevas especies exóticas. • Utilización de las especies exóticas. • Desarrollo de tecnologías para el uso energético de la madera. 	<ul style="list-style-type: none"> • Reduce la emisión de CO2 • Mayor eficiencia en términos de costos • Generación de empleos rurales en áreas deprimidas 	<ul style="list-style-type: none"> • Enfoque de las políticas gubernamentales • Manejo silvicultura y manejo energético • Eficiencia en la tecnología de producción de energía
<ul style="list-style-type: none"> ○ Incremento del secuestro de carbono mediante la reforestación con diversos fines; 			<ul style="list-style-type: none"> • Utilizar especies exóticas. • Desplazamiento de bosques naturales. 	<ul style="list-style-type: none"> • Disminuir la importación • Aumento del stock de carbono 	<ul style="list-style-type: none"> • La producción de plantas está concentrada en el gobierno.
<ul style="list-style-type: none"> ○ Promover la forestería social; 			<ul style="list-style-type: none"> • Las comunidades tienen un rechazo a la asociatividad. 	<ul style="list-style-type: none"> • Mejorar la economía de escala • Mayor eficiencia de los costos • Fomentar intercambio de información y conocimiento. 	<ul style="list-style-type: none"> • Cultural
<ul style="list-style-type: none"> ○ Implementar mecanismos de compensación por los servicios ambientales de los bosques; 			<ul style="list-style-type: none"> • Incentivos que no necesariamente contribuyan a la 	<ul style="list-style-type: none"> • Generar desarrollo social y económico sostenible. • Hacer sinergias 	<ul style="list-style-type: none"> • Legales (no está claro sobre la propiedad de carbono). • Disponibilidad

			<p>conservación del bosque.</p> <ul style="list-style-type: none"> • El Pago por Servicios Ambientales vaya por objetivos específicos. • El pago por créditos de carbono, podría afectar la actividad económica en otros ámbitos. • En lugar de ser un motor de desarrollo. 	<p>con otros propósitos de conservación, como biodiversidad, agua, etc.</p>	<p>de recursos financieros</p> <ul style="list-style-type: none"> • Fuentes de financiamiento. •
<ul style="list-style-type: none"> ○ Evidenciar el papel de los bosques para reducir la vulnerabilidad del país ante desastres naturales. 			<ul style="list-style-type: none"> • En el afán de conservar los bosques se desconozcan los derechos de sus propietarios y de las comunidades. 	<ul style="list-style-type: none"> • Aumento de la conciencia pública sobre la protección de los bosques. • Reconocer la multifuncionalidad de los bosques. 	<ul style="list-style-type: none"> • Escaso reconocimientos de los valores de los bosques

Cuadro No. 6

Título :	Matriz de Análisis de Riesgos/Oportunidades/Barreras para la Implementación de las Opciones Estratégicas Validadas.					
	GRUPO 1. Sector Público: Instituciones relacionadas con actividades productivas que impactan sobre los cambios de uso de la tierra.					
Objetivo:	Identificar los riesgos, oportunidades y barreras para la implementación de cada una de las opciones estratégicas validadas, desde la perspectiva de cada uno de los grupos de actores participantes en el taller nacional.					
22. Opciones de políticas transversales que regulan directamente el uso de la tierra	Opinión de Grupo (De matriz Validación)			Análisis de Riesgos		
	Alta	Media	Baja	Riesgos	Oportunidades	Barreras para su implementación
<ul style="list-style-type: none"> • <u>Fortalecimiento del marco político, legal e institucional para la gestión forestal con una efectiva participación de los actores con intereses sobre los bosques:</u> 						

<ul style="list-style-type: none"> • Acelerar el cumplimiento del compromiso asumido por el Estado mediante la Ley 1-12 de la END 2030, de reformar los marcos legales e institucionales relativos al sector agropecuario y forestal;; 			<ul style="list-style-type: none"> • Que se enfoque solo en la productividad y la creación de empleo y no en el desarrollo sostenible. 	<ul style="list-style-type: none"> • Fomento al desarrollo sostenible y fortalecimiento del marco legal y político. • Reconocimiento de los derechos adquiridos y de las comunidades 	<ul style="list-style-type: none"> • Falta de empoderamiento de las agencias gubernamentales involucradas. • Poca claridad en la definición de roles. • Falta de aplicación de reglamento y normas para la aplicación de la ley 01-12.
<ul style="list-style-type: none"> • Incorporar en la política y el plan de ordenamiento territorial en desarrollo directrices específicas para armonizar las políticas y estrategias de los sectores más dinámicos de la económica del país con incidencia en el cambio de uso de la tierra; 			<ul style="list-style-type: none"> • No se respeten los derechos adquiridos por las comunidades . • Exposición a la vulnerabilidad en los sectores más pobres. • Inseguridad en la tenencia de tierra. 	<ul style="list-style-type: none"> • Definición de los diversos usos de la tierra • Disminución de conflictos de uso. • Mejores prácticas de uso de suelo 	<ul style="list-style-type: none"> • Intereses de los sectores de poder. • Clientelismo político • Debilidad institucional
<ul style="list-style-type: none"> • Desarrollar el catastro nacional forestal como facilitador de la regularización de tierras para su titulación. 			<ul style="list-style-type: none"> • Conflictos de competencias entre las instituciones. • Conflictos entre los poseedores de títulos y los usuarios de las tierras 	<ul style="list-style-type: none"> • Regularización de las tierras forestales. • Aseguramiento de las propiedades. • Mayor sostenibilidad de la producción. • Valorización de las tierras. 	<ul style="list-style-type: none"> • Falta de acuerdos entre la Jurisdicción Inmobiliaria y las demás instituciones. • Falta de articulación interinstitucional.
<ul style="list-style-type: none"> • <u>Fortalecimiento de la gobernanza forestal y de la equidad:</u> 					
<ul style="list-style-type: none"> • Fortalecer los mecanismos de información, de participación y de desarrollo de capacidades de los actores sociales, 			<ul style="list-style-type: none"> • Dependencia de las ONGs y las 	<ul style="list-style-type: none"> • Fomentar el desarrollo y el 	<ul style="list-style-type: none"> • Falta de compromiso de los ciudadanos

particularmente de las comunidades locales, para garantizar la equidad en las decisiones sobre el aprovechamiento de los recursos forestales;				agencias gubernamentales y la cooperación internacional.	empoderamiento	• Falta de planificación y planes de desarrollo locales
• <u>Establecer un sistema nacional apropiado para la vigilancia, el monitoreo y el control del patrimonio forestal, para, entre otros reducir el corte y comercio ilegal de productos forestales y promover la gestión y el manejo del fuego en bosques.</u>						
• Establecer un sistema nacional apropiado para la vigilancia, el monitoreo y el control del patrimonio forestal.				• Falta de suficiente personal formado para ejecutar esas labores.	• Involucramiento directo de las comunidades	• Fuentes de financiamiento

3. Plan de trabajo de la Evaluación Ambiental y Social Estratégica de la Estrategia Nacional REDD+ en República Dominicana.

Introducción.

