

MID-TERM REPORT (MTR) DOMINICAN REPUBLIC

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Forest Carbon Partnership Facility (FCPC)



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MID-TERM REPORT (MTR)

Forest Carbon Partnership Facility (FCPF)

Preparation Project for the Reduction of Emissions by Deforestation and Forest
Degradation (REDD+) (P151752)

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LIST OF ABBREVIATIONS AND ACRONYMS (IN ORDER OF APPEARANCE)*

MTR:	Mid-Term Review
FCPF:	Forest Carbon Partnership Facility
END 2030:	National Development Strategy 2030
UNFCCC:	United Nations Framework Convention on Climate Change
INDC-DR:	Intended Nationally Determined Contribution
GHG:	Green-House Gases
Plan DECCC:	National Economic Development Plan Compatible with Climate Change
PANARD:	National Adaptation Action Plan
REDD:	Reducing Emissions from Deforestation and [forest] Degradation
CCAD:	Central American Commission on the Environment and Development
GIZ:	Deutsche Gesellschaft für Internationale Zusammenarbeit
R-PP	Readiness Preparation Proposal
SICA:	Sistema de Integración Centroamericano – <i>Central American Integration System</i>
BM:	Banco Mundial – <i>World Bank</i>
MRV:	Monitoreo, Reporte y Verificación – <i>Measuring , Reporting and Verification</i>
SESA:	Evaluación Ambiental y Social Estratégica – <i>Strategic Environmental and Social Assessment</i>
MGAS:	Marco de Gestión Ambiental y Social – Environmental and Social Management Framework
SNMF:	Sistema Nacional de Monitoreo Forestal – <i>National System for Forest Monitoring</i>
M&E:	Monitoreo y Evaluación - <i>Monitoring and Evaluation</i>
ER-PIN:	Nota de Idea del Programa de Reducción de Emisiones - <i>Emissions Reduction Program Idea Note</i>
CEDAF:	Centro para el Desarrollo Agropecuario y Forestal - <i>Center for Agri-Livestock and Forestry Development</i>
CD-REDD+:	Comité Directivo de REDD+ - <i>REDD+ Directorate Committee</i>
MEPyD:	Ministerio de Economía, Planificación y Desarrollo - <i>Ministry of Economy, Planning and Development</i>
POA:	Plan Operativo Anual - <i>Operational Annual Plan</i>
CTA-REDD:	Comité Técnico Asesor para REDD+ - <i>REDD+ Technical Advisory Committee</i>
IDIAF:	Instituto de Investigaciones Agroforestales – <i>Agroforestry Research Institute</i>
DIGEGA:	Dirección General de Ganadería – <i>Livestock General Directorate</i>
UTG:	Unidad Técnica de Gestión – <i>Technical Management Unit</i>

RD:	República Dominicana
TDR:	Términos de Referencia - <i>Terms of Reference</i>
MQRC:	Mecanismo de Quejas, Reclamos y Resolución de Conflictos – <i>Grievance and Redress Mechanism</i>
SIS:	Sistema de Información sobre Salvaguardas – <i>Safeguards Information System</i>
CATIE:	Centro Agronómico Tropical de Investigación y Enseñanza
CARE:	Organización humanitaria estadounidense.
USAID:	Agencia Internacional para el Desarrollo de los Estados Unidos
PRCC:	Programa Regional de Cambio Climático - <i>Regional Climate Change Program</i>
ENS:	Enfoque Nacional de Salvaguardas – <i>National Focus on Safeguards</i>
IPCC:	Panel Intergubernamental para el Cambio Climático
INF:	Inventario Nacional Forestal – <i>National Forest Inventory</i>
ER-PD:	Documento de Programa de Reducción de Emisiones
ER-P:	Programa de Reducción de Emisiones
UN-REDD:	Programa de Naciones Unidas para REDD
FAO:	Organización de las Naciones Unidas para la Agricultura y la Alimentación
DIARENA:	Dirección de Información Ambiental y de Recursos Naturales – <i>Environmental and Natural Resources Information Directorate</i>
RL:	Nivel de Referencia – <i>Reference Level</i>
INCNB:	Inventario Nacional de Cobertura de No Bosque - <i>National Forest Inventory</i>
ONG:	Organizaciones no Gubernamentales - <i>Non-government Organizations</i>
DD:	Deforestación y Degradación <i>Deforestation and Degradation</i>

- Spanish acronyms are retained for Dominican/regional institutions and initiatives.

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1. OVERVIEW

The Dominican Republic's commitment with the struggle against global climate change is stated in its Constitution, which declares as a national priority the formulation and implementation by law of a national land use plan assuring an efficient and sustainable use of natural resources, according with the need to adapt to climate change. The Constitution also states that reforestation, forest conservation and the renovation of forest resources are matters of national priority and social interest.

In line with the latter, the fourth strategic pillar of the National Development Strategy (END 2030), the main instrument of the National Planning and Public Investment System, promotes "A society with sustainable production and consumption culture, which adequately and efficiently manages risks and the protection of the environment and natural resources, and promotes adequate adaptation to climate change". In its third strategic pillar, the END 2030 promotes an Integrated, Competitive and Sustainable Economy, highlighting the need to firmly enforce environmental regulation for the adoption of sustainable management practices and climate change mitigation.

In August 2015 the Dominican Republic submitted to the United Nations Framework Convention on Climate Change (UNFCCC) its Intended Nationally Determined Contribution (INDC-DR), pledging to reduce greenhouse gas (GHG) emissions by 25% in 2030, taking as reference point the per capita emissions level for 2010, estimated at 3.6 tCO₂e.

It is important to underline that the INDC had to be submitted before the UNFCCC's COP 21 in Paris. Within the Paris Agreement the countries were invited again to communicate their NDC by the time they presented their respective instrument of ratification, acceptance, approval or adherence to the Paris Agreement. If a country had already submitted an INDC before ratifying the Agreement, the disposition on decision | /CP.21 paragraph 22 would be considered as complied with. Such is the case of the Dominican Republic. Its adherence to the Paris Agreement automatically officialized its INDC as the NDC-DR.

The NDC-DR is based on the national legal-institutional and policies framework, namely the Constitution, the END 2030, the National Climate Change Policy, the National Economic Development Plan Compatible with Climate Change (Plan DECCC), and the National Adaptation Action Plan (PANARD).

Based upon the latter, the sectors that have been considered to achieve the national emissions reduction target are Energy, Industrial Processes and Use of Products, Agriculture, Residues, Land Use Changes, Silviculture, and Forest. The GHG to be monitored are Carbon dioxide (CO₂), Methane (CH₄) and Nitrous oxide (N₂O).

In 1997 the Dominican government launched the National Reforestation Plan Quisqueya Verde, under which the forest cover has been systematically increased, reaching 39.2% of the national territory in 2014. Through the Regional Program REDD/CCAD-GIZ the country has benefitted from the German cooperation support to member countries of the Central American Integration System (SICA) in the sustainable management of forests.

In the framework of Plan DECCC both Quisqueya Verde and the REDD/CCAD-GIZ Program were decisive for the selection of the forest sector, together with the electric and transportation sectors, as the most promising for carbon abatement and economic development, highlighting the forest sector potential to become a net carbon sink for 2030, with an annual GHG abatement target of ~6 MtCO₂e. To achieve this, it was deemed necessary to build a trustworthy information base on land use and land use change, and on the drivers of deforestation and forest degradation.

The REDD/CCAD-GIZ Program's purpose was to assist SICA'S member countries to lay the foundation for the establishment of sustainable compensation mechanisms to reduce GHG emissions caused by deforestation and degradation through three components: I) Intersectoral Dialog; II) Sustainable Compensation Mechanisms; and III) Monitoring and Report. Under those components, the Dominican Republic was assisted

to carry out the initial REDD+ diagnosis and training activities, and to prepare the first REDD+ Readiness Proposal draft (R-PP).

The Dominican Republic and the FCPF

Given that the REDD/CCAD-GIZ Program's support to SICA's countries would end in October 2016, it was vital for the Dominican Republic to access the Forest Carbon Partnership Facility (FCPF), to fully develop the National Forest Monitoring System according to REDD+ standards, and to formulate and implement the National REDD+ Strategy.

In view of the above mentioned, in January 30, 2013, before the implementation of REDD/CCAD-GIZ first phase ended, the Dominican Republic presented its expression of interest to the FCPF, through the Ministry of the Environment and Natural Resources, then headed by Dr. Bautista Rojas Gómez. In the referred expression of interest the country stated its will to participate with full financial support for the preparation of the National REDD+ Strategy, as full FCPF member, and that such participation would include financial and technical support for REDD+ preparation in two stages: the \$200,000 grant to help formulate a proposal of the Strategy Preparatory Document (R-PP) and a \$3.6 million grant for the readiness preparation proposal, for a total financial support of \$3.8 million.

In its expression of interest, the Dominican Republic informed that it had already identified the World Bank as potential partner and that contacts with this institution had already been initiated, stressing that the World Bank had recently defined the Strategic Alliance 2011-2013 with the Dominican Republic, which is mainly oriented towards supporting the implementation of the END 2030, whose fourth strategic pillar is particularly relevant for the sustainable management of forests.

The Dominican Republic presented its R-PP to the FCPF's Participants Committee (PC) for evaluation during its 16th meeting, held in Geneva, Switzerland, in December 2013. The Participants Committee issued Resolution PC/16/2013/5, to provide the DR access to funds to proceed with its REDD+ readiness process, addressing key interest issues identified by the Technical Assessment Panel and by the PC itself. The DR thus became part of the nations that work together with the FCPF/WB in creating the conditions for a REDD+ environment, to reduce the emissions caused by deforestation and forest degradation, including the improvement of local communities' livelihoods, and the conservation of biodiversity.

The revised Dominican Republic R-PP document was submitted in August 7, 2014 and received the endorsement of the FCPF team. Among other key elements this document contains: (i) a preliminary assessment of deforestation and forest degradation drivers; (ii) an analysis and preliminary strategic options actions for REDD+; (iii) a preliminary methodology to define its emissions reference level, based on past emissions rates or trends and on future estimates; (iv) a monitoring, report and verification (MRV) system for REDD+; (v) the preliminary design of a national REDD+ strategy (EN-REDD+); and (vi) the proposed institutional arrangements for a future REDD+ regime.

In July 2015, before the Preparation Project for REDD+ had started, a technical mission of the World Bank visited the country to assist in the elaboration of the Emissions Reduction Program Idea Note (ER-PIN). A workshop was convened under this framework with the participation of representatives from different ministries and key agencies of the Dominican government, who were briefed on the Preparation Project and provided important inputs for the ER-PIN. During the workshop the significance of advancing with the elaboration of the ER-PIN was stressed, as well as the opportunity that the Program represented as a rural development fund to provide concrete intervention answers from the participant institutions.

The Dominican Republic presented its ER-PIN to the FCPF in September 2015. It was approved in October 2015. In June 2016 the binding letter of intent was signed, as the country's ER-PIN was selected within the Carbon Fund pipeline.

The REDD+ Preparation Project P151752 (R-PP)

The Project Development Objective (PDO) is to support key efforts by the Dominican Republic to prepare a national REDD+ readiness strategy, which will be achieved through the financing of the activities identified in its R-PP and in the Grant Agreement to design and implement policies and programs to reduce emissions caused by deforestation/degradation, with the free and informed participation of all potentially impacted stakeholders.

The main results expected at project closure are presented below:

- a) National REDD+ Management Arrangements. A cross-sectoral government coordination body (Comité Directivo) and a multistakeholder participatory platform (Comité Técnico Asesor) for REDD+ have been established and are under regular operation.
- b) Consultation, participation and outreach. A national consultation and participation strategy, including a gender mainstreaming strategy, has been designed and is under operation, as well as the National Communication Strategy for REDD+ and for the Emissions Reduction Program.
- c) Consultation and Participation Processes. A citizen feedback mechanism, also known as a Grievance Redress Mechanism, for REDD+ has been designed and is under operation (MQRC, by its Spanish initials).
- d) National REDD+ Strategy Preparation. A National REDD+ Strategy (EN- 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 (MGAS by its Spanish initials), as the country's main safeguards instrument.
- f) Reference Emissions Level/ Reference Forest Levels. The capacity and progress to establish a National Forest Reference Emission Level and/or a Forest Reference Level has been improved.
- g) National Forest and Safeguards Monitoring Systems. The capacity and progress to develop a National Forest Monitoring System (SNMF by its Spanish initials) for the Measurement, Reporting, and Verification (MRV) of Green House Gases (GHG) emissions reductions and non-carbon impacts from REDD+ activities have been improved.

These results encompass the main elements needed by the DR to develop the country's "Readiness Package" (R-Package) 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 (UNFCCC) that the DR may consider.

To achieve the previous results, the FCPF implementation grant contemplates the following five components:

Component 1 - Readiness Organization and Consultation, to which US\$908,979 have been allocated, representing 24% of the US\$3.8 million provided by the FCPF/WB to the Dominican Republic for REDD+ Readiness. This component includes the following subcomponents:

- 1a. National REDD+ Management Arrangements
- 1b. Consultation, participation and outreach
- 1c. Consultation and participation processes.

Component 2: REDD+ Strategy Preparation. US\$593,251 have been allocated to this component (16% of the FCPF Grant). It includes the following subcomponents:

- 2a. Assessment of Land Use, Land-Use Change Drivers, Forest Law, Policy and Governance
- 2b. REDD+ Strategy Options

2c. Implementation Framework

2d. Social and Environmental Impacts

Component 3 - Reference Emissions Level/ Reference Forest Levels. Under this component the Ministry of the Environment and Natural Resources will be assisted to identify a national Reference Emissions Level, and/or Reference Level for the forest sector. US\$180,000 have been allocated to component 3, representing 5% of the FCPF Grant.