La evaluación social y ambiental es una metodología de análisis estratégico. En dicho proceso los actores juegan un papel protagónico y participativo haciendo recomendaciones que deben ser tomadas en consideración para elaborar los productos finales. El insumo principal para el análisis social y ambiental estratégico proviene del Taller Nacional SESA, marzo 2015 y el R-PP. En el mismo, se validan las acciones estratégicas, definidas en el R-PP, que guían la elaboración de la Estrategia REDD+ RD.

Para el proceso de análisis, construcción y recomendación de políticas se tiene como eje transversal las políticas operacionales (salvaguardas) sociales y ambientales del Banco Mundial y el marco de salvaguardas ambientales y sociales establecidas durante la CMCC de Cancún, México.

En el Taller Nacional SESA, los participantes identificaron actividades para los hitos propuestos para la estrategia.

En resumen, los ejes temáticos propuestos a la fecha son:

1. Articular la preparación con los procesos comunitarios de las comunidades campesinas y de los actores relacionados a la actividad forestal.
2. Organizar y preparar los procesos de consulta y participación, así como también la implementación de las salvaguardas sociales y ambientales.
3. Asegurar la integración con las políticas sociales, de desarrollo local y de reducción de la pobreza.
4. Asegurar el enlace con las instancias de desarrollo social, organizaciones sociales y civiles pertinentes.
5. Definir alternativas a la problemática de la tenencia de la tierra y ordenamiento territorial
6. Integrar los cobeneficios del bosque a las actividades de REDD+.

Ruta metodológica para el desarrollo e implementación del Plan de Trabajo de la Evaluación Ambiental y Social Estratégica (SESA) en la República Dominicana Plan de trabajo SESA, como aporte sustancial del Primer Taller Nacional SESA .

Cuadro No. 7

Hoja de Ruta Metodológica para desarrollar el Plan de Trabajo de la Evaluación Ambiental y Social Estratégica (SESA) en la República Dominicana		
Actividad	Sub Actividad	Comentario
Homogenizar el nivel de conocimiento del Proceso y del R-PP actualizado en el Comité Técnico de Cambio Climático.		Se anexa link de última versión del R-PP https://www.forestcarbonpartnership.org/dominican-republic
Mapeo de actores	Considerar documentos previos, Matriz elaborada como resultado del taller e identificación de vacíos	Puede consultarse metodología de GIZ para la construcción de Mapeo de Actores de GIZ como insumo
Identificación de análisis del Eje Central para el abordaje de Talleres	Incluir actores que conocen el R-PP y generar acciones de socialización del R-PP	Asegurar la vinculación con otras iniciativas nacionales como PNODT, y otros temas como Biodiversidad, Comunicaciones, etc.
Análisis de opciones estratégicas del R-PP	Identificación esquemática Resumen del R-pp	Se envía link del resumen de El Salvador como ejemplo http://www.marn.gob.sv
Realización de talleres regionales	Elaboración de matrices (Construcción y llenado)	
Elaboración del Plan de trabajo SESA Preliminar		
Realización del taller nacional SESA		
Presentación de resultados y retroalimentación del Plan de Trabajo SESA).		
Documento socializado y discutido con los sectores relevantes del Plan de Trabajo SESA		

3.1 Objetivo del Plan

Establecer y promover un proceso horizontal de diálogo, análisis, discusión y evaluación social y ambiental de los riesgos y oportunidades de implementar las diferentes opciones y propuestas en la Estrategia Nacional REDD+.

3.2 Objetivos específicos:

- a) Priorizar las consideraciones ambientales, sociales y económicas asociadas a las principales causas de deforestación de bosques y degradación de ecosistemas críticos;
- b) Identificar y subsanar los riesgos, beneficios e impactos ambientales y sociales de las opciones estratégicas planteadas en el R-PP;
- c) Realizar los estudios especializados relevantes para llenar vacíos de información para la aplicación del RPP y proporcione los insumos y el análisis para la preparación de la Estrategia Nacional REDD+.
- d) La estrategia de comunicación como herramienta de divulgación de SESA, que asegure los canales adecuados para que los diversos procesos se desarrollen de forma transparente para dar fe de la trazabilidad de la información a todos los actores involucrados.
- e) Asegurar la participación efectiva de los sectores más vulnerables, a través de sus estructuras organizativas, mediante mecanismos viables.

3.3 Procesos del SESA

El proceso diseñado para la preparación del e implementación del Plan de Trabajo de la Evaluación Ambiental y Social Estratégica (SESA) en la República Dominicana Plan, ha sido rico en participación y opiniones de los diferentes sectores que han participado en las primeras fases del proceso. Los resultados de todas las actividades y de las consultas, sirven de insumos básicos para el diseño de las actividades del Plan SESA, el tiempo de realización y su presupuesto.

Partiendo además y básicamente del análisis participativo sobre las causas de la deforestación y degradación forestal en la República Dominicanas, de las opciones estratégicas planteadas para enfrentar el problema y del análisis de los riesgos, beneficios e impactos ambientales y sociales potenciales de las opciones estratégicas, así como de todo el proceso de implementación de la Estrategia REDD+.

En esta parte del proceso del diseño del Plan, hemos destacados los aportes presentados en el Taller Nacional SESA, los hitos actividades y los productos esperados. Los cuadros N° 1 y 2 agrupan los hitos, las actividades y los productos esperados mediante el proceso SESA y ESMF identificados en el taller SESA de marzo 2015.

Cuadro No. 8

APORTES AL PLAN DE TRABAJO SESA		
GRUPO 1. SECTOR PÚBLICO VINCULADO A ACTIVIDADES QUE PROVOCAN CAMBIOS DE USO DE LA TIERRA.		
HITOS	ACTIVIDADES	PRODUCTOS ESPERADOS
<ul style="list-style-type: none"> • Impulsar de planes de desarrollo rural en las 	<ul style="list-style-type: none"> • Potencializar 	<ul style="list-style-type: none"> • Plan de Desarrollo de comunicates

**APORTES AL PLAN DE TRABAJO SESA
GRUPO 1. SECTOR PÚBLICO VINCULADO A ACTIVIDADES QUE PROVOCAN CAMBIOS DE
USO DE LA TIERRA.**

HITOS	ACTIVIDADES	PRODUCTOS ESPERADOS
comunidades, compatible con los objetivos de conservación del bosque.		<ul style="list-style-type: none"> Ejecución de los planes
<ul style="list-style-type: none"> Ordenamiento territorial 		<ul style="list-style-type: none"> Aplicación efectiva del ordenamiento territorial
<ul style="list-style-type: none"> Capacitación y educación con enfoque al desarrollo sostenible. 		
<ul style="list-style-type: none"> Gobernabilidad democrática. 	<ul style="list-style-type: none"> Promover la organización y participación de los actores 	
<ul style="list-style-type: none"> Seguridad en la tenencia de la tierra 	<ul style="list-style-type: none"> Promover la Titulación definitiva de los terreno 	
<ul style="list-style-type: none"> Desarrollar un amplio programa de prácticas de conservación de suelos 		
<ul style="list-style-type: none"> Desarrollar sistemas productivos compatibles con la conservación de los recursos. 	<ul style="list-style-type: none"> Acercamiento, articulación y transparencia entre los sectores productivos y las agencias gubernamentales. 	
<ul style="list-style-type: none"> Fortalecimiento del sistema de extensión agrícola y ambiental 	<ul style="list-style-type: none"> Que incluya acciones del sector privado en el sistema de extensión. 	
<ul style="list-style-type: none"> Fortalecimiento del sistema de vigilancia forestal 		
<ul style="list-style-type: none"> Falta de capacidad técnica especializada en el sector agrícola y forestal. Relevo generacional. 		
<ul style="list-style-type: none"> Diversificación de la producción forestal y darle máximo valor al bosque 		
<ul style="list-style-type: none"> Involucrar a las comunidades en la gestión de las Áreas Protegidas de manera que le genere ingresos para mejorar sus condiciones de vida. 		
<ul style="list-style-type: none"> Fortalecimiento de los programas existentes y 		

APORTES AL PLAN DE TRABAJO SESA		
GRUPO 1. SECTOR PÚBLICO VINCULADO A ACTIVIDADES QUE PROVOCAN CAMBIOS DE USO DE LA TIERRA.		
HITOS	ACTIVIDADES	PRODUCTOS ESPERADOS
creación de nuevos mecanismos de incentivos para actividades		
<ul style="list-style-type: none"> • Articulación y confianza entre los sectores productivos y el Estado. Transparentar los procesos. 		
<ul style="list-style-type: none"> • Facilitar el acceso a los recursos económicos por parte de los productores. 		
<ul style="list-style-type: none"> • Enfocar los recursos económicos del Presupuesto Nacional dedicados a la gestión sostenible de los bosques. 		
<ul style="list-style-type: none"> • Mejoramiento del Sistema de Gestión de las Áreas Protegidas 	<ul style="list-style-type: none"> • Promover el Saneamiento de la titulación de los terrenos de las Áreas Protegidas. • Las categorías de manejo deben ser acorde con la realidad del territorio. • Tomar en serio los espacios protegidos existentes 	
APORTES AL PLAN DE TRABAJO SESA		
GRUPO 4: ORGANIZACIONES NO GUBERNAMENTALES.		
HITOS	ACTIVIDADES	PRODUCTOS ESPERADOS
<p>Gobernanza Incluir los gobiernos locales.</p> <p>Promover la priorización del catastro forestal</p> <p>Que se incluya la investigación forestal dentro del plan.</p>	<ul style="list-style-type: none"> • Talleres de capacitación a organizaciones campesinas, Iglesias, empresarios, gobiernos locales, partidos políticos, ONG y maestros. • Divulgar el marco legal ligado al proceso. • Hacer un inventario de instituciones y actores ligados al sector forestal para ser incluidos en el proceso • El plan debe incluir otras iniciativas como Agro-turismo, producción de abejas, Invernaderos etc. • La participación en la planificación e implementación 	

APORTES AL PLAN DE TRABAJO SESA GRUPO 1. SECTOR PÚBLICO VINCULADO A ACTIVIDADES QUE PROVOCAN CAMBIOS DE USO DE LA TIERRA.		
HITOS	ACTIVIDADES	PRODUCTOS ESPERADOS
	<p>de los actores locales.</p> <ul style="list-style-type: none"> • Generar un banco de información y divulgación de informaciones agropecuarias. • Aprovechar las Academias en el proceso. • Empoderar las comunidades el manejo de bosque como un mecanismo rentable. • Visión integral para hacer corredores biológicos • Promover que la cuenca del rio Panso sea una cuenca productora de carne, leche, miel, bosque. • Fomentar áreas protegidas privadas. • Que el sistema nacional de áreas protegidas queda incorporado en el programa. • Ver a las comunidades aprovechando sus recursos y produciendo energía limpia • Que haya equidad de género en el plan y en el proceso • Empoderamiento de las comunidades en la creación de comité de vigilancia de bosques. • Integrar el trabajo social de los estudiantes a la reforestación • Planes de gestión de riesgos bien gestionados. 	

3.4 Principales Actividades del Plan de Trabajo SESA

A partir del proceso de Identificación preliminar de las acciones para el plan, dichas informaciones obtenidas en la etapa de diálogo temprano, los talleres de inducción y el taller nacional de SESA, se identificaron una lista preliminar de una serie de actividades, consideradas como priorizadas por su relevancia para este proceso de consulta. Para esta parte luego de realizado el plan, será socializado nuevamente con los sectores claves que participaron en todo el proceso. Asimismo, serán realizados los estudios necesarios que servirán para tener claridad de los impactos socio ambientales que determinadas actividades provocan en los territorios y comunidades. Las principales diligencias son:

- Potencializar e impulsar planes de desarrollo rural en las comunidades, compatible con los objetivos de conservación del bosque
- Promoción de las organizaciones y participación de los actores
- Promoción de la titulación de los terrenos
- Acercamiento, articulación y transparencia de los sectores productivos y las agencias gubernamentales
- Inclusión de acciones del sector privado en el sistema de extensión
- Promoción del saneamiento de la titulación de los terrenos de las Áreas Protegidas.
- Las categorías de manejo deben de estar acorde con la realidad del territorio.
- Tomar en serio los espacios protegidos existentes
- Desarrollar talleres de capacitación a organizaciones campesinas, Iglesias, empresarios, gobiernos locales, partidos políticos, ONG y maestros.
- Divulgación del marco legal ligado al proceso.
- Realizar un inventario de instituciones y actores ligados al sector forestal para ser incluidos en el proceso
- Incluir en el Plan debe incluir otras iniciativas como Agro-turismo, producción de abejas, Invernaderos etc.
- Incluir la participación en la planificación e implementación de los actores locales.
- Crear un banco de información y divulgación de informaciones agropecuarias.
- Aprovechar las Academias del país en el proceso.
- Empoderar las comunidades el manejo de bosque como un mecanismo rentable.
- Promover una visión integral para hacer corredores biológicos
- Promover que la cuenca del rio Panso sea una cuenca productora de carne, leche, miel, bosque.
- Fomentar áreas protegidas privadas.
- Integrar dentro del sistema nacional de áreas protegidas al programa.
- Promoción en las comunidades el aprovechando sus recursos y producción de la energía limpia
- Inclusión del enfoque de equidad de género en el plan y en el proceso
- Empoderamiento de las comunidades en la creación de comité de vigilancia de bosques.
- Integrar el trabajo social de los estudiantes a la reforestación
- Promoción de los Planes de gestión de riesgos bien gestionados.