Component 4: Monitoring Systems for Forests, and Safeguards, which includes the following subcomponents:

4a. National Forest Monitoring System

4b. Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards Component 4 has a current allocation of US\$1,080,711, which represents 28% of the FCPF/WB Grant to the Dominican Republic for REDD+ readiness.

Component 5. Monitoring and Evaluation (M&E) Framework and Grant Management. This component is addressed to establish and operate a technical/administrative implementation unit (UTG, by its Spanish initials) in the Ministry of the Environment to oversee 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. It has a current allocation of US\$1,037,060, equivalent to 27% of the total FCPF Grant for REDD+ readiness.

2. REPORT OF MAIN ACHIEVEMENTS AND RESULTS DURING THE PERIOD

Component 1 - Readiness Organization and Consultation

This component seeks a consensus among the different stakeholders involved in the REDD+ process, by the design and operation of a national communications, dissemination, consultation and participation strategy for REDD+. That includes the Grievance Redress Mechanism (MQRC, by its Spanish initials).

Background

When the Dominican Republic started to formulate its REDD+ national strategy back in 2011, with the support of the Regional Program REDD/CCAD-GIZ, the Center for Agriculture and Forest Development (Centro para el Desarrollo Agropecuario y Forestal -CEDAF) was hired to facilitate an integration and sensitization process of national stakeholders, which would conduct to the establishment of a consultation mechanism for the development of such strategy and to the preparation of the first country R-PP draft.

Before the signing of the donation agreement with the World Bank/FCPF, at least 15 workshops were held in Santo Domingo and in the Northern, Southern and Eastern regions of the country, with the participation of hundreds of representatives from communities, state institutions, producers' organizations, business people, technicians and professionals who take part in the regional forest dialog roundtables. These workshops were instrumental for a preliminary mapping of potential interested parties and key stakeholders for REDD+ in different walks of society. During them, important ideas were proposed concerning the activities required for each of the R-PP components, and breakthrough steps were taken for the establishment of multisector, multi-stakeholders articulation and consultation mechanisms, that would later evolve into the governance framework for REDD+.

As stated in the annual progress report submitted by the Dominican Republic to the FCPF in August 2016, in addition to the financing provided by the Regional Program REDD/CCAD-GIZ, the Ministry of the Environment and Natural Resources provided the logistics for the preparation of workshops and meetings, as well as digital and telephone communication services, informative documents (both in printing and digital), and human resources from 39 provincial, municipal and central headquarters of the ministry's, to lay the foundation for the development of the Preparation Package for REDD+.

All the issues included in the R-PP were discussed in those regional and national workshops, of which it is worth mentioning a national training and sensitization workshop for journalists: the first national SESA workshop held in Santo Domingo to validate strategic options to reduce deforestation and forest degradation and to gather information for the national SESA work plan; and the three REDD+ process socialization workshops held in the Northern, Southern and Eastern regions, where important insights were received for the drafting of the "Emissions Reduction Program Idea Note (ER-PIN)".

The formation of the National Working Group on REDD+ started in 2012, during the consultation process coordinated by CEDAF to draft the first R-PP. This Working Group gathered representatives from civil society, the government and the business sector, with special regard for the energy, agriculture and tourism sectors. It became the core for the conformation of the management mechanisms contemplated under subcomponent 1a. Table nr. 1 presents a summary of the workshops held before the REDD+ Readiness stage.

.Table 1 Workshops held before the REDD+ Readiness stage

No.	Workshop	Place	Date	Number of participants
1	Training on REDD+ as an alternative for the Dominican Republic Sustainable Forest Development.	Santo Domingo	November 9 and 10, 2011	23
2	DR R-PP formulation	Santo Domingo	November 22, 2011	19
3	Capacity enhancement for the Northern-Northwest region Forest Dialog Roundtable and other relevant stakeholders.	Santiago de los Caballeros	February 16, 2012	19
4	Training on REDD+ as an alternative for the Dominican Republic Sustainable Forest Development.	Azua	March 1, 2012	22
5	Participatory drafting of the DR National Strategy (the R-PP). Assessment of Land Use, Forest Policy and Governance.	Santo Domingo	April 12, 2012	23
6	REDD+ Strategy Preparation: Strategic Options, Implementation Framework and Social and Environment Impacts	Santo Domingo	May 2, 2012	20
7	Options for the establishment of Emissions Reference Levels (ER) and for MRV	Santo Domingo	May 29, 2012	18
8	REDD+ as an opportunity to align public policies.	Santo Domingo	June 14, 2012	16

No.	Workshop	Place	Date	Number of participants
9	Socialization of the Dominican Republic R-PP Document.	Santiago de los Caballeros	June 21, 2012	15
10	Socialization of the Dominican Republic R-PP Document.	Santo Domingo	July 10, 2012	20
11	Early Dialog in the Northern region	Santiago de los Caballeros	November 26, 2013	132
12	Early Dialog in the Northern region	Nagua	December 6, 2013	
13	Early Dialog in the Eastern region	Monte Plata	December 12, 2013	
14	Early Dialog in the Southern region	Barahona	January 23, 2014	
15	SESA National Workshop	Santo Domingo	March 12-13, 2015	62
Total number of participants				389

Subcomponent 1a. National REDD+ Management Arrangements

The purpose of this component is to set-up national readiness management arrangements to manage and coordinate the REDD+ readiness activities whilst mainstreaming REDD+ into broader strategies.

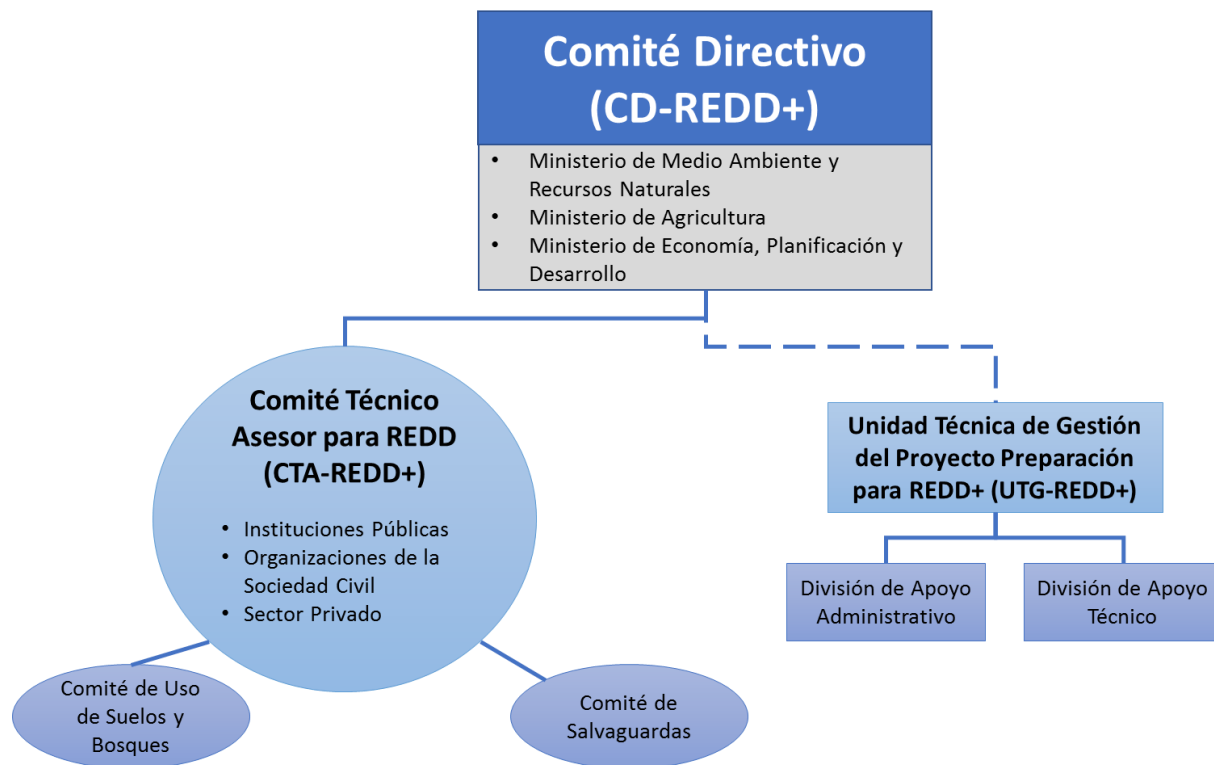
Country Self-Assessment Criteria are: (i) accountability and transparency; (ii) operating mandate and budget; (iii) multi-sector coordination mechanisms and cross-sector collaboration; (iv) technical supervision capacity; (v) funds management capacity; (vi) feedback and grievance redress mechanism.

Current level of implementation

Starting from the efforts mentioned in the background for Component 1, progress has continued in the framework of the R-PP to integrate key government institutions as well as relevant public and private stakeholders.

Diagram no.1 presents the governance and management arrangements for the development of the REDD+ readiness process, complying with the commitments made in the grant agreement between the Dominican Government and the World Bank/FCPF, of establishing a cross-sector REDD+ coordination mechanism (the Directive Committee) and a multi-stakeholders' participation platform (the Advisory Technical Committee), involving a wide range of key stakeholders.

The REDD+ Directive Committee (CD-REDD+) is integrated by the ministries of the Environment and Natural Resources; Economy, Planning and Development; and Agriculture. This mechanism has been evolving since 2012 and was formalized in 2016. It operates twice a year, being the 2017 meetings held in January and November. During the latter the CD-REDD+ was briefed on the project's advances in the different components and reviewed the execution of the 2017 annual operative plan and the emissions reduction program.



REDD+ Program National Governance and Management Mechanisms

Figure 1

The CD-REDD+ functions are:

- To guarantee continuous and progressive incorporation of REDD+ approach in the high levels of decision making, with public policies formulation functions regarding REDD+.
- To provide political and strategic support for the REDD+ readiness implementation.
- To promote ownership of the REDD+ strategy among national stakeholders.
- To guarantee REDD+ strategy coherence and synergies with sectoral programs of involved institutions, with development plans and policies, and with national poverty reduction plans and policies.

The CD-REDD+ is a key mechanism, whose momentum is intensifying as the Project progresses, because it coordinates the institutional response to address one of the major challenges for the implementation of REDD+ National Strategy: to harmonize forest protection policies with those national and sector policies responsible for land use changes that contribute to deforestation and forest degradation.

The Technical Advisory Committee (CTA, for its Spanish initials) on the other hand, whose activities started in 2016, thanks to the interinstitutional coordination efforts developed with the support of the REDD/CCAD-GIZ Program, gathers representatives from the different interest sectors. Its composition was enlarged during the negotiation process with the FCPF, and currently brings together representatives of those public institutions identified as key partners for REDD+, as well as key stakeholders from organized civil society, community Grass-roots, private forest and agriculture producers, particularly coffee and cocoa growers; as well as universities and research centers (Academia). Due to REDD+ multisector feature, in addition to the three government ministries that conform the CD-REDD+, the CTA includes the Women's Ministry, the Agriculture and Forest Research Institute (Instituto de Investigaciones Agropecuarias y Forestales -IDIAF), and

the Livestock Directorate. Although the latter is part of the Ministry of Agriculture’s structure, its inclusion within the CTA is very significant, because it expresses the political will of the government to lower the pressure of livestock on forests.

Although the CTA was originally programmed to meet three times a year, in view of its importance for interinstitutional and cross-sector articulation, an agreement was reached to operate bi-monthly, to facilitate the follow-up of the different studies committed as part of this Readiness project. Three meetings were held during 2017, and a decision was made to create two specialized technical committees: The Land Use and Forests Committee, and the Safeguards Committee (see diagram no.1). Their functions will be to validate the different studies under implementation under the different Project components and subcomponents, and to hold specialized discussions on the issues of their concern, so to make pertinent recommendations to the CTA, which will finally approve.

In line with those functions, the Safeguard Committee was assigned to draft a proposal on the National Safeguard Approach. It will eventually act as observer and/or monitor of safeguards compliance. These positive results show the ever-growing stakeholders ownership of the process.

Progress self-assessment Pursuant to the FCPF Readiness Assessment Framework.

This self-assessment is centered on the management REDD+ program mechanisms and the effectiveness of readiness management, considering the progress achieved in the stage prior to the FCPF/World Bank grant, the R-PP implementation delays, and progress made so far in the creation of an enabling environment for REDD+. Even if the country has a legal framework for transparency and accountability, as well as for free access to public information and for cross-sector coordination, and even if progress has been made in operationalizing the cross-sector coordination mechanisms and cross and multi-sector collaboration for REDD+, much needs yet to be done for this coordination to fully integrate and influence national and sectoral policy making in alignment with REDD+, and this is the reason of the scoring assigned to the different indicators in the table below.

Through consultation with key stakeholders and with the Ministry of Environment personnel assigned to the implementation of the REDD+ Readiness Project, a decision was made to use High, Medium and Low scores, as equivalent to “significant progress”, “progressing well, further development required”, and “not yet demonstrating progress”, respectively, considering the same assessment criteria and diagnostic questions proposed in the FCPF RAF for each one of the 34 indicators.

To answer to the diagnostic questions consideration was given to the progress achieved by the country not only in the readiness stage, but in the strengthening of the national policy framework as a whole during the past decade, and in the stage previous to the signing of the Grant Agreement, within the framework of the REDD/CCAD-GIZ Regional Program.

Progress self-assessment Pursuant to the FCPF Readiness Assessment Framework.