3.5 Plan de Trabajo SESA

Para la Actualización del Plan de Trabajo SESA, se procede a iniciar un proceso de validación de las actividades del plan, con todos los actores involucrados en el proceso de consulta, una segunda fase de implementación y del mismo y la tercera fase la preparación del Marco de Gestión Ambiental y Social (ESMF). A partir de todo este proceso se identifican estas grandes líneas:

1. Programa de Capacitación con actores clave
2. Diálogo continuo con los actores relevantes
3. Estrategia de Comunicación para SESA
4. Sistema de Monitoreo de múltiples beneficios socio ambientales, gobernanza y potenciales impactos
5. Desarrollo de estudios y análisis en función de SESA
6. Formulación y divulgación del Marco de Gestión Ambiental y Social (EMSF)
7. Arreglos institucionales para la realización de la Evaluación Ambiental y Social Estratégica
8. Implementación de la Plataforma de Participación de los productores y pequeños productores.

Cuadro No. 9

HITOS	ACTIVIDADES
Programa de Capacitación con actores claves.	<p>Este programa está compuesto por talleres regionales y cursos que preliminarmente se llevarán en el país sobre La convocatoria será por zonas, para facilitar la movilización por parte de los actores, y efectiva territorialmente.</p> <p>Los talleres programados se presentan a continuación:</p> <ul style="list-style-type: none"> • 8 Talleres regionales para recopilar informaciones sobre la inclusión de la estrategia de Género dentro del REDD+. • 7 Talleres con el personal de las Direcciones Provinciales.
Diálogo continuo con los actores relevantes.	<p>El diálogo continuo pretende intercambio de información con los sectores interesados y claves para el proceso SESA, permanente para atender las inquietudes y necesidades de estos actores. Este diálogo será ampliado localmente con la realización de talleres regionales, a fin de garantizar una mayor participación e inclusión a nivel territorial de los actores de las diferentes localidades a través de reuniones, talleres y visitas de campo.</p> <ul style="list-style-type: none"> • 45 reuniones para la Identificación y evaluación del personal existente en las Direcciones Provinciales de Medio Ambiente y Recursos Naturales y dar seguimiento al proceso de implementación del plan con sectores claves. • 60 visitas al año a las áreas prioritarias de aplicación de la REDD+. • 7 talleres al año, de entrenamiento y capacitación del personal que apoyara este proceso de participación en Direcciones Provinciales de Medio Ambiente y Recursos Naturales. • Dotación de equipos tecnológicos para las Direcciones Provinciales de Medio Ambiente y Recursos Naturales. • Contratación de una consultoría para la construcción de la plataforma, elaboración del mapa de actores, preparación y diseño, conformación y funcionamiento, consolidación y seguimiento de la plataforma.
Estrategia de Comunicación para SESA.	<p>Información y difusión en los distintos medios de comunicación masivo escritos, radiales, televisivos y virtuales sobre SESA y su vinculación con el tema REDD+, la comunicación social; es un elemento importante y necesario para garantizar una participación real y par a transmitir eficazmente los mensajes claves sobre SESA y la temática REDD+ a nivel nacional Para tales fines se han diseñado reuniones, visitas y contactos con los medios de comunicación masiva del país.</p> <ul style="list-style-type: none"> • Diseño y aplicación de un plan de comunicación continuo.
Sistema de Monitoreo de múltiples beneficios socio ambientales, gobernanza y potenciales impactos.	<ul style="list-style-type: none"> • 1 Consultoría para la identificación de los impactos de de los riesgos y beneficios de la Estrategia de REDD+. • 36 reuniones. (12 reuniones por año) • 21 Talleres (7 talleres por año) para dar seguimiento a la implementación, monitoreo y evaluación de la participación social en REDD+.

Desarrollo de estudios y análisis en función de SESA.	<ul style="list-style-type: none"> • 1 Consultoría para la elaboración de la Estrategia de Género. • 1 Consultoría para la elaboración del Reglamento de GRM
Formulación y divulgación de la Estrategia RED+ y SESA.	<ul style="list-style-type: none"> • Contratación de un especialista Social • Reuniones de consulta • Reuniones de divulgación
Arreglos institucionales para la realización de la Evaluación Ambiental y Social Estratégica.	<ul style="list-style-type: none"> • Reuniones de seguimiento, participación y consulta • Talleres de consulta

3.6 Cronograma de actividades del Plan de Trabajo SESA.

CRONOGRAMA DE ACTIVIDADES

ACTIVIDADES	2015		2016				2017				2018	
	3er. Trim.	4to. Trim.	1er. Trim.	2do. Trim.	3er. Trim.	4to. Trim.	1er. Trim.	2do. Trim.	3er. Trim.	4to. Trim.	1er. Trim.	2do. Trim.
1. Programa de Capacitación con actores clave												
2. Diálogo continuo con los actores relevantes.												
3. Estrategia de Comunicación para SESA												
4. Sistema de Monitoreo de múltiples beneficios socio ambientales, gobernanza y potenciales impactos												
5. Desarrollo de estudios y análisis en función de SESA.												
6. Formulación y divulgación de la Estrategia RED+												

y SESA.)												
7. Arreglos institucionales para la realización de la Evaluación Ambiental y Social Estratégica.												

4. Gobernanza Para El Análisis Estratégico Social Y Ambiental (SESA)

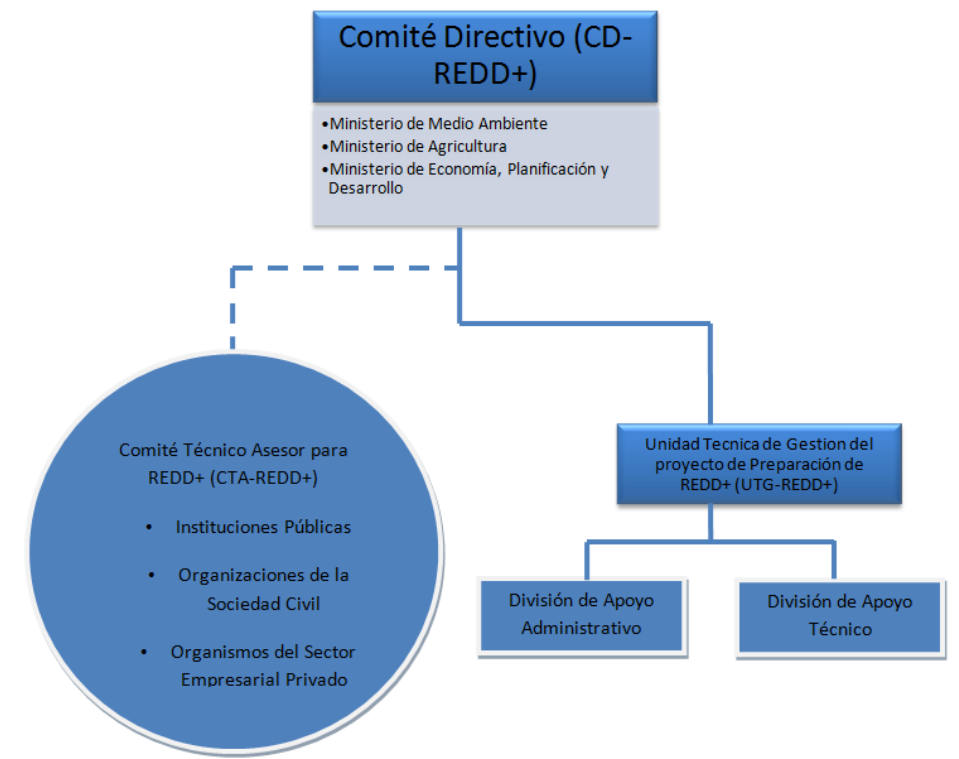
4.1 Explicación

En el marco de los compromisos adquiridos por Republica Dominicana con el Forest Carbon Partnership Facility, con el Banco Mundial y con la sociedad, el país ha preparado los Arreglos Institucionales para la gobernanza que le permitan reportar la reducción de emisiones por deforestación y + de manera transparente ante las diversas instancias. En este sentido, se establece un Comité Directivo REDD+ el cual estará conformado por representantes de los ministerios de Medio Ambiente y Recursos Naturales quien lo coordinara, de Agricultura y Economía Planificación y Desarrollo.

Además, en las sesiones del CD-REDD+ podrán estar presentes y participar con voz pero sin voto, los representantes las agencias de cooperación internacional que apoyen las iniciativas en el marco de REDD+ que realice el país.

Además del CD-REDD+ que será la máxima autoridad para REDD+, la estructura organizacional de gestión para el proceso de Preparación Nacional para REDD+ estará constituida por un Comité Técnico Asesor para REDD+ (CTA-REDD+) y una Unidad Técnica de Gestión del proyecto de Preparación de REDD+ (UTG-REDD+) Esta estructura se apoyará en estructuras existentes con vínculos e incidencia directa en los procesos de gestión de los bosques y el uso de la tierra.

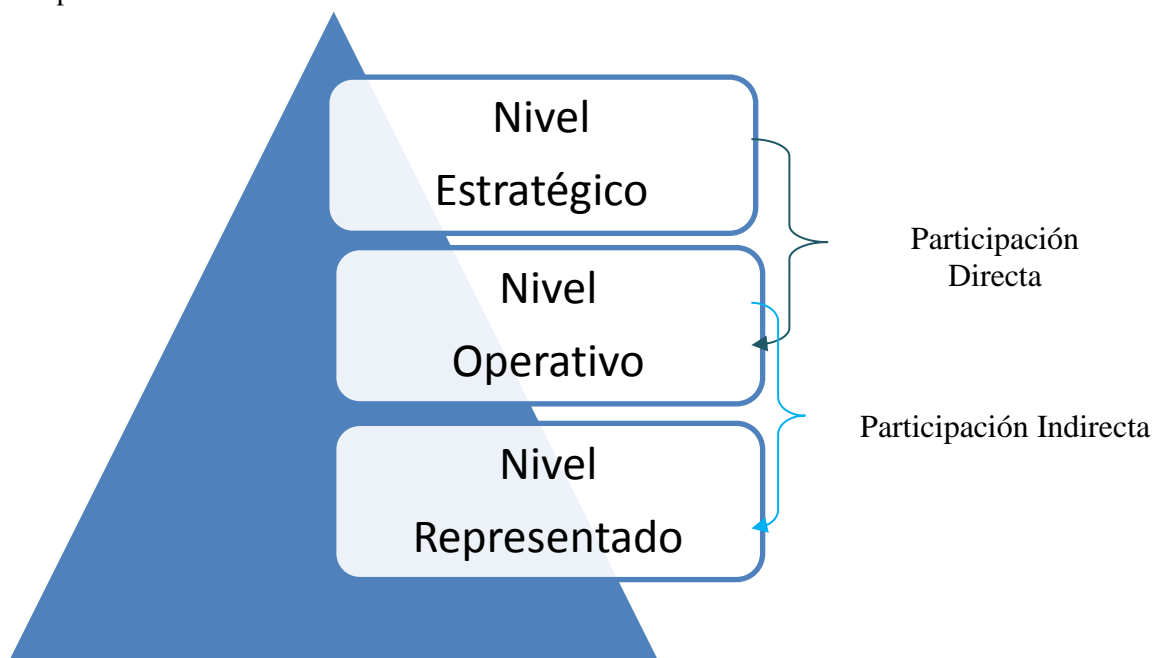
Figura N° 2. Estructura Organizativa REDD+.



4.2 Niveles De Participación Para El Análisis Estratégico Social Y Ambiental (SESA) En El Marco De La Implementación De La Estrategia REDD+ RD.

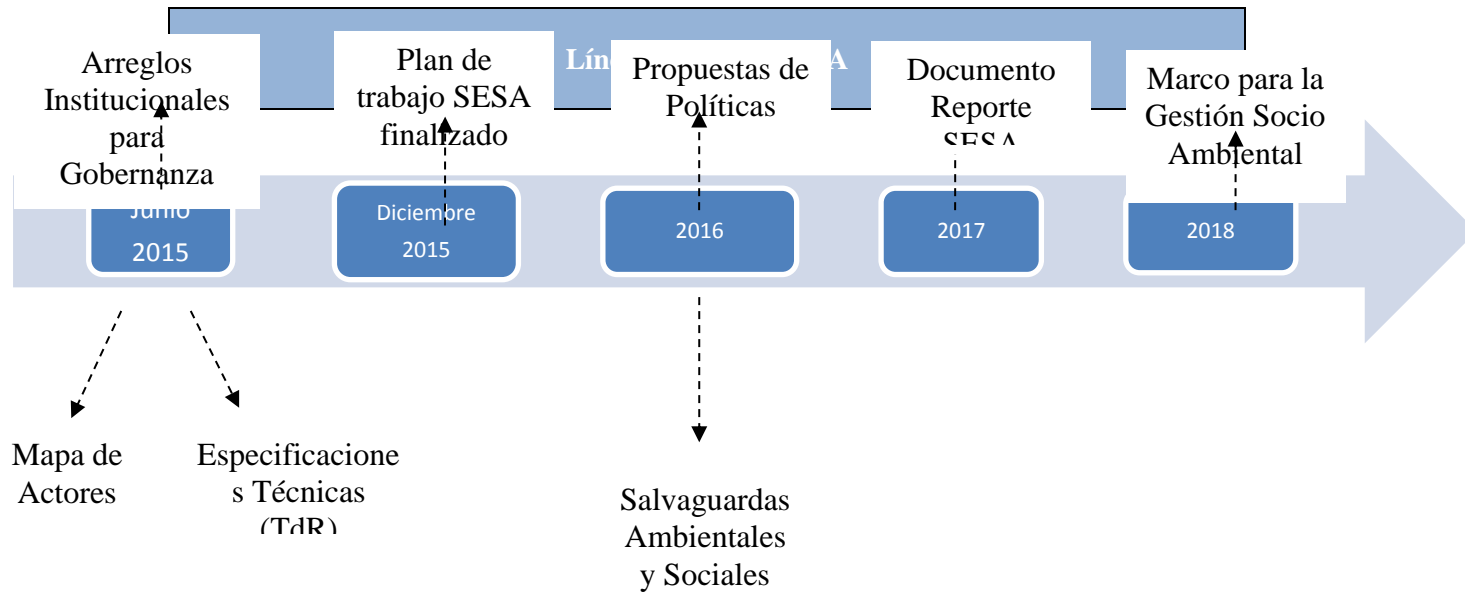
Figura N° 3.