Subcomponent 1a: National REDD+ Management Arrangement		Current level of implementation		
Progress indicator	Assessment criterion	H	M	L
1	Accountability and transparency		x	
2	Operating mandate and Budget			x

Subcomponent 1a: National REDD+ Management Arrangement		Current level of implementation		
Progress indicator	Assessment criterion	H	M	L
3	Multi-sector coordination mechanisms and cross-sector collaboration			x
4	Technical supervision capacity		x	
5	Funds management capacity	x		
6	Feedback and grievance redress mechanism			x

LABEL: To measure current level of implementation High (H), Medium (M), and Low (L) rankings are used.

Although subcomponent 1a reports significant progress in complying with the activities envisaged under the Grant Agreement, particularly setting up the national readiness management arrangements to manage and coordinate the REDD+ readiness activities, by the Assessment Framework's indicators criteria and diagnostic questions further development is required, especially in the multi-sector coordination mechanisms, to be able to integrate into and influence the broader national or sector policy frameworks (e.g., agriculture, environment, natural resources management, infrastructure development and land-use planning). Seeking to achieve that purpose, activities have been planned as part of the Annual Operative Plan (AOP) for 2018.

Request for additional funding

Additional funding will be requested for this subcomponent, for an estimate of US\$130,000, to strengthen REDD+ governance, namely: (i) meetings and reinforcement of the communication Flow between the UTG, the CD-REDD+, the CTA and the Special Committees; (ii) gatherings with local organizations relevant for REDD+, and (iii) preparation of summaries with relevant information for governance mechanisms.

The formation of a new Special Committee under the CTA is also envisaged in that additional funding, to advise throughout the process and to provide insights to complex situations related with land ownership, carbon ownership, benefits transfer, etc., on which the country lacks specific experiences in the framework of REDD+. This also include proposals for regulations and procedures of REDD+ in the DR and will demand some consultancy services to address specific topics.

Subcomponent 1b. Consultation, participation and outreach

This subcomponent's purpose is to have broad consultation with and participation of key stakeholders for future REDD+ programs, to ensure participation of different social groups, transparency and accountability of decision-making.

The country Self- Assessment Criteria are: (i) participation and engagement of key stakeholders; (ii) consultation processes; (iii) information sharing and accessibility of information; (iv) implementation and public disclosure of consultation outcome.

Current level of implementation

A national consultation, participation and outreach strategy will be designed and operationalized under this subcomponent which will include a gender mainstreaming strategy.

The consultation, participation and outreach strategy include the design and implementation of the REDD+ national communication strategy and the improvement of the project’s web platform, through the Ministry of the Environment’s web page, to strengthen all REDD+ related content. Progress in this regard is as follows:

The tender to award the firm that will design the national communication strategy for REDD+ was launched during the first semester of 2017 but was cancelled because none of the participant firms complied with the requirements. During the second semester of 2017 the TOR were reviewed, and their scope increased to include the Emissions Reduction Program. The nearly one year delay the country had in the implementation of the REDD+ Readiness Program was taken as an opportunity to merge the dissemination of REDD+ with the dissemination of the ER-P.

A new call for proposals was issued based on the modified TOR and by December 2017 a short list has been selected to award the consultancy services for the “REDD+ Readiness Communication Strategy”.

The overall objective of that consultancy is to design the National Communication Strategy for the REDD+ Readiness phase and the Emissions Reduction Program in the Dominican Republic, according with the participation and consultation processes, and in line with the National REDD+ Strategy and with other related communication initiatives, as well as accompanying the Ministry of the Environment’s Communications Directorate in its implementation.

The specific objectives of the communication strategy to be developed are:

- To inform key stakeholders related with the agriculture and natural resources sectors on the REDD+ mechanism, on the Dominican Republic’s forest policies, and on the importance of forests conservation and their role in combatting climate change.
- To inform local level decision makers who influence land use changes on the scope of the Emissions Reduction Program in reducing deforestation, forests degradation and increasing carbon stocks.
- To inform highest policy decision makers at the ministerial and inter-sector levels on the objective and scope of the Emissions Reduction Program.

The firm to be awarded is programmed to start its services in January 2018.

A one-year duration is estimated for the implementation of the strategy, which will be under the responsibility of the Ministry of the Environment’s Communications Directorate, with the accompaniment of the awarded firm.

Progress Self-Assessment Pursuant to the FCPF Readiness Assessment Framework.

Subcomponent 1b. Consultation, participation and outreach		Current level of implementation		
Progress indicator	Assessment criterion	H	M	L
7	Participation and engagement of key stakeholders		x	
8	Consultation processes		x	
9	Information sharing and accessibility of information			x
10	Implementation and public disclosure of consultation outcomes			x

LABEL: To measure current level of implementation High (H), Medium (M), and Low (L) rankings are used.

Progress has been made in this subcomponent before and during the Readiness Project, particularly with the national key institutional stakeholders' participation platform. Nonetheless, additional efforts are needed in priority areas to carry out the participation and consultation processes with all interested parties.

Additional efforts

Gender strategy

To assure gender equality mainstreaming in the design and implementation of REDD+ mechanisms in the Dominican Republic, important steps have been taken, such as the incorporation of the Woman Ministry into the CTA and the tendering process launched with World Bank assistance to perform a Gender Analysis Report and prepare a Gender Action Plan which will provide information on two key areas related with gender equality such as: 1) traditional barriers: institutional, economic, political, and legal conditions; 2) behavioral barriers: psychological, cultural, social, and material constraints. The Consultant(s) will also identify opportunities to bridge gender gaps and generate real benefits to women and men through REDD+ interventions.

The behavioral analysis is especially important in the case of Dominican Republic, because traditional constraints have already been partially identified by other previous studies, and behaviorally informed assessment can provide additional insights on how to reduce the barriers women will face when participating in REDD+ programs.

By the end of December of 2017, the tendering process is ongoing for the gender studies. Through this important work, the Dominican Republic will be one of the Gender-responsive REDD+ Strategies pilot countries for year 2017-2018. This study will inform the development of a global strategy for REDD+ in gender mainstreaming.

Request for additional funding

Due to the relevance and scope of the communications strategy, additional funding is requested for implementation, for an estimate of US\$236,500, which will complement the current US\$164,000 allocated to this activity from the US\$3.8 million grant. With the additional funding the dissemination on REDD+ and on the Emissions Reduction Program will be amplified and strengthened. In addition, dissemination material, audiovisuals, radio and tv adds will be produced. These latter include publicity in social networks, billboards throughout the country, as well as stands in fairs and other suchlike events, among others.

The communications strategy cost was underestimated in the AOP, in which only the design and publications costs were included, leaving out costly central campaign items. As stated in the World Bank Assessment Note of the Dominican Republic R-PP presented to the FCPF, the communications strategy will follow the principles of communication for development in the design and implementation of the REDD+ strategy, and a differentiated approach will be used according to each target population 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. To comply with all that, additional funding is requested.

Subcomponent 1c. Consultation and Participation Processes

Expected outcome for this subcomponent are linked to the REDD+ National Strategy preparation. They are: i) the design and operationalization of the citizen's Feedback and Grievance Redress Mechanism, ii) Strategic Environmental and Social Assessment (SESA) which will inform the preparation of the Environmental and Social Management Framework (ESMF), as the main country safeguard instrument.

Although there is no subcomponent 1c under the Readiness Assessment Framework, this subcomponent was included in the DR Agreement Grant, considering the risk of limited participation of forest dependent communities in decision-making processes, due to lack of appropriate participation platforms and other logistical limitations.

To address that risk, the Consultation and Participation Strategy and the Grievance Redress Mechanism to be financed under Component 1c 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. The GRM will facilitate the establishment of culturally appropriate channels that can be accessible to the broad range of stakeholders at the national, regional and local levels, and will also consider community conflict resolution mechanisms. Current level of implementation

The tendering and contracting process for the preparation of the ESMF and related outputs was concluded. The consultancy overall objective is to prepare the REDD+ Environmental and Social Management Framework (ESMF), considering the SESA participation and consultation processes, to establish the principles, guidelines and procedures to address, avoid and minimize negative impacts risks, and to enhance social and environmental benefits associated with the REDD+ National Strategy implementation. The study will initiate in January of 2018 for a foreseen duration of 12 months.

The consortium Climate Law & Policy – Fondo Pro Naturaleza – Winrock International was awarded the contract. Climate, Law & Policy, the leading firm, has provided services for the REDD/CCAD-GIZ Regional Program, performing an analysis of the legal framework for the whole Central American region and the Dominican Republic, an analysis that will serve as a reference for this new mission whose specific objectives are:

- To facilitate the Strategic Environmental and Social Assessment (SESA) through the participation platforms identified in the stakeholders mapping for REDD+.
- To formulate a proposal for the creation of the REDD+ citizen's Feedback and Grievance Redress Mechanism, and draft the regulations under which it will operate in synergy with the Ministry of the Environment's Electronic Complaints Reception System (Línea Verde).
- To design the Information System on Safeguards (SIS, by its Spanish initials).
- To draft the REDD+ National Strategy's Environmental and Social Management Framework (ESMF).

Even if the REDD+ National Strategy will be developed through the different services to be hired under component 2, the consultancy described above has an important material to develop its services concurrently with the study on the drivers of deforestation and forest degradation and on the strategic options, since the Dominican Republic has formulated a set of strategic options based on the DD drivers identified in 2011 (see component 2 background), and these options have been validated and enriched in the SESA workshop held in 2015, as well as in the participatory process resulting in the elaboration of the ER-PIN. To guarantee the harmonization of processes the UTG will ensure that an adequate interaction exists between the key consultancies contemplated under components 1 and 2.

Other progress related with this subcomponent are:

- Conclusion of the tendering for the purchase of computer equipment to strengthen the Ministry of the Environment and Natural Resources, as well as the National Meteorological Office. By December of 2017 The installation of computer equipment for the reception, report and follow-up of complaints has started in provincial and municipal Ministry of the Environment's headquarters.
- A training and sensitization plan for the Ministry of the Environment's Provincial and Municipal headquarters was formulated and initiated, in view of the important role they will play in the articulation of the citizen's

Feedback and Grievance Redress Mechanism with the Ministry's Linea Verde platform. Three out of four planned workshops were already held in Santiago, San Francisco de Macorís, and Azua.

As stated before, the FCPF Readiness Assessment Framework progress indicators do not include a subcomponent 1c. Indicator 6, Feedback and grievance redress mechanism, and indicator 8, Consultation processes, both related with subcomponent 1c, have been incorporated in the progress self-assessment under subcomponents 1a and 1b, respectively. Further down on component 2, other related indicators such as 20, 24 and 25 are self-assessed under subcomponents 2c and 2d.

Request for additional funding

Additional funding will be requested for an estimate of US\$ 100,000 to guarantee enabling measures to operationalize and give continuity to the application of the Environmental and Social Management Framework (ESMF), which is key for REDD+ safeguards compliance. This will require a broader work with relevant sectors to internalize the scope, implications and responsibilities to effectively apply the ESMF.

Summary of Request for Additional Funding for Component 1

The amount allocated to Component 1 is US\$908,979, which represents 24% of the US\$3.8 million FCPF/WB funding to the Dominican Republic for REDD+ readiness. The total amount required to implement Component 1 is estimated to be US\$2,538,248, while the total funding pledged (FCPF/WB and other sources) amounts to US\$2,071,748. This means a deficit of US\$466,500, which represents all the additional funding required to complete Subcomponents 1a, 1b and 1c, as described above and pursuant to the additional details furnished in Chapter 6.

Component 2 –REDD+ National Strategy Preparation

Through this component the main direct and indirect causes of deforestation and degradation will be identified. In addition, the most effective REDD+ strategy options will be established, an implementation framework for REDD+ will be designed, and possible social/ environmental impacts associated to the REDD+ strategic options will be assessed through the SESA.

Background

The preliminary study "Identification of the Causes of Deforestation and Forest Degradation in the Dominican Republic" was done with the support of the REDD/CCAD-GIZ Program in 2011. Despite the scarcity of statistics and accurate diagnosis, the study identified and weighed the following causes of deforestation and forest degradation in the Dominican Republic:

- Expansion of agriculture and cattle raising in all its forms (55%)
- Wood and non-wood forest products extraction (26%)
- Infrastructure building and expansion of the urban area (12%)
- Forest fires (7%)

Through the latter, the study showed that deforestation is motivated by causes mostly originated out of the forest sector, and this finding initiated a most thorough reflection on the relationship between forestry policies and national policies.

In a similar manner the “Analysis of the Legal Framework in Reference to Land Ownership and Carbon Property in the Dominican Republic”, which was carried out in 2013 with the support of the REDD/CCAD-GIZ Program, exposed the national reality in relation with land ownership, as a major factor to be considered for forest conservation. As a matter of fact, land ownership in the Dominican Republic is one of the areas where the country has more weaknesses, given that most small farmers in rural areas lack a property title to the land their families have worked for generations. This situation was underlined by the due diligence mission of the World Bank, which also acknowledged the efforts being made by the Dominican government to formalize land ownership in rural areas, which includes the payment for environmental services schemes in place for those farmers that guarantee a land use favorable to forest conservation in the upper watersheds.

The referred study makes a general analysis of the existing legal framework for the development of REDD+ in the Dominican Republic, including land and carbon ownership; formulates a basic legal proposal identifying appropriate tools and figures for the development of REDD+ pilot experiences; and formulates a work plan for the REDD+ implementation phase.