Niveles de participación de los actores



4.3 Línea De Tiempo Del Plan De Trabajo Para El Análisis Estratégico Ambiental Y Social, (SESA) RD.

Se presenta en la siguiente Línea de Tiempo, los plazos y alcances de los productos propuestos en este Plan de Trabajo:
Figura N° 4.



Fuente: Elaboración DCC

Anexo No.1. Hoja de Ruta Metodológica para desarrollar el Plan de Trabajo de la Evaluación Ambiental y Social Estratégica (SESA) en la República Dominicana, mayo 2014.

Hoja de Ruta Metodológica para desarrollar el Plan de Trabajo de la Evaluación Ambiental y Social Estratégica (SESA) en la República Dominicana		
Actividad	Sub Actividad	Comentario
Homogenizar el nivel de conocimiento del Proceso y del R-PP actualizado en el Comité Técnico de Cambio Climático.		Se anexa link de última versión del R-PP https://www.forestcarbonpartnership.org/dominican-republic
Mapeo de actores	Considerar documentos previos, Matriz elaborada como resultado del taller e identificación de vacíos	Puede consultarse metodología de GIZ para la construcción de Mapeo de Actores de GIZ como insumo
Identificación de análisis del Eje Central para el abordaje de Talleres	Incluir actores que conocen el R-PP y generar acciones de socialización del R-PP	Asegurar la vinculación con otras iniciativas nacionales como PNODT, y otros temas como Biodiversidad, Comunicaciones, etc.
Análisis de opciones estratégicas del R-PP	Identificación esquemática Resumen del R-PP	Se envía link del resumen de El Salvador como ejemplo http://www.marn.gob.sv
Realización de talleres regionales	Elaboración de matrices (Construcción y llenado)	
Elaboración del Plan de trabajo SESA Preliminar		
Realización del taller nacional SESA		
Presentación de resultados y retroalimentación del Plan de Trabajo SESA).		
Documento socializado y discutido con los		

Hoja de Ruta Metodológica para desarrollar el Plan de Trabajo de la Evaluación Ambiental y Social Estratégica (SESA) en la República Dominicana		
Actividad	Sub Actividad	Comentario
sectores relevantes del Plan de Trabajo SESA		

Annex XIII: Project Documents

1. CNCCMDL-MEPyD-PNUD, 2012. Política Nacional Para el Cambio Climático de la República Dominicana. Sin publicar.
2. Dirección de Información Ambiental y de Recursos Naturales. 2014. Estudio de Uso y Cobertura del Suelo, 2012. MENR.
3. Gaceta Oficial. 1985. Plan nacional de ordenamiento forestal (PLADOF). No. 9653. Consultoría Jurídica del Poder Ejecutivo. Santo Domingo, RD. pp 7-104.
4. MDB. 2011. Propuesta de Anteproyecto de Ley Sectorial Forestal. Mesa de Diálogo sobre Bosques. Santo Domingo, RD. 26p.
5. Ministerio de Medio Ambiente y Recursos Naturales. 2014. Propuesta de Preparación para la Reducción de Emisiones Causadas por la Deforestación y la Degradación de los Bosques (RPP). Fondo Cooperativo para el carbono de los Bosques (FCPF).
6. Ministerio Ambiente – UASD - PNUMA 2010. Estado y perspectivas del medio ambiente. Informe GEO de la República Dominicana. Santo Domingo, RD. 226p.
7. Programa REDD/CCAD/GIZ en Centroamérica y República Dominicana. 2011. Identificación de las causas de la deforestación y la degradación de los bosques en la republica dominicana. Informe final.
8. Programa REDD/CCAD/GIZ en Centroamérica y República Dominicana. 2014. Memoria Taller de Preparación para la Evaluación Social Ambiental Estratégica (SESA).
9. Programa REDD/CCAD/GIZ en Centroamérica y República Dominicana. 2014. Memoria de la Implementación de la Primera fase en la Republica Dominicana. Republica Dominicana. Resolución No. 20/2012 Que crea el sistema nacional de monitoreo forestal y la unidad de monitoreo forestal y ordena la conformación de la Comisión sobre monitoreo de bosques del Ministerio de Medio Ambiente y Recursos Naturales.
10. Programa REDD/CCAD/GIZ en Centroamérica y República Dominicana. 2011. Memoria del Taller Nacional de Monitoreo Forestal en el contexto de REDD+ en la República Dominicana. Junio 2 de 2011.
11. Presidencia de la República Dominicana. 2000. Plan Nacional *Quisqueya Verde*: Trabajando con la comunidad por sus recursos naturales: 1997-2000. Santo Domingo, RD. 47p.
12. SEMARENA. 2003. Evaluación de la cobertura de la vegetación y el uso de la tierra en la República Dominicana.

Annex XIV: Draft Preparation Grant Agreement

The World Bank

INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT
INTERNATIONAL DEVELOPMENT ASSOCIATION

1818 H Street N.W.
Washington, D.C. 20433
U.S.A.

(202) 473-1000
Cable Address: INTBAFRAD
Cable Address: INDEVAS

_____, 2015

[NAME]
[ADDRESS]

Grant Agreement for the Dominican Republic's Readiness Preparation Proposal Readiness Fund of the FCPF Grant No.

Excellency:

I wish to refer to Resolution PC2008-2 of the Participants Committee ("PC") of the Forest Carbon Partnership Facility ("FCPF") regarding Selection of REDD Country Participants ("Resolution PC2008-2"). Resolution PC2008-2 provides that subject to the availability of funds, eligible REDD Country Participants may receive grant funding of up to three million six hundred thousand United States Dollars (USD 3,600,000) for formulating and carrying out a Readiness Preparation Proposal ("R-PP").

The Dominican Republic ("Recipient") was selected as a REDD Country Participant. The PC has reviewed the R-PP submitted by the Recipient and acknowledged the great efforts made by the Recipient in formulating its R-PP. Accordingly, the PC, through its Resolution PC/16/2013/5, decided to allocate grant funding to the Recipient in the amount of up to three million eight hundred thousand Dollars (USD 3,800,000) ("Grant"), to enable it to move ahead with preparation for readiness, subject to the terms and conditions set out in said Resolution. The funds of up to two hundred thousand Dollars (USD 200,000) out of this USD 3,800,000 shall be used for the purpose of strengthening the Recipient's national feedback and grievance redress mechanism, subject to the terms and conditions set out in Resolution PC/Electronic/2012/1.

In response to the request for financial assistance made on behalf of the Recipient and the decisions of the PC referred to above, I am pleased to inform you that the International Bank for Reconstruction and Development ("World Bank"), acting as trustee of the Readiness Fund of the FCPF, proposes to allocate to the Recipient the Grant in the amount of three million eight hundred thousand Dollars (USD 3,800,000) on the terms and conditions set forth or referred to in this letter agreement ("Agreement"), which includes the attached Annex, to assist in the financing of the Readiness Preparation Activities described in the Annex.