Both preliminary studies on the drivers of deforestation and forest degradation and on the legal framework for land and carbon ownership laid the basis for the preliminary selection of strategic options that were incorporated both in the R-PP and the ER-PIN presented by the country to the FCPF, and for the ongoing efforts in the framework of the REDD+ Readiness Project, whose progress is accounted for in this MTR report.

Subcomponent 2a. Assessment of Land Use, Land-Use Change Drivers, Forest Law, Policy and Governance

This subcomponent’s purpose is the identification of key drivers of deforestation and/or forest degradation, as well as activities concerning conservation, sustainable management of forests, and enhancement of forest carbon stocks.

The country Self-Assessment criteria are: (i) assessment and analysis; (ii) prioritization of direct and indirect drivers/barriers to forest enhancement; (iii) links between drivers/barriers and REDD+ activities; (iv) actions plans to address natural resource right, land tenure, governance; (v) implications for forest law and policy.

Current level of implementation

As stated above, under this subcomponent the key drivers of DD were to be identified building on the findings of the previous study mentioned in the background. Considering the delays in the REDD+ Readiness Project implementation and the close relationship between subcomponents 2a and 2b, the decision was made to combine the study of DD drivers with the formulation of REDD+ strategy options. Current implementation level of the study is accounted for under subcomponent 2b, while other advances are addressed herein.

Definition of forest

For the Land Use and Land-Use Change Drivers study, as well as for Reference Levels study it was deemed necessary to arrive at a definition of forest. With that purpose two workshops were organized and held with the participation of national experts and a specialist from the REDD/CCAD-GIZ Program. As a starting point, quantifiable descriptors were emphasized: a) maximum tree height, b) tree top density, c) minimum surface. The possible legal implications of the definition were also addressed. Also available was a previous analysis

of similar experiences in various countries in the region. An output of the workshop was the definition that follows:

Forest: Natural or planted ecosystem with biological diversity and enrichment of native species, which produces goods, provides environmental and social services, whose minimum land Surface is 0.5 has, with a tree top coverage that surpasses 30% of the minimum surface, and trees and bushes with the potential to reach a minimum height of 5 meters in their maturity in situ, and 3 meters for dry forest.

Includes: Mangroves, dwarf mangroves, dwarf forests, native palms, and forest plantations with native species.

Excludes: Agriculture use lands (agroforestry systems with coffee and cocoa, African palm, coconut, orchards and pasture) and urban areas.

National considerations:

- Those areas potentially affected by natural phenomena like storms, hurricanes, forest fires, plagues and diseases will still be considered as forests.
- Those special cases of natural tree or bush vegetation which due to natural environmental conditions does not reach 3 meters of altitude but comply with the Surface and minimum coverage criteria will be considered as forests.

Despite the consensus reached around this definition, a third experts workshop has been programmed for the beginning of 2018 to include into the national considerations the coffee and cocoa agroforestry systems under the denomination of forest analogous systems.

Progress Self-Assessment Pursuant to the FCPF Readiness Assessment Framework.

Subcomponent 2a. Assessment of Land Use, Land-Use Change Drivers, Forest Law, Policy and Governance		Current level of implementation		
		H	M	L
Progress indicator	Assessment criterion			
11	Assessment and analysis;		x	
12	Prioritization of direct and indirect drivers/ barriers to forest carbon stock enhancement			x
13	Links between drivers/barriers and EN-REDD+ activities			x
14	Action plans to address natural resource rights, land tenure, governance			x
15	Implications for forest law and policy			x

LABEL: To measure current level of implementation High (H), Medium (M), and Low (L) rankings are used.

Progress was made in the previous phase under this component, in the preliminary assessment and analysis of DD drivers, as well as in matters related with land ownership and titling and rights over resources. Nonetheless, additional efforts are required for compliance with the different assessment criteria. Those efforts are part of the already contracted services for the consultancy on the analysis of direct and indirect drivers of deforestation and forest degradation.

Subcomponent 2b. REDD+ Strategy Options

The purpose of this subcomponent is to develop a set of policies and programs for addressing the drivers of deforestation and/or forest degradation.

The country self-assessment criteria are: (i) selection and prioritization of REDD+ strategy options; (ii) feasibility assessment; (iii) implications for strategy options on existing sectoral policies.

Current Implementation Level

As explained in Subcomponent 1c, the Dominican Republic has drafted a list of strategy options based on the analysis of the drivers of deforestation and forest degradation conducted in the phase prior to the REDD+ Readiness stage. These strategy options were indeed considered in the ER-PIN but were later revised and expanded upon as a result of the consulting services hired using the grant funds. The strategy options cover everything from an analysis of the factors driving deforestation to proposals for sustainable land use alternatives to reduce deforestation and degradation and raise carbon stocks.

As stated before, because Subcomponents 2a and 2b are so closely linked, the decision was made to combine the study of the deforestation and degradation drivers with the formulation of REDD+ strategy options. To do so, a consulting firm was hired to, in broad strokes, help identify and document the main direct and indirect drivers of deforestation and forest degradation, as well as the diminishment or stagnation of forest carbon stocks, in the Dominican Republic, and to devise through participation concrete strategy options to fuel forest restoration and sustainable use of the landscape, prioritized by region or geographic intervention area.

The specific objectives for these consulting services are as follows:

- Analyze the links between the direct drivers of forest degradation and socioeconomic factors, public policy, governance, and the regulatory and institutional framework (indirect drivers) that lead to loss of forest and landscape degradation.
- Propose economic policies, regulations, public programs, governance arrangements, incentives, and other governmental actions (strategy options) that promote sustainable land use practices, and devise recommendations for the agriculture and livestock sectors to prevent and mitigate deforestation and landscape degradation, as well as benefit vulnerable human populations reliant upon the forest for their livelihoods.
- Identify potential sites for REDD+ projects, pursuant to the criteria of forest management, the economic potential of the forests, influence on social community development, impact on climate resilience, and CO₂ mitigation potential.

Progress Self-Assessment Pursuant to the FCPF Readiness Assessment Framework.

Subcomponent: 2b. REDD+ Strategy Options		Implementation Level		
Progress Indicator	Assessment Criterion	H	M	L
16	Selection and prioritization of the REDD+ strategy options		X	
17	Feasibility assessment		x	
18	Implications of strategy options for existing sectoral policies			x

LEGEND: The scores of High (H), Medium (M), and Low (L) were used to measure implementation level.

Just as for Subcomponent 2a, significant progress will be made for this subcomponent once the results of the consulting services described in the preceding paragraph are ready. These results will consider the findings of the study on the drivers of deforestation and degradation performed in 2011, the strategy option proposals previously identified and validated based on the drivers, and the payments for environmental services (PES) schemes in place in the country, among other pieces of information, in order to explore options for more flexible arrangements for future emission reduction payments under the FCPF Carbon Fund.

Subcomponent 2c. Implementation Framework

The purpose of this subcomponent is to set up the transparent and credible institutional, economic, legal, and governance arrangements needed to implement the REDD+ strategy options.

The country self-assessment criteria are as follows: (i) adoption and implementation of legislation/regulations; (ii) guidelines for implementation; (iii) benefit-sharing mechanisms; and (iv) national REDD+ registry and system monitoring REDD+ activities.

Current Implementation Level

Forest Carbon Ownership Study

To advance in completing the objective of this subcomponent, the services of an international expert were hired through the World Bank. With local support, the expert conducted an analysis of forest carbon ownership and the trade in carbon credits. Given the complexity of the topic and the fact that the Dominican Republic is inexperienced in these matters, it became imperative to involve the highest-level decision-makers in the consulting work. As such, the consultant's agenda included meetings coordinated by the Technical Management Unit (TMU) with presidential cabinet members, including representatives from the Ministries of the Economy, Planning, and Development; Finance; and Labor, among others, as well as working sessions with legal experts from the Ministry of the Environment's Legal Directorate.

The specific objectives of the aforementioned consulting services are as follows:

- Examine and clarify land, asset, and service ownership regimes in forest areas and forest carbon rights, as well as the existing laws and regulations in the Dominican Republic.
- Examine and identify the legal nature of carbon credits, their legal existence in the national legislation, and the appropriate legal adaptations required to create, issue, register, and transfer carbon credits;
- Evaluate the country's legislative and regulatory capacity to issue and/or trade in carbon credits internationally;
- Identify feasible mechanisms to issue, register, and trade carbon credits effectively and transparently.

Following the agreements reached in early December 2017 with the World Bank's technical mission, which came to visit the country, the choice was made to change the international expert's mission in several ways. Conversations had previously been had with the expert in this regard, as well as with the consultants who will analyze the direct and indirect drivers of deforestation and degradation and who will be helping to define the sustainable land use alternatives, to incorporate, among other items, the following:

- Apply a methodology to distinguish among the principle drivers of deforestation and degradation (DD) by region, in order to set different priorities for targeted actions to reduce DD in each region.
- Include an analysis of uncertainty for any process involving changes arising from comparing the two land use maps series for 2005, 2010, and 2015, using the Olofsson (2014) methodology.

The addition of these agreed-upon changes will also alter the timeline for the consulting services.

In parallel to the consulting services of the international expert hired with support from the World Bank, in 2018, efforts will also be made to address the carbon credits registry system.

Progress Self-Assessment Pursuant to the FCPF Readiness Assessment Framework.

Subcomponent: 2c. Implementation Framework		Implementation Level		
Progress Indicator	Assessment Criterion	H	M	L
19	Adoption and implementation of legislation/regulations			x
20	Guidelines for implementation			x
21	Benefit-sharing mechanism			x
22	National REDD+ registry and system monitoring REDD+ activities			x

LEGEND: The scores of High (H), Medium (M), and Low (L) were used to measure implementation level.

Subcomponent 2d. Social and Environmental Impacts

The purpose of this subcomponent is to guarantee compliance with the Common Approach and develop a specific Environmental and Social Management Framework (ESMF) for the country.

The country self-assessment criteria are as follows: (i) analysis of social and environmental safeguard issues; (ii) REDD+ strategy design with respect to impacts; (iii) ESMF.

Current Implementation Level

As of December 2017, the international firm Climate, Law & Policy had been hired to perform an analysis of the legal and institutional framework (including laws, policies, and regulations), including both how they are described on paper and how they operate in practice, for the REDD+ safeguards and the World Bank operational policies applicable to the REDD+ National Strategy and the compliance framework for these policies in the Dominican Republic.

The results of these consulting services will be key drivers to assist the Dominican Republic in following the Common Approach, incorporating the REDD+ safeguards approved in Cancún and the World Bank

Operational Policies applicable to the Dominican Republic REDD+ Readiness Project, reported on in Chapter 3 of this mid-term report.

As mentioned above, the company Climate, Law & Policy was hired by the REDD/CCAD-GIZ Regional Program. In 2015, they submitted the results of the study on the Dominican legal framework, designed to provide general help and inform the design of the National Safeguards Approach in the Dominican Republic, to fulfill the safeguards approved in 2010 at the UNFCCC, by way of the following specific objectives:

- Provide an analysis of the relevant legal framework applicable to the Dominican Republic with respect to the safeguards;
- Furnish a clear understanding of how the Dominican legal framework can be harnessed to fulfill the safeguards, as well as identify existing gaps to achieve effective and consistent implementation in the country; and
- Draft recommendations to deal with the gaps identified.

The principle conclusion of the 2015 study was that the Dominican Republic does indeed have a solid and coherent legal and political framework that does support compliance with the UNFCCC REDD+ safeguards, but that there are still certain significant gaps where work needs to be done in order to formulate the REDD+ National Strategy. Concrete recommendations were therefore proposed to address these gaps. The recommendations are listed in a series of matrices analyzing the Dominican legal framework from the standpoint of each of the Cancún safeguards, with salient observations and recommendations for each. The World Bank operational policies were not part of the analysis. In short, the recommendation is to consider developing the following instruments or conducting the following analyses:

- A protocol or manual to raise public awareness about the right to access;
- Protocol or guidelines for accountability and the management of resources derived from REDD+ (and PES) activities;
- In the long term, prioritize enacting a territorial and forestry zoning law, which will be essential to closing many of the gaps identified with respect to land tenure;
- Plan, program, or strategy for the forestry sector to facilitate the procedures to gain title to lands, especially for those who already have a property deed, in order to give them greater legal certainty;
- Protocol outlining the guidelines for the recognition and implementation of and respect for the rights of forest-reliant vulnerable groups in carrying out forestry sector activities, or perhaps only limited to REDD+ activities, depending on how politically viable this option is;
- Protocol to guarantee full and effective participation for the stakeholders involved in REDD+ activities;

Additional recommendations:

- Conduct an analysis of the institutional framework in the Dominican Republic; and
- Conduct an analysis of the compliance framework, including, at minimum, the reporting and monitoring mechanisms and dispute and grievance resolution mechanisms in the Dominican Republic.

The study set to begin in January 2018 will build from the study performed in 2015, furnishing the following outputs:

- An update of the Dominican legal framework analysis conducted back in 2015, including a list of gaps and recommendations for changes.
- A document containing the national interpretation of the UNFCCC safeguards and applicable World Bank operational policies.

- Description and analysis of the current institutional framework (existing institutions and institutional arrangements), deemed relevant to enforcing the safeguards, with recommendations for changes considered necessary.

The findings and recommendations of this new study are meant to help the Dominican Republic design and implement a National Safeguards Approach consistent with its legal and political framework and international commitments.

Progress Self-Assessment Pursuant to the FCPF Readiness Assessment Framework.

Subcomponent: 2d. Social and Environmental Impacts		Implementation Level		
Progress Indicator	Assessment Criterion	H	M	L
23	Analysis of social and environmental safeguard issues		x	
24	REDD+ strategy design with respect to impacts		x	
25	Environmental and Social Management Framework			x

LEGEND: The scores of High (H), Medium (M), and Low (L) were used to measure implementation level.

No significant progress has been made on these subcomponent indicators, because the SESA and ESMF still need to be performed and drafted. They will serve as the main instruments to ensure that the Dominican Republic is complying with the Common Approach. Nevertheless, the country has advanced on analyzing and disseminating matters related to the social and environmental safeguards and, as outlined in the background information for this Component 2, on identifying the strategy options that will inform the design of the EN-REDD+. As part of the efforts required to complete the Implementation Framework, the consulting services to develop the REDD+ Environmental and Social Management Framework have already been hired. These consulting services will also be used to develop the Feedback and Grievance Redress Mechanism (FGRM), the Strategic Environmental and Social Assessment (SESA), and the Safeguards Information System (SIS).

Additional Efforts

At the same time the Special Safeguards Committee was created, in the first semester of 2017, so too commenced the process to train the committee members on the UNFCCC Cancún safeguards and the World Bank Operational Policies, as well as on a range of topics falling under the umbrella of the REDD+ Readiness Project, with the support of CARE and the Tropical Agricultural Research and Higher Education Center (CATIE, in Spanish), contracted by the USAID-sponsored Regional Climate Change Program (RCP). The committee members attended three workshops in the months of April, June, and August 2017. The following outputs were achieved:

- The REDD+ safeguards roadmap was defined.
- The Safeguards Committee was assembled from the members of the Technical Advisory Committee (TAC) and the Women's Ministry was brought in as a new stakeholder, considering the relevant role it will play in mainstreaming the gender approach as a cross-cutting pillar of the program.
- The National Safeguards Approach (ENS-RD, in Spanish) was developed.
- Awareness raised among the stakeholders involved in working on environmental and social safeguards for REDD+.

- Feedback was incorporated from the committee members to define future steps for implementing the National Safeguards Approach.

Request for Additional Funding

Additional funding to finance the work necessary to develop the enabling measures in the REDD+ **geographic intervention areas** has been estimated at an amount of US\$200,000, to do capacity-building, engagement with key stakeholders, train local REDD+ leaders, create empowerment mechanisms and a participation strategy, devise strategy options, and run priority activities to confront the drivers of deforestation and forest degradation. This additional funding will also be used to ensure that new legal mechanisms related to REDD+ are fully appropriated and to bolster the agencies working within the institutional framework.

Summary of Request for Additional Funding for Component 2

The amount of additional funding requested for Subcomponent 2d covers all of the additional funding required for Component 2, which was originally allocated US\$593,251, or 16% of the US\$3.8 million that the FCPF/WB has granted to the Dominican Republic for purposes of REDD+ readiness. The total amount required to implement Component 2 has been estimated at US\$835,818. The total funding pledged (FCPF/WB and other sources) is US\$635,818. For that reason, additional funding is requested to close the US\$200,000 gap, pursuant to the activities described above and in Chapter 6.

Component 3 - Reference Emissions Levels/Forest Reference Levels

The purpose of this component is to develop an overall approach to establishing the reference emissions levels and the forest reference levels.

The country self-assessment criteria are as follows: (i) demonstration of methodology; (ii) use of historical data, adjusted for national circumstances; (iii) technical feasibility of the methodological approach and consistency with UNFCCC/IPCC instructions and guidelines.

Background

This component will serve to establish the reference emissions levels related to deforestation and forest degradation, conservation, and sustainable management, and will cover the National Forest Inventory (NFI), which will help determine the forest reference level for the Dominican Republic.

As explained in Component 2, the Dominican Republic has already completed a preliminary study of the drivers of deforestation and forest degradation. Part of this component includes the study that will complete the preliminary version. Likewise, the early phase of the National Forest Inventory has been carried out. At present, the historical series of data for the use maps and land-use change maps are being updated, and the non-forest carbon inventory is being developed, all of which should be considered part of the progress made toward defining the reference levels.

Drafting the National REDD+ Strategy and the Emissions Reduction Program Document (ER-PD) requires detailed information about the degree of investment required to achieve sustainable use of the forests and ecosystems to reach the desired emissions levels, as well as the identification of potential funding sources to finance these investments.

Against that backdrop, in order for the Dominican Republic to make satisfactory progress in implementing its REDD+ strategy, it will be essential to conduct a cost-benefit analysis and assessment of the activities involved in the Emissions Reduction Program (ER-P), as well as the sources of the funding available to finance their implementation, in order to achieve the desired emissions reduction and removal levels; specifically, 15.6 million tons of CO₂ for a 15-year timeline.

On behalf of the Dominican government, the Ministry of the Environment and Natural Resources has already approved initial ideas for the ER-PD, as part of the negotiations with the World Bank/FCPF. These original ideas are based on the information the country has gathered to develop the reference level with the support of the REDD/CCAD-GIZ program. The tangible output of these efforts includes the series of use and cover maps and the updated National Forest Inventory. This work has also received additional support from the UN-REDD program and the USAID Regional Climate Change Program, via CATIE.

In parallel to the work the Dominican Republic has been doing to get ready for REDD+, the national government submitted an Emissions Reduction Program Idea Note (ER-PIN)¹ to the FCPF, which was accepted on October 16, 2015. Under FCPF framework rules, in order to access the Carbon Fund, a country must draft an Emissions Reduction Program Document (ER-PD) in compliance with a strict timeline and quality standards.

The first National Forest Inventory (NFI) in the Dominican Republic was conducted by the United Nations Food and Agriculture Organization (FAO) between 1969 and 1971 and published in 1972, but it only covered around 60% of the national territory.

As explained in the Dominican Republic's ER-PIN, the country's approach calls for regional-level interventions to reduce the emissions stemming from deforestation and degradation, and efforts to improve carbon stocks, including sustainable forest management, reforestation, and the establishment of agroforestry and silvopastoral systems for coffee and cacao to encourage the creation of co-benefits for REDD+ activities.

The use and cover maps developed by the Ministry of the Environment's Environmental and Natural Resources Information Directorate (DIARENA, in Spanish), with the support of the REDD/CCAD-GIZ program, will serve as a key tool in validating the 2000, 2005, and 2010 maps, which will be used to estimate the historical reference level (ER). Specifically, the 2014 use and cover maps were developed with high-resolution RapidEye images, at 5 m of resolution, unlike the previous maps, which were made using 30-m resolution satellite images. The pre-sampling for the NFI and the carbon stock inventory was also developed with backing from the REDD/CADD-GIZ program. This progress serves as the foundation upon which Component 3 rests as part of the R-PP.

Current Implementation Level

Study of Financial Gaps in ER Programs

The bidding, selection, and hiring process to find the consulting firm that will conduct the "Cost/Benefit Assessment and Drafting the Funding Plan for the Emissions Reduction Program in the Dominican Republic" study is now complete.

The main objectives of this study are as follows: (i) examine the activities and budget related to an ER-P, (ii) map out the private sector and identify all economic sectors and private stakeholders that could play a role in reducing emissions related to land use and land-use changes, (iii) identify and quantify the costs and benefits related to the activities outlined in an ER-P, (iv) find funding sources and analyze arrangements for funding to flow into implementing ER-P activities, and (v) draft a funding plan.

¹ Dominican Republic Emissions Reduction Program Idea Note (ER-PIN) at: <https://www.forestcarbonpartnership.org/dominican-republic>

The consulting services are scheduled to start in March 2018 to evaluate the costs and benefits and prepare the ER-P funding plan, because by then, the consulting report on the direct and indirect drivers of DD in the Dominican Republic will have been received, and this input will be needed to work on the study.

The Current Implementation Level for this component should be seen through the lens of the progress made on the studies scheduled as part of Component 4, like the "Analysis of Land-Use Change and Deforestation in the Dominican Republic," which will provide the land use and cover maps for 2005, 2010, and 2015, the second phase of the National Forest Inventory, thanks to the consulting developed for "Creating the National Forest Inventory (NFI-DR)" and "Evaluating the Biomass and Carbon Content in Non-Forest Cover" (coffee-*Coffea sp*, cacao-*Theobroma cacao*, avocado-*Persea americana*, mango-*Mangifera indica*, coconut-*Cocos nucifera*, and dry scrublands) in the Dominican Republic. Of these, the most progress has been made on the "Analysis of Land-Use Change and Deforestation" study, which commenced in 2017. The other two will start in 2018.

Progress Self-Assessment Pursuant to the FCPF Readiness Assessment Framework.

Component 3 - Reference Emissions Levels/Forest Reference Levels		Implementation Level		
Progress Indicator	Assessment Criterion	H	M	L
26	Demonstration of methodology			x
27	Use of historical data, and adjusted for national circumstances		x	
28	Technical feasibility of the methodological approach and consistency with UNFCCC/IPCC guidance and guidelines			x

LEGEND: The scores of High (H), Medium (M), and Low (L) were used to measure implementation level.

Thanks to the work done by the Dominican Republic with the support of the Regional REDD/CCAD-GIZ Program and the budget allocations provided by the government, there is already preliminary information on the use of historical data adjusted to fit the national circumstances. As outlined in the section on the current situation, since 2017, work has been under way on the studies needed to complete the benchmark estimate of the reference level to meet the commitments entered into pursuant to this subcomponent. At the moment, the salient Reference Terms are being formulated.

Component 4 - Monitoring Systems for Forests and Safeguards

This component entails designing a system to measure, report, and verify deforestation, forest degradation, and related CO₂ emissions. Furthermore, a system to track non-carbon benefits.

Background

The government of the Dominican Republic and the World Bank FCPF signed the agreement to start the REDD+ readiness process (Readiness Package) in 2015. As has been explained throughout this document, prior to this agreement, all the country's emissions reduction efforts were sponsored by the country's own funding and the support of the Regional REDD/CCAD-GIZ Program. In the context of this component the design of the forest monitoring systems and the safeguards information system, which are being done through the DIARENA, and the monitoring of the emissions factors which are being done through the Forest Monitoring Unit should be highlighted, as well as progress made on measuring carbon reserves.

The safeguards information system is part of the work plan for implementing the SESA drafted in April 2017. This plan calls for at least seven regional consultation workshops and a national workshop on environmental and social safeguards. Current implementation level is accounted for under subcomponent 1c.

Subcomponent 4a. National Forest Monitoring System

The purpose of this subcomponent is to design and develop an operational National Forest Monitoring system and describe the approach to improve the system over time.

The country self-assessment criteria are as follows: (i) documentation of the monitoring approach; (ii) demonstration of early implementation; (iii) institutional arrangements and capacities – forests.

Background

The Dominican Republic is implementing its second NFI to quantify and characterize the stock of forest resources in the country, which will in turn serve as the baseline for implementing the Monitoring, Reporting, and Verification (MRV) System as part of the National REDD+ Strategy. The current NFI does not include a survey of information on non-forest cover.

On another note, the Dominican Republic has not performed any inventories of carbon reserves in non-forest systems; for example, in agroforestry systems of coffee and cacao, so this new activity has been added to the Annual Operating Plan (AOP) for 2017. Progress is described below.

The NFI pre-sampling phase has culminated, using a systematic and stratified design in which 129 sampling units were chosen from across seven types of forests (dense coniferous, open coniferous, moist broadleaf, subhumid broadleaf, cloudy broadleaf, dry forest, and mangrove).

For the NFI, the maximum sampling error was set at 15% per stratum, taking CO₂ stock references as the main variable of interest, with a confidence level of 90%.

A second NFI sampling phase will be carried out to reduce the sampling error to less than 15% in aerial biomass and carbon estimates for each stratum (forest type).

Current Implementation Level

Land Use and Land-Use Change Study

This study has already been awarded, and its overall objective is to *analyze cover and land-use changes that took place between 2005, 2010, and 2015 in the Dominican Republic, using cover maps derived from interpreting Landsat satellite images and through classification processes, including classes of changes, in order to become familiar with and understand the dynamics of these cover and land-use change processes that shape the Dominican territory.*

Its specific objectives include:

- Develop a vegetation cover map for the year 2015 using Landsat images, with a classification of the forests, including the secondary and degraded forests, non-forest areas (including coffee, cacao, scrublands, annual crops, and pasturelands) (with a cover index for scattered trees and inside living fences), revising and validating the 2005 and 2010 cover maps so that they are comparable.
- Develop land use change maps and matrices from 2005 to 2010 and 2010 to 2015.
- Evaluate the degree of certainty (level of uncertainty) of the data used for the 2005, 2010, and 2015 cover maps and change maps, subjecting the data to evaluation by reliability on each theme.
- Develop maps and matrices of the mature forests and growing forests (secondary vegetation) for the years 2000-2005-2010-2015.

Of all the basic studies listed in the different components of the R-PP, the study of the historical series of land use and change data has made the most progress (about 60% complete).

National Forest Inventory

A firm has been hired to conduct the National Forest Inventory. Its specific objectives are as follows:

- Plan, coordinate, and carry out the field sampling for each operating region and the different strata (forest types) proposed for phase II of the inventory, pursuant to the methodology and field protocol set by the Ministry of the Environment and Natural Resources.
- Perform forest mensuration and determine stocks associated with each type of forest (dendrometry, species, abundance, and related stocks of volume, biomass, and carbon).
- Process, analyze, and interpret the data collected in phases I and II, including the data from the pre-sampling phase.

Non-Forest Inventory

Current Implementation Level.

The process to hire the consulting services for the Assessment of Biomass and Carbon Content in Non-Forest Cover (coffee-Coffea sp, cacao-Theobroma cacao, avocado-Persea americana, mango-Mangifera indica, coconut-Cocos nucifera, and dry scrublands) in the Dominican Republic is still going on.