This Grant is funded out of the abovementioned FCPF trust fund for which the World Bank receives periodic contributions from the donors to the trust fund. In accordance with Section 3.02 of the Standard Conditions (as defined in the Annex to this Agreement), the World Bank's payment obligations in connection with this Agreement are limited to the amount of funds made available to it by the donors under the abovementioned trust fund, and the Recipient's right to withdraw the Grant proceeds is subject to the availability of such funds.

The Recipient represents, by confirming its agreement below, that it is authorized to enter into this Agreement and to carry out the Readiness Preparation Activities in accordance with the terms and conditions set forth or referred to in this Agreement.

Please confirm the Recipient's agreement to the foregoing by having an authorized official of the Recipient sign and date the enclosed copy of this Agreement, and returning it to the World Bank. Upon receipt by the World Bank of the countersigned copy, this Agreement shall become effective as of the date of the countersignature.

Very truly yours,
INTERNATIONAL BANK FOR
RECONSTRUCTION AND DEVELOPMENT
Acting as Trustee of the Readiness Fund of the Forest Carbon Partnership Facility

By _____
[NAME]
Country Director

AGREED:

DOMINICAN REPUBLIC

By _____
Authorized Representative

Name:

Title:

Date:

Enclosures:

- (1) Standard Conditions for Grants Made by the World Bank Out of Various Funds, dated February 15, 2012.
- (2) Charter Establishing the Forest Carbon Partnership Facility, dated December 23, 2014.
- (3) Disbursement Letter of even date herewith, together with World Bank Disbursement Guidelines for Projects, dated May 1, 2006.
- (4) Guidelines on Preventing and Combating Fraud and Corruption in Project Financed by IBRD Loans and IDA Credits and Grants, dated October 15, 2006 and revised in January 2011.
- (5) Guidelines: Procurement of Goods, Works and Non-consulting Services under IBRD Loans and IDA Credits and Grants by World Bank Borrowers, dated January 2011, revised in July 2014.
- (6) Guidelines: Selection and Employment of Consultants under IBRD Loans and IDA Credits and Grants by World Bank Borrowers, dated January 2011, revised in July 2014.

23.

24. **Article I**

25. **Standard Conditions; Definitions**

1.01. **Standard Conditions.** The Standard Conditions for Grants Made by the World Bank Out of Various Funds, dated February 15, 2012 (“Standard Conditions”), with the modifications set forth below, constitute an integral part of this Agreement:

(a) The following term and definition shall be added to the Appendix to the Standard Conditions as paragraph 18 bis to read as follows:

18bis “‘Readiness Preparation Activities’ means the activities, described in the Agreement, for which the Grant is made, as the description of said activities may be amended from time to time by agreement between the Recipient and the World Bank.”

(b) The term “Project” and its definition shall be deleted in their entirety from the Standard Conditions; and all references throughout the Standard Conditions to the term “Project” shall be deemed to refer to the “Readiness Preparation Activities.”

1.02. **Definitions.** Unless the context requires otherwise, the capitalized terms used in this Agreement have the meanings ascribed to them in the Standard Conditions, the Charter Establishing the Forest Carbon Partnership Facility (“Charter”), or in this Agreement.

(a) “Environmental and Social Management Framework” or “ESMF” means the environmental and social management framework acceptable to the World Bank, which establishes the modalities and procedures to address potential negative environmental and social impacts from the implementation of REDD+ investments and demonstration activities as well as associated mitigation measures through employing best practices; and includes the screening criteria, procedures and institutional responsibilities for the safeguard policies that are triggered for subsequent REDD+ investments.

(b) “‘MENR” means *Ministerio de Ambiente y Recursos Naturales*, the Recipient’s Ministry of Environment and Natural Resources, or any successor or successors thereto.

(c) “Operational Manual” means the operational manual, acceptable to the World Bank and referred to in Section 2.03 (b) of this Agreement, as the same may be modified from time to time by agreement between the Recipient and the World Bank.

(d) “Process Framework” or “PF” means the framework prepared by the Recipient, acceptable to the World Bank and included as part of the ESMF, to guide the mitigation of potential negative impacts on the livelihoods of populations as part a result of the future World Bank investments related to REDD+.

- (e) “Resettlement Policy Framework” or “RPF” means the framework prepared by the Recipient, acceptable to the World Bank, to screen REDD+ activities for potential involuntary resettlement.
- (f) “SESA” means the strategic environment and social assessment to be conducted as part of the Readiness process to assess the potential impact from national REDD+ programs and policies, formulate alternatives and mitigation strategies and enhance the decision-making process around the design of the REDD+ Strategy.
- (g) “SESA Work Plan” means the strategic environment and social assessment document prepared by the Recipient, in a manner acceptable to the World Bank, which identifies the activities to be carried out during the readiness process to assess the risks and benefits associated with the Recipient’s REDD+ strategy.

Article II

Execution of Readiness Preparation Activities

2.01. ***Objectives and Description.*** The objective of the Grant is to assist the Recipient to design and carry out the Readiness Preparation Activities by supporting the preparation of the Recipient’s REDD+ strategy through a participatory and inclusive process. The Readiness Preparation Activities consist of the following parts:

- a) REDD+ Readiness Organization, Consultation and Grievance Redress
 - (i) Establishing and operationalizing a multi-sector consultative platform on REDD+;
 - (ii) Preparing and implementing the Recipient’s (A) communications and information sharing strategy for REDD+; and (B) participation and consultation plan for REDD+; and
 - (iii) Assessing existing feedback and grievance redress mechanisms and, if necessary, strengthening and/or establishing said mechanisms to meet the needs of people who may be affected by REDD+.
- b) Development of REDD+ Strategy
 - (i) Conducting studies and analyses to identify the main direct and indirect drivers of deforestation and forest degradation in the Recipient’s territory;
 - (ii) Identifying strategic policy and programmatic interventions to be mainstreamed into the Recipient’s national development strategy;
 - (iii) Designing an implementation framework for REDD+; and
 - (iv) (A) Carrying out of SESA; (B) preparing an ESMF, including a Process Framework; and (C) preparing a Resettlement Policy Framework.

c) Development of a Forest Reference Emission Level and Forest Reference Level

Establishing a reference emissions level and forest reference level in the Recipient's territory.

d) Design of a National Forest and Safeguards Monitoring System

Designing and implementing: (i) a national forest monitoring system; and (ii) a national information system for (A) multiple benefits and other impacts that may be emanating from future REDD+ activities; and (B) safeguards.

e) Design of a REDD+ Monitoring and Evaluation Framework

Establishing and operationalizing a Project Implementation Unit ("PIU"), acceptable to the World Bank, in order to coordinate and implement the technical and fiduciary aspects of the Readiness Preparation Activities set out in (a) – (e) of this paragraph 2.01, including a monitoring and evaluation framework for REDD+.

2.02. ***Execution Generally.*** The Recipient declares its commitment to the objectives of the Readiness Preparation Activities. To this end, the Recipient, through MENR, shall carry out the Readiness Preparation Activities through the Forestry Department of the Ministry of Fisheries and Forests, in accordance with the provisions of: (a) Article II of the Standard Conditions; (b) the "Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants", dated October 15, 2006 and revised in January, 2011 ("Anti-Corruption Guidelines"); and (c) this Article II.