The general objective of these consulting services is to assess the carbon deposits in the biomass of croplands containing woody perennial plants in the Dominican Republic, to complement the assessment conducted as part of the National Forest Inventory, assembling the information required to estimate emission factors related to the changes to and from non-forest land uses (coffee plantations, cacao plantations, coconut, mango, avocado, dry scrublands, and pastures).

The specific objectives of this study are as follows:

- a) Plan, coordinate, and carry out the field sampling, pursuant to the Field Guide methodology set by the Ministry of the Environment and Natural Resources for determining biomass and carbon in non-forest covers.²
- b) Perform the forest mensuration calculations and calculate associated stocks by vegetation type and biomass stock.³
- c) Process, analyze, and interpret the data collected.
- d) Draft the final National Non-Forest Cover Inventory report (INCNB, in Spanish), which should reflect the stocks, traits, and status of the types of non-forest covers sampled in the Dominican Republic.

Progress Self-Assessment Pursuant to the FCPF Readiness Assessment Framework.

² Field Guide to the Biomass and Carbon Inventory in Non-Forest Cover of the Dominican Republic (INCNB) 2017.

³ The forest mensuration measures the following parameters: diameter, height, basal area, leaf diameter, and more. Associated stocks refer to volumes and biomass per surface area unit.

Subcomponent: 4a. National Forest Monitoring System		Implementation Level		
Progress Indicator	Assessment Criterion	H	M	L
29	Documentation of the monitoring approach		x	
30	Demonstration of early system implementation			x
31	Institutional arrangements and capacities		x	

LEGEND: The scores of High (H), Medium (M), and Low (L) were used to measure implementation level.

As explained throughout this report, as part of the Regional REDD/CCAD-GIZ Program framework, the country has made progress in setting up a Forest Monitoring Unit housed at the Ministry of the Environment, strengthened the DIARENA technology platform used for forest monitoring, and approved a methodology already validated in Central America and in the Dominican Republic consistent with the international approach, combining tele-observation and land inventory systems. This methodology was used to perform the pre-sampling, establishing 129 sampling units across the land for seven types of forests. The mandates for forest monitoring are clearly defined in Law 64-00, and the Reference Terms for the Measurement, Reporting, and Verification (MRV) system are currently being drafted pursuant to REDD+ standards. Other consulting services have been hired to help implement a transparent method to publicly share the information on the forests and emissions.

Request for Additional Funding

Additional funding worth an estimated amount of US\$130,000 is required to shore up the MRV system with the involvement of local forest monitoring organizations: carbon, co-benefits, and safeguards; and to do capacity-building and to empower these organizations to take part in the monitoring; to commission the protocols or monitoring instruments; and to set-up ongoing land plot monitoring.

Moreover, additional funding worth an estimated US\$78,000 will be needed to install and acquire the necessary equipment to set up ongoing measurement at 105 forest plots, as detailed in Chapter 6.

Further additional funding worth US\$712,900 is needed for the following:

- i. Local capacity-building around forest protection (preventing forest fires and mitigating the impact of pests and disease on the forests), in light of the fact that over the past two decades, the forests in the Dominican Republic have been ravaged by both major forest fires and severe and widespread bark beetle (*Ips calligraphus*) attacks on the Hispaniolan pine (*Pinus occidentalis*). Local capacity-building is designed to, among other accomplishments, do the following:
 - o Identify and select key local stakeholders (city councils, NGOs, Farmers' Associations, local leaders, women's organizations, youth groups, churches, irrigation communities, students, conservation groups).
 - o Forge networks for early detection and reporting.
 - o Provide training and raise awareness about the importance of preventing forest fires and the impact of pests and disease on the forests. Hold meetings, gatherings, and participatory workshops.
 - o Support the Forest Monitoring Unit and/or Forest Health Department in tracking the incidence of pest and disease.

- ii. Involve properly trained outreach workers to directly coach the actions related to forest monitoring that will be implemented in the REDD+ geographic intervention areas. This has been corroborated by the experiences we have had up until now. To do so, the following will be needed:
 - Acquire two vehicles (pick-up trucks) and 12 all-terrain Honda motorcycles, with their pertinent insurance and maintenance services.
 - Acquire technology equipment and provide office supplies and materials.
- iii. Support the Ministry of Agriculture (Livestock and Agriculture and Livestock Outreach Directorates) to develop the ability to monitor the carbon component in non-forest systems, including a record-keeping system and georeferencing for agroforestry and silvopastoral estates, farms, and lands, and basic training in emissions monitoring.

Chapter 6 outlines additional details to justify this request for additional funding worth a total amount of US\$920,900.

Subcomponent 4b. Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards

The purpose of this subcomponent is to prioritize the non-carbon aspects that the country has chosen to monitor.

The country self-assessment criteria are as follows: (i) identification of relevant non-carbon aspects and social and environmental issues; (ii) monitoring, reporting, and information-sharing; (iii) institutional arrangements and capacities – safeguards.

Background

As explained in the background to Component 4 and the self-assessment for Component 1a, the Dominican Republic has begun to lay the groundwork for forest monitoring and information on safeguards, as well as monitoring emissions factors and measuring carbon stocks. As part of the Readiness Project, the second NFI is under way, but the non-forest system carbon stock inventories are still missing, and they are the cornerstone of laying the technical foundation upon which the Dominican Republic will rely in order to report on co-benefits and the expected impacts of implementing the National REDD+ Strategy. Closing this gap is precisely what this subcomponent sets out to do. As part of this subcomponent, the work necessary to craft a system to assess and monitor collateral social and environmental non-carbon benefits will be undertaken, and its salient methodologies and protocols designed.

As is evident, this subcomponent will augment the efforts related to the safeguards information system, and aid in consulting on and disseminating information to stakeholders from across diverse sectors.

Current Implementation Level

At present, the process to formulate the Reference Terms for hiring a consulting firm to develop the protocols and methods for the information system for multiple benefits, other impacts, governance, and safeguards, which will be available on a common platform shared with the MRV, is under way. These consulting services are expected to begin in 2018, and entail conducting the analyses and consultations necessary to prioritize which non-carbon aspects the Dominican Republic should be monitoring. Pursuant to the commitments entered into in the Grant Agreement with the FCPF/World Bank, delivery of the following products is expected:

- Design monitoring protocols to assess the environmental impacts of the EN-REDD+ on biodiversity, land, and water, among other factors;
- Design monitoring protocols to assess the social impacts of EN-REDD+ on livelihoods, governance, safeguards, and adaptation, among other factors;
- Develop community-level pilot methodologies to monitor non-carbon benefits; and
- Develop baselines to monitor non-carbon benefits.

Progress Self-Assessment Pursuant to the FCPF Readiness Assessment Framework.

Subcomponent: 4b. Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards		Implementation Level		
Progress Indicator	Assessment Criterion	H	M	L
32	Identification of relevant non-carbon aspects and social and environmental issues			x
33	Monitoring, reporting, and information-sharing			x
34	Institutional arrangements and capacities			x

LEGEND: The scores of High (H), Medium (M), and Low (L) were used to measure implementation level.

As explained above, at this point in time, the Dominican Republic does not have carbon stock inventories in non-forest systems, such as coffee and cacao agroforestry systems. On another note, although there is indeed a solid legal framework and there are clearly defined institutional responsibilities pertaining to improving livelihoods for the rural population, biodiversity conservation, the provision of ecosystem services, and other key governance factors directly related to implementing REDD+, and although the Ministry of the Economy, Planning, and Development and the Ministry of Agriculture do sit on the CD-REDD+, the Dominican Republic has still not clearly defined its obligations to perform work related to non-carbon aspects and safeguards in the context of REDD+. These matters are expected to be resolved as a result of the ongoing work being done on the various components that fall under the umbrella of the REDD+ Readiness Project.

Summary of Request for Additional Funding for Component 4

The amount allocated to Component 4 is US\$1,080,711, which represents 28% of the FCPF/WB funding to the Dominican Republic for REDD+ readiness. The total amount required to implement Component 4 is estimated to be US\$2,241,611, while the total funding pledged (FCPF/WB and other sources) amounts to US\$1,320,711. This means a deficit of US\$920,900, which represents all of the additional funding required to complete Subcomponent 4a, as described above and pursuant to the additional details furnished in Chapter 6.

Component 5- Monitoring and Assessment (M&A) Framework and Grant Management

This component will serve to provide support to the Ministry of the Environment and Natural Resources in setting up and running the monitoring and assessment system for the project activities and outputs.

Background

One of the major findings issued by the World Bank Technical Follow-Up Mission, which visited the Dominican Republic from April 17 to 21, 2017, was that the country's REDD+ process was beset by significant delays, which not only jeopardizes the integrity of the sustainable forest management and emissions reduction process, but also the ability to effectively finalize an Emissions Reduction Payment Agreement (ERPA) with the Carbon Fund. It was explained that these delays could be offset with a significant commitment to invest time and effort on the part of the Dominican government, the TMU, and the World Bank.

It was pointed out that the key to recovering from these delays was to couple the REDD+ readiness process with the development of the ER-P, because the former lays the conceptual and technical groundwork for the second, but in order to implement it, we have to consider the Carbon Fund and FCPF Methodological Framework guidelines. It was also asserted that the ER-P will send a serious signal both domestically and abroad as to the impact that REDD+ can have on the country's sustainable development.

In alignment with the foregoing, a roadmap was developed and analyzed for the REDD+ readiness process and the ER-P drafting process. Changes were made to the 2017 AOP following a detailed analysis of the same. In January 2018 a timeline through 2020 will be prepared, as an extension to the Grant Agreement is expected until June 2020.

Regarding the TMU, the commitments entered into with the mission were upheld seriously, as can be seen in the degree of implementation achieved and described below.

Current Implementation Level

Changes were made to the Ministry of the Environment's Climate Change Directorate facilities to get them ready for the TMU. Furthermore, the furniture and technology equipment for the TMU were purchased.

Likewise, four (4) vehicles were purchased to be used for field work. They included three (3) pick-up trucks and one SUV.

The Technical Management Unit coordinator for the project was hired in December 2016. By the end of the first semester of 2017, the TMU had hired additional technical and administrative staff. All told, with this round of recruitment and hiring complete, the TMU team consisted of the following staff: Financial Specialist, Procurement Specialist, Land Specialist, Social Specialist, Operations Lead, Administrative Secretary, and Drivers/Logistics Support staff. The forestry technicians and social workers were hired at the end of 2017.

In January 2018, a communications technician will be hired to work alongside the major stakeholders involved in land use and land-use changes. This person will have broad experience in producing and making audiovisual material and knowledge of domestic media outlets. This person will support the implementation of the National REDD+ Communication Strategy in conjunction with the Ministry of the Environment's Communications Directorate, which is in charge of implementing this strategy.

In the realm of financial management, in 2017, the quarterly and semester progress reports on financial implementation were submitted to the World Bank on time, as required in the Grant Agreement, and audits have begun covering the time period ending on December 31, 2017. The company Horwath Sotero Peralta & Asociados is conducting the audit.

Funds have been disbursed and funding reports filed on time, using the WB (Client Connection) system, via requests for advances and spending certification reports, enabling appropriate handling of liquidity for the financial implementation.

The accounting records for the project are kept in the UEPEX subsystem, for which initial training has been given. The Government Accounting Directorate, under the auspices of the Finance Ministry, has visited several times to follow up.

On another note, there is an Operations Handbook for the project, which serves as the guidelines for operational management and makes it easier to execute the agreement pursuant to the rules.

The project did initially run into some difficulties in adapting to the Ministry of the Environment's reviewing and auditing process, specifically, in drafting and certifying contracts and processing payments, adhering to the procurement and contracting rules that govern the institutions of the Dominican state. Nevertheless, thanks to good communication with key personnel from other departments, we have forged positive synergies to speed up timeframes and find common solutions to any difficulties that arise.

Request for Additional Funding

Additional funding will be required to ensure that the Dominican Republic is fully ready for REDD+, as has been described in the various subcomponents. To do so, we believe that it will be necessary to extend the services of the TMU staff for an additional one-year period, from June 2019 to June 2020. There will also be additional funding requirements for logistics expenses for at least three trips to exchange REDD+ experiences with other countries in the region, with 10 people per trip, and the purchase of equipment that will be used to strengthen the response capacity of various key Ministry of the Environment agencies that will have responsibilities for implementing the different readiness commitments, including the Social Participation Directorate, the Forest Monitoring Unit, the Reforestation Directorate, and the Communications Directorate. Altogether, the additional funding estimate is for US\$613,740, as detailed in Chapter 6.

At present, an amount of US\$1,037,060 has been allocated to Component 5, equivalent to 27% of the total FCPF funding for the REDD+ Readiness project. The funding pledged for implementing this component (FCPF/WB and other sources) amounts to US\$1,156,492, and it has been estimated that a total of US\$1,770,232 will be required, which leads to a deficit of US\$613,740, which is the amount of additional funds requested from FCPF. Chapter 6 provides more details about this request for additional funding.

The Project Readiness TMU was up and running smoothly as of the end of 2017, and demonstrated good capacity to fulfill the commitments entered into with the different World Bank technical missions, especially when it comes to the need to make the tendering and hiring processes go faster for key studies, in an attempt to recoup the delays the project faced in early 2017. The target of committing at least 50% of the funding by December 2017 was not only met but surpassed, as seen in Chapter 3. The rate of work the TMU has managed to achieve will enable it to take on the challenge of disbursing all of the FCPF funds pledged via the Grant Agreement over the next 18 months, and disburse the additional funding required and described in this report over the extended time period of one year, beginning June 30, 2019.

Summary of Overall Progress Self-Assessment

Table 2 combines the results of the self-assessments by component and subcomponent, pursuant to the 34 FCPF Readiness Assessment Framework indicators. As stated previously, under consultation with key stakeholders a decision was reached to use High as equivalent to Green (“significant progress”), Medium as Equivalent to Yellow (“progressing well, further development required”), and Low as equivalent to Red (“not yet demonstrating progress”)

Table 2

. Progress Level by Component, Subcomponent, and Progress Indicator

Component 1 - REDD+ Readiness Organization and Consultation				
Subcomponent 1a: National REDD+ Management Arrangements		Implementation Level		
Progress Indicator	Assessment Criterion	H	M	L
1	Accountability and transparency.		x	
2	Operating mandate and budget.			x
3	Multi-sector coordination mechanisms and cross-sector collaboration.			x
4	Technical supervision capacity.		x	
5	Funds management capacity.		x	
6	Feedback and grievance redress mechanism.			x
Subcomponent 1b: Consultation, Participation, and Outreach		H	M	L
7	Participation and engagement of key stakeholders.		x	
8	Consultation processes.		x	
9	Information-sharing and accessibility of information.			x
10	Implementation and public disclosure of consultation outcomes.			x
Component 2 –REDD+ Strategy Preparation				
Subcomponent: 2a. Assessment of land use, land-use change drivers, forest law, policy, and governance		H	M	L
11	Assessment and analysis.		x	
12	Prioritization of direct/indirect drivers/barriers to forest carbon stock enhancement.			x
13	Links between drivers/barriers and REDD+ activities.			x
14	Action plans to address natural resource rights, land tenure, governance.			x
15	Implications for forest law and policy.			x

Subcomponent: 2c. Implementation Framework		H	M	L
Progress Indicator	Assessment Criterion	H	M	L
19	Adoption and implementation of legislation/regulations			x
16	Selection and prioritization of REDD+ strategy options.		x	
17	Feasibility assessment.		x	
20	Implications of strategy options on existing sectoral policies.			x
18	Guidelines for implementation			x
21				x
	Benefit-sharing mechanism			
22	National REDD+ registry and system monitoring REDD+ activities			x
Subcomponent: 2d. Social and Environmental Impacts		H	M	L
23	Analysis of social and environmental safeguard issues		x	
24	REDD+ strategy design with respect to impacts		x	
25	Environmental and social management framework			x
Component 3 - Reference Emission Levels / Forest Reference Levels		A	M	B
26	Demonstration of methodology			x
27	Use of historical data, and adjusted for national circumstances		x	
28	Technical feasibility of the methodological approach, and consistency with UNFCCC/IPCC guidance and guidelines			x
<i>Component 4 - Monitoring Systems for Forests, and Safeguards</i>				
Subcomponent: 4a. National Forest Monitoring System		H	M	L
29	Documentation of monitoring approach		x	
30	Demonstration of early system implementation			x
31	Institutional arrangements and capacities		x	
Subcomponent: 4b. Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards		H	M	L
32	Identification of relevant non-carbon aspects and social and environmental issues.			x
33	Monitoring, reporting, and information-sharing			x
34	Institutional arrangements and capacities			x

LEGEND: The scores of High (H), Medium (M), and Low (L) were used to measure implementation level.

3. ANALYSIS OF PROGRESS ACHIEVED IN THOSE ACTIVITIES FUNDED BY THE FCPF READINESS PREPARATION GRANT

As of December 31, 2017, the Dominican Republic has committed 44% of the FCPF funding for REDD+ readiness, for an amount of US\$1,670,320, and has disbursed US\$464,180, representing 12%, for total execution of committed plus disbursed funds of US\$2,134,500, in other words, 56% of the FCPF funding, as shown in Tables No.3 and No.4. The final table shows what has been reported to the World Bank through Client Connection as of December 31, 2017 and what is still pending to report. The Dominican Republic will propose to the World Bank in order to execute the additional funding, an extension of the project timeline and closure until June 2020. Information about the remaining activities and their timeline is provided in annex 1.

Table 3 List of Committed Funding by Component/Activity in US\$.

Activities/Strategies	Total committed as of 31/12/2017 (external consultant contracts and TMU, plus two payments to make in January 2018)	Disbursed as of 31/12/2017 (all according to project)	Total committed plus disbursed as of 31/12/2017
Component: 1. REDD+ Readiness Organization and Consultation	433,122	41,886	475,008
Subcomponent 1a. National REDD+ Management Arrangements	48,453	21,983	70,436
Act: 1a.1 Ordinary TAC meetings (6/year)		1,145	
Act. 1a.2 Two Coordinating Committee (<i>Comité Directivo</i>) meetings/year		401	
Act. 1a.3. Extraordinary Special Committee working meetings (5/year)		1,169	2,715
Act. 1a.4 Procurement Specialist	48,453	19,269	67,722
Administrative and financial project management training for the Ministry of the Environment.		-	0
Subcomponent 1b. Consultation, Participation, and Outreach	36,075	-	36,075
Act: 1b.1. National REDD+ communications strategy design, plus analysis and proposal to improve the project web platform.		-	r
Act. 1b.2 Implement the national REDD+ communication strategy and maintenance of web-based communication platform.		-	-
Act. 1b.3 Communications specialist	36,075	-	36,075
Subcomponent 1c. Consultation and Participation Processes	348,594	19,902	368,496

Activities/Strategies	Total committed as of 31/12/2017 (external consultant contracts and TMU, plus two payments to make in January 2018)	Disbursed as of 31/12/2017 (all according to project)	Total committed plus disbursed as of 31/12/2017
Act. 1c.1 Disseminate SESA inputs to stakeholders (25 workshops).		-	-
Act. 1c.2. Consulting to develop the REDD+ Environmental and Social Management Framework (ESMF).	299,477	-	299,477
Act. 1c.3 Development of REDD+ gender diagnosis.		-	-
Act. 1c.4 Manage institutional arrangements and the SESA and ESMF processes (30 workshops).		-	-
Act. 1c.5 Information-sharing and training with the provincial and municipal offices and other SESA and ESMF stakeholders (7 workshops).	1,876	2,842	4,718
Act. 1c.6 Workshops/field visits to implement, monitor, and assess the participation and consultation platform. 30 visits		56	56
Act. 1c.7 Visits to assess the performance of staff at the provincial and municipal offices with regard to REDD+ aspects, the feedback and grievance redress mechanism, to name a few.		-	-
Act. 1c.8 Activities to participate in international events.		-	-
Act. 1c.9 Social Specialist	47,240	17,005	64,245
Act. 1c.10 Procurement of specialized software for i) the Feedback and Grievance Redress Mechanism (FGRM), ii) ONAMET, and iii) DIARENA.			-
Component 2. REDD+ Strategy Preparation	348,976	25,624	374,600
Subcomponent 2a. Assessment of land use, land-use change drivers, forest law, policy, and governance	314,544	25,624	340,168
<u>Act: 2a.1, 2.a.2 y 2a.3</u> Analysis of the direct and indirect drivers of deforestation and forest degradation (DD).	182,304		182,304
<u>Act. 2a.4 y 2.a.5</u> "Cost/Benefit Assessment and Drafting the Funding Plan for the Emissions Reduction Program in the Dominican Republic." Financial gap analysis.	50,000		50,000
Act. 2a.6 Land, Agriculture, and Forest Technician	47,240	22,128	69,369

Activities/Strategies	Total committed as of 31/12/2017 (external consultant contracts and TMU, plus two payments to make in January 2018)	Disbursed as of 31/12/2017 (all according to project)	Total committed plus disbursed as of 31/12/2017
Act. 2a.7 Develop land use and cover maps for 2015, analysis of change and deforestation in the Dominican Republic.	35,000	3,496	38,496
Subcomponent 2b. REDD+ Strategy Options	-	-	-
Act. 2b.1 Proposals for sustainable land use alternatives that reduce DD and raise carbon stocks.			-
Subcomponent 2c. Implementation Framework		-	
Act. 2c.1 Legal specialist			
Act. 2c.2 Forest carbon ownership, emissions reduction title registry and transfer system in the Dominican Republic.			-
Subcomponent 2d. Social and Environmental Impacts	34,432	-	34,432
Act.2d.1 Analysis of legal, institutional, and compliance framework for REDD+ safeguards	34,432		34,432
Logistics for field work (travel expenses for TMU staff)	0		-
Component 3. Reference Emissions Levels/Forest Reference Levels	-	-	-
Act: 3.1 Technical support to develop and send reference levels (REL/FREL) to the UNFCCC. Come up with expansion factors and/or allometric equations by forest type.			-
Component 4. Monitoring Systems for Forests, and Safeguards	538,870	-	538,870
Subcomponent 4a. National Forest Monitoring System	538,870	-	538,870
Act: 4a.1 Set up the logical framework and institutional arrangements necessary for MRV			-
Act. 4a.2 Develop an information platform prototype to monitor forest and LULUCF activities			-
Design MRV database.			-
Act. 4a.3 Develop Dominican Republic National Forest Inventory (NFI-DR)	538,870		538,870
Act.4a.4 Training to bolster the department conducting the GHG Inventory (AFOLU sector), DIARENA, and ONAMET			-

Activities/Strategies	Total committed as of 31/12/2017 (external consultant contracts and TMU, plus two payments to make in January 2018)	Disbursed as of 31/12/2017 (all according to project)	Total committed plus disbursed as of 31/12/2017
Act. 4a.5 Preparation of R-Package document			-
Act. 4a.6 Non-Forest Inventory			-
Subcomponent 4b. Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards	-	-	-
Act. 4b.1 Develop monitoring protocols to assess the environmental impacts of the REDD+ strategy			-
Act. 4b.2 Develop monitoring protocols to assess the socioeconomic impacts of the REDD+ strategy			-
Act. 4b.3 Develop pilot and baseline, non-carbon monitoring methodologies			-
Act. 4b.4 Design the Monitoring System for Multiple Socioenvironmental Benefits, Governance, and Potential Impacts.			-
Component 5 Monitoring and Assessment (M&A) Framework and Grant Management	349,351	396,671	746,022
Act. 5.1 Draft project Operations Handbook		-	-
Mid-Term Progress Report		-	-
Act. 5.2 Project coordination	84,500	52,546	137,046
Act. 5.3 External assessments and audits	7,729	-	7,729
Act. 5.4 Financial Specialist	50,096	25,859	75,956
Act. 5.5 Operations Lead	42,797	22,092	64,889
Act. 5.6 Administrative Secretary	31,270	21,958	53,228
Act. 5.7 Driver	11,456	3,611	15,068
Act. 5.8 Driver	11,456	3,483	14,940
Act. 5.9 Social Worker	28,000	-	28,000
Act. 5.10 Land-Use, Agriculture, and Forest Technician	28,000	-	28,000
Act. 5.11. Technology equipment (laptops, computers, printer, plotter, camera, projector, hard drive, UPS, server). Includes licenses.	-	129,156	129,156
Act. 5.12 Office furniture (cubicles with dividing panels and desks, filing cabinets, and chairs).		13,379	13,379
Building Climate Scenarios		-	-

Activities/Strategies	Total committed as of 31/12/2017 (external consultant contracts and TMU, plus two payments to make in January 2018)	Disbursed as of 31/12/2017 (all according to project)	Total committed plus disbursed as of 31/12/2017
T-shirts, polo shirts, and hats for the inventory.		-	-
Power plant for the Forest Monitoring Unit.		-	-
Act. 5.14 Procurement of four vehicles for field activities	52,713	109,420	162,133
Act. 5.15 Draft semester financial report		-	-
Act. 5.16 Vehicle maintenance and operation		1,685	1,685
Act. 5.17 Vehicle insurance		1,414	1,414
Act. 5.18 Communication expenses	1,333	215	1,548
Health insurance		-	-
Act. 5.19 Consumables (printer and plotter toner, reams of paper, folders, staplers, etc.)		3,477	3,477
Act. 5.20 Procurement publications		7,493	7,493
OgtAct. 5.21 Other costs (bank costs, miscellaneous costs)		882	882
TOTAL	1,670,320	464,180	2,134,500

Note. Boxes containing a hyphen (-) instead of a number mean that the activity is scheduled for 2018-2019.

Table 4 List of Payments Disbursed by Component/Activity in US\$ (by whether or not reported to the World Bank).