2.03. ***Institutional and Other Arrangements.***

(a) Without limitation upon the provision of paragraph 2.02 above, the Recipient, through MENR, shall ensure that, throughout the period of implementation of the Readiness Preparation Activities, the PIU is made operational and maintained within MENR, in order to carry out the Readiness Preparation Activities.

(b) The Recipient, through MENR, shall prepare and thereafter maintain throughout the implementation of the Readiness Preparation Activities an operational manual (the "Operational Manual") satisfactory in form and substance to the World Bank, therein setting forth rules, methods, guidelines, standard documents and procedures for the carrying out of the Readiness Preparation Activities including, inter alia, the following: [(i) a detailed description of the Readiness Preparation Activities; (ii) the administrative, financial, accounting, auditing, procurement and disbursement procedures for the implementation of the Readiness Preparation Activities, including the relevant standard documents; and (iii) the plan for the monitoring, evaluation and supervision of the Readiness Preparation Activities, including the performance indicators.]

2.04. ***Safeguards.***

(a) all (i) terms of reference for any technical assistance or studies carried out under the Readiness Preparation Activities and (ii) frameworks prepared on the basis of the SESA under the Readiness Preparation Activities pursuant to Section 2.01 of this Agreement are consistent with, and pay due attention to, the World Bank's environmental and social safeguards policies, as well as the Recipient's own laws relating to the environment and social aspects; and

(b) in drafting any laws or regulations under the Readiness Preparation Activities, due attention will be given to said policies and laws.

2.05. **Mid-term Progress Report and Completion Report.** The Recipient [, through MENR,] shall, not later than [], prepare and furnish to the World Bank a mid-term progress report on the Readiness Preparation Activities in accordance with terms of reference acceptable to the World Bank, including the provisions of Section 6.3(b) of the Charter and Resolutions PC/7/2010/3 and PC/12/2012/2.¹⁷ The Recipient shall also prepare and furnish to the World Bank not later than six months after the Closing Date, a Completion Report in accordance with the provision of Section 2.06(b) (ii) of the Standard Conditions.

2.06. **Financial Management.**

(a) The Recipient [, through MENR,] shall ensure that a financial management system is maintained in accordance with the provisions of Section 2.07 of the Standard Conditions.

(b) The Recipient [, through MENR,] shall ensure that interim unaudited financial reports for the Readiness Preparation Activities are prepared and furnished to the World Bank not later than [forty-five (45)] days after the end of each calendar [semester], covering the [semester], in form and substance satisfactory to the World Bank.

(c) The Recipient shall have its Financial Statements audited in accordance with the provisions of Section 2.07 (b) of the Standard Conditions. Each such audit of the Financial Statements shall cover the period of one fiscal year of the Recipient. The audited Financial Statements for each such period shall be furnished to the World Bank not later than [six] months after the end of such period.

2.07. **Procurement.**

All goods, non-consulting services, and/or consulting services required for the Readiness Preparation Activities and to be financed, fully or partially, out of the proceeds of the Grant shall be procured in accordance with the requirements set forth or referred to in the “Guidelines: Procurement of Goods, Works and Non-consulting Services under IBRD Loans and IDA Credits and Grants by World Bank Borrowers,” dated January 2011, revised July 2014 (“Procurement Guidelines”), and the “Guidelines: Selection and Employment of Consultants under IBRD Loans and IDA Credits and Grants by World Bank Borrowers,” dated January 2011, revised July 2014 (“Consultant Guidelines”).

2.08. Any contract for Eligible Expenditures to be financed in full or in part out of the proceeds of the Grant shall be included in the procurement plan prepared by the Recipient and approved by the Bank in accordance with the Procurement Guidelines and the Consultant Guidelines, prior to initiating the procurement process for any such contract.

Article III

¹⁷ Resolution PC/7/2010/3 requires the REDD Country Participant to submit a mid-term progress report to the PC according to a timetable that shall be jointly agreed in the Readiness Preparation Grant Agreement between the World Bank and the REDD Country Participant. When the World Bank receives the REDD Country Participant’s mid-term progress report in accordance with the timetable set out in Section 2.05 of this Agreement, it will forward the progress report to the PC for its review. Resolution PC/12/2012/2 specifies the process for the submission and review of mid-term progress report, including the format of such progress report.

Withdrawal of Grant Proceeds

3.01. **Eligible Expenditures.** The Recipient may withdraw the proceeds of the Grant in accordance with the provisions of (a) Article III of the Standard Conditions, (b) this Section, and (c) such additional instructions as the World Bank may specify by notice to the Recipient (including the “World Bank Disbursement Guidelines for Projects” dated May 2006, as revised from time to time by the World Bank and as made applicable to this Agreement pursuant to such instructions), to finance 100% of Eligible Expenditures consisting of goods, non-consulting services, consultants’ services, Training and Workshops, and Operating Costs inclusive of Taxes.

For the purpose of Section 3.01, (i) the term “Training and Workshops” means the reasonable costs, as shall have been approved by the World Bank, for training and workshops conducted under the Readiness Preparation Activities, including tuition, travel and subsistence costs for training and workshop participants, costs associated with securing the services of trainers and workshop speakers, rental of training and workshop facilities, preparation and reproduction of training and workshop materials, and other costs directly related to training courses and workshop preparation and implementation (but excluding goods and consultant’s services); and (ii) the term “Operating Costs” means the reasonable costs, as shall have been approved by the World Bank, for the incremental expenses incurred on account of the implementation of the Readiness Preparation Activities, consisting of vehicle operation and maintenance, communication, and insurance costs, banking charges, rental expenses, office (and office equipment) maintenance, utilities, document duplication/printing, consumables, travel cost and *per diem* for Readiness Preparation Activity staff for travel linked to the implementation of the Readiness Preparation Activities, and salaries of contractual staff for the Readiness Preparation Activities (but excluding consultants’ services and salaries of officials of the Recipient’s civil service).

3.02. **Withdrawal Conditions.** Notwithstanding the provisions of Section 3.01 of this Agreement, no withdrawal shall be made for payments made prior to the date of countersignature of this Agreement by the Recipient.

3.03. **Withdrawal Period.** The Closing Date referred to in Section 3.06 (c) of the Standard Conditions is June 30, 2019.

Article IV Recipient’s Representative; Addresses

4.01. **Recipient’s Representative.** The Recipient’s Representative referred to in Section 7.02 of the Standard Conditions is the Minister at the time for Finance.

4.02. **Recipient’s Address.** The Recipient’s Address referred to in Section 7.01 of the Standard Conditions is:

[Ministry of Finance]
[ADDRESS]
Facsimile:

4.03 **World Bank’s Address.** The World Bank’s Address referred to in Section 7.01 of the Standard Conditions is:

International Bank for Reconstruction and Development
1818 H Street, N.W.
Washington, D.C.20433

United States of America
Facsimile: 1-202-477-6391