Component/Activity	Disbursed as of December 31, 2017	Disbursed as of December 31, 2017 and reported to Client Connection	Pending payments to process with the World Bank
Component: 1. REDD+ Readiness Organization and Consultation	41,886	35,588	6,297
Subcomponent 1a. National REDD+ Management Arrangements	21,983	18,251	3,732
Act. 1a.1 Ordinary TAC meetings (6/year)	1,145	1,145	-
Act. 1a.2 Two Coordinating Committee (<i>Comité Directivo</i>) meetings/year	401	-	401
Act. 1a.3. Extraordinary Special Committee working meetings (5/year)	1,169	1,169	-
Act. 1a.4 Procurement Specialist	19,269	15,937	3,331
Administrative and financial project management training for the Ministry of the Environment.	-	-	-

Component/Activity	Disbursed as of December 31, 2017	Disbursed as of December 31, 2017 and reported to Client Connection	Pending payments to process with the World Bank
Subcomponent 1b. Consultation, Participation, and Outreach	-	-	-
Act: 1b.1. National REDD+ communications strategy design, plus analysis and proposal to improve the project web platform.	-	-	-
Act. 1b.2 Implement the national REDD+ communication strategy and maintenance of web-based communication platform.	-	-	-
Act. 1b.3 (1b.4) Communications specialist	-	-	-
Subcomponent 1c. Consultation and Participation Processes	19,902	17,337	2,565
Act. 1c.1 (1b.3) Disseminate SESA inputs to stakeholders (25 workshops).	-	-	-
Act. 1c.2 (1b.5). Consulting to develop the REDD+ Environmental and Social Management Framework (ESMF).	-	-	-
Act. 1c.3 Development of REDD+ gender diagnosis.	-	-	-
Act. 1c.4 (1b.6) Manage institutional arrangements and the SESA and ESMF processes (30 workshops)	-	-	-
Act. 1c.5 (1b.7) Information-sharing and training with the provincial and municipal offices and other SESA and ESMF stakeholders (7 workshops).	2,842	2,769	72
Act. 1c.6 (1b.8) Workshops/field visits for implementation, monitoring, and assessment of the participation and consultation platform. 30 visits.	56	-	56
Act.1c.7 (1b.9) Visits to assess the performance of staff at the provincial and municipal offices with regard to REDD+ aspects, the feedback and grievance redress mechanism, to name a few.	-	-	-
Act. 1c.8 (1b.10) Activities to participate in international events.	-	-	-
Act.1c.9 (1b.11) Social Specialist	17,005	14,568	2,437
Act.1c.10 (1b.12) Procurement of specialized software for i) the Feedback and Grievance Redress Mechanism (FGRM), ii) ONAMET, and iii) DIARENA.	-	-	-
Component 2. REDD+ Strategy Preparation	25,624	19,691	5,933
Subcomponent 2a. Assessment of land use, land-use change drivers, forest law, policy, and governance	25,624	19,691	5,933
Act: 2a.1, 2.a.2 y 2a.3 Analysis of the direct and indirect drivers of deforestation and forest degradation (DD).	-	-	-
Act. 2a.4 y 2.a.5 "Cost/Benefit Assessment and Drafting the Funding Plan for the Emissions Reduction Program in the Dominican Republic." Financial gap analysis.	-	-	-
Act. 2a.6 Land, Agriculture, and Forest Technician	22,128	19,691	2,437
Act. 2a.7 Develop land use and cover maps for 2015, analysis of change and deforestation in the Dominican Republic.	3,496	-	3,496
3er. Workshop to define "forest"	-	-	-
Subcomponent 2b. REDD+ Strategy Options	-	-	-
Act. 2b.1 Proposals for sustainable land use alternatives that reduce DD and raise carbon stocks.	-	-	-
Subcomponent 2c. Implementation framework	-	-	-
Act. 2c.1 Legal specialist	-	-	-

Component/Activity	Disbursed as of December 31, 2017	Disbursed as of December 31, 2017 and reported to Client Connection	Pending payments to process with the World Bank
Act. 2c.2 Forest carbon ownership, emissions reduction title registry and transfer system in the Dominican Republic.	-	-	-
	-	-	-
Subcomponent 2d. Social and Environmental Impacts	-	-	-
Act.2d.1 Analysis of legal, institutional, and compliance framework for REDD+ safeguards			
Logistics for the field work.	-	-	-
Component 3. Reference Emissions Levels/Forest Reference Levels	-	-	-
Act: 3.1 Technical support to develop and send reference levels (REL/FREL) to the UNFCCC. Come up with expansion factors and/or allometric equations by forest type.	-	-	-
Component 4. Monitoring Systems for Forests, and Safeguards	-	-	-
Subcomponent 4a. National Forest Monitoring System	-	-	-
Act: 4a.1 Set up the logical framework and institutional arrangements necessary for MRV	-	-	-
Act. 4a.2 Develop an information platform prototype to monitor forest and LULUCF activities	-	-	-
Design MRV database.	-	-	-
Act. 4a.3 Develop Dominican Republic National Forest Inventory (NFI-DR)	-	-	-
Act.4a.4 Training to bolster the GHG Inventory Department (AFOLU sector), DIARENA, and ONAMET	-	-	-
Act. 4a.5 Preparation of R-Package document	-	-	-
Act. 4a.6 Non-Forest Inventory	-	-	-
Subcomponent 4b. Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards	-	-	-
Act. 4b.4 Design the monitoring system for the multiple socioenvironmental benefits, governance, and other potential impacts. It shall contain: Act. 4b.1 Development of monitoring protocols to assess the environmental impacts of the REDD+ strategy and Act. 4b.2 Development of monitoring protocols to monitor the socioeconomic impacts of the REDD+ strategy	-	-	-
Act. 4b.3 Develop pilot and baseline for non-carbon monitoring methods	-	-	-
Component 5 Monitoring and Assessment (M&A) Framework and Grant Management	396,671	231,928	164,743
Act. 5.1 Update the Project Operations Handbook	-	-	-
Mid-Term Progress Report	-	-	-
Act. 5.2 Project coordination	52,546	49,796	2,750
Act. 5.3 External assessments and audits	-	-	-

Component/Activity	Disbursed as of December 31, 2017	Disbursed as of December 31, 2017 and reported to Client Connection	Pending payments to process with the World Bank
Act. 5.4 Financial Specialist	25,859	23,275	2,585
Act. 5.5 Operations Lead	22,092	19,884	2,208
Act. 5.6 Administrative secretary	21,958	18,211	3,748
Act. 5.7 Driver	3,611	3,020	591
Act. 5.8 Driver	3,483	2,892	591
Act. 5.9 Social Worker	-	-	-
Act. 5.10 Land-Use, Agriculture, and Forest Technician	-	-	-
Act. 5.11. Technology equipment (laptops, computers, printer, plotter, camera, projector, hard drive, UPS, server). Includes licenses.	129,156	54,377	74,779
Act. 5.12 Office furniture (cubicles with dividing panels and desks, filing cabinets, and chairs).	13,379	13,047	332
Act.5.13 Building Climate Scenarios	-	-	-
T-shirts, polo shirts, and hats for the inventory.	-	-	-
Power plant for the Forest Monitoring Unit.	-	-	-
Act. 5.14 Procurement of four vehicles for field activities	109,420	36,936	72,484
Act. 5.15 Draft semester financial report	-	-	-
Act. 5.16 Vehicle maintenance and operation	1,685	428	1,258
Act. 5.17 Vehicle insurance	1,414	54	1,359
Act. 5.18 Communication expenses	215	161	54
Health insurance	-	-	-
Act. 5.19 Consumables (printer and plotter toner, reams of paper, folders, staplers, etc.)	3,477	2,438	1,039
Act. 5.20 Procurement publications	7,493	6,713	780
Act. 5.21 Bank expenses	882	695	187
TOTAL	464,180	287,207	176,973

As explained in Chapter 1 of this report, thanks to the generous support received from German cooperation, via the Regional REDD/CCAD-GIZ Program, since 2010, the Dominican Republic has been working on capacity-building to turn the country into a REDD participant. The first R-PP draft was prepared back in 2012, as part of a national consultation and participation project that served as the springboard for the REDD+ Readiness Project funded by the FCPF/World Bank.

The low percentage of disbursements as of December 31, 2017 reflects the nearly one-year delay in implementing the REDD+ Readiness Project facing the country back in January 2017, as evidenced in the World Bank's Technical Follow-Up Mission Aide Memoire, from the visit between January 9 and 13, 2017. It was not until the second semester of 2017 that hiring of the basic TMU staff hiring for the project was complete. In December, the social worker and forest technician were hired. The TMU team, under the guidance of the Climate Change Directorate and with the support of various Ministry of the Environment agencies working on REDD+, has managed to recover from many of these delays, ensuring that the key studies and processes scheduled in the REDD+ Readiness Project will begin in January 2018, and also that the awards will be given out for the other studies that as of the end of 2017 were in the tendering process.

In achieving this progress, support has also been provided from other funding sources, like the GIZ, the USAID Regional Climate Change Program, the UN-REDD Program, and contributions from the Dominican government, too, as part of the Ministry of the Environment and Natural Resource's budget. Besides the funding pledged by the Dominican government, starting in 2018, there are no financial commitments from any other sources beyond the FCPF/World Bank.

It is expected that the FCPF outstanding funds still pending payment and the additional funding requested in this report will be enough to complete the REDD+ readiness preparation process, which should help shore up the governance and interinstitutional coordination structure developed as part of Component 1, with the formation of a new Special Committee under the TAC to provide advising and respond to any complex legal matters related to land tenure, carbon ownership, and benefits transfers, among other issues requiring the attention of the Dominican government in the years to come.

Also, part of Component 1 includes the plan to hire the firm that wins the ongoing tender to design the REDD+ Readiness communication strategy, and to hire the consulting firm that will develop the gender analysis and draft the Gender Action Plan, which is of far-reaching importance to the gender equity approach in the REDD+ framework, not only for the Dominican Republic, but also worldwide.

Additional funding will be required to implement the communication strategy, as well as to guarantee the enabling measures that will make it possible to start up and ensure the continuity of the REDD+ Environmental and Social Management Framework, which will be an essential instrument to ensure compliance with the UNFCCC safeguards for REDD+ as well as the World Bank Operational Policies safeguards.

As part of Component 2, the study of the drivers of deforestation and degradation has been combined with the formulation of the REDD+ Strategy Options, which will save on time and make better use of resources. Additional funding will be required to strengthen capacity-building and engagement with key local stakeholders to help them become empowered from the REDD+ process.

As part of Component 2, under Subcomponent 2c, regarding the REDD+ Implementation Framework, an international expert has been hired through the World Bank to conduct an analysis of carbon forest ownership and the trade in carbon credits, complex topics about which the Dominican Republic still has a lot to learn. In 2018, we will deal with issues related to the carbon credits registry system.

As part of Component 3, the consulting firm that will conduct the study " Cost/Benefit Assessment and Drafting the Funding Plan for the Emissions Reduction Program in the Dominican Republic " has been hired. Its consulting services are scheduled to begin in March 2018, which is when the report "Analysis of the Direct and Indirect Drivers of Deforestation and Forest Degradation (DD) in the Dominican Republic and Proposals for Sustainable Land Use Alternatives that Reduce DD and Raise Carbon Stocks" will be ready, which will serve as the input for the aforementioned assessment. At this point in time, it is expected that the funding provided by FCPF and other sources will be sufficient to implement the activities planned for Component 3.

As part of Component 4, the country has already completed the National Forest Inventory pre-sampling phase, with support from the REDD/CCAD-GIZ program, and the second sampling phase will be carried out to reduce the sampling error to below 15% in the aerial estimates of biomass and carbon for each stratum (forest type).

Under way is a study on land use and land-use change, which has advanced to 60% of completion. The company that will conduct the National Forest Inventory has already been hired.

Additional funding will be required to strengthen the MRV system in the local realm and to procure and install ongoing measurement equipment for the forest plots. Likewise, we will need to involve properly trained outreach workers to coach the actions related to forest monitoring that will be implemented in the REDD+ geographic intervention areas.

Also, as part of Component 4, we are working to contract out the non-forest inventory study to assess the non-forest biomass and carbon, particularly for coffee, cacao, avocado, mango, coconut, and dry scrublands. The funding already allocated to this component by the FCPF is expected to be enough to complete the commitments entered into in the Grant Agreement for this line item.

As part of Component 5, a TMU has been set up to support the Ministry of the Environment and Natural Resources in developing and running a monitoring and assessment system for project activities and outputs.

Due to the delays in hiring TMU staff, as of January 2017, the project was delayed by about one year, but this time has been made up thanks to measures taken pursuant to the agreement with the World Bank, which outlined a roadmap for the entire REDD+ readiness process and drafting the ER-PD, which as a result changed the 2017 AOP. This means that as of December 31, the sum of the amounts committed via procurement and the signing of contracts to develop studies crucial to advancing in the country's preparation efforts plus the sum of the disbursements effectively paid out represents 56% of the FCPF funding, as shown in Table 3.

Thanks to the progress made, especially in the second half of 2017, we foresee a busy schedule for 2018, as evident in the list of what has been committed as of December 31, 2017. In this regard, for Component 5, additional funding will be required to guarantee that the TMU can keep operating and to strengthen the response capacity of various key Ministry of the Environment agencies working on REDD+ readiness, including the Social Participation Directorate, the Forest Monitoring Unit, the Reforestation Directorate, and the Communications Directorate.

4. A REVIEW OF THE DOMINICAN REPUBLIC'S COMPLIANCE WITH THE COMMON APPROACH

Because the World Bank is the Dominican Republic's implementing partner before the FCPF, in implementing any of the activities related to the Grant Agreement for the R-PP, the country must comply with all of the safeguards approved at the sixteenth Conference of the Parties (COP 16) to the UNFCCC, held in Cancún, Mexico in December 2010, as well as with the World Bank Operational Policies agreed upon during the negotiation process, as outlined in the World Bank Assessment Note of the proposal filed by the Dominican Republic with the FCPF to carry out a REDD+ Readiness Project, and in the Aide Memoire from the Due Diligence Mission that took place from November 17 to 23, 2014. This report on the Dominican Republic's compliance with the common approach is focused on the preceding points.

At the aforementioned Cancún COP, seven safeguards to support REDD+ implementation were agreed upon with the objective of mitigating the risk of negative social and environmental impacts derived from REDD+ measures, and to actively promote benefits that go beyond carbon emissions reductions, such as security in land tenure, empowerment of stakeholders to ensure full and effective participation, and improving biodiversity and forest governance.

The UNFCCC REDD+ Safeguards outline an overarching framework of the social, environmental, and governance principles pursuant to which REDD+ activities and measures should be implemented in order to minimize the risks posed by REDD+ measures and raise the likelihood of maximizing and fairly sharing their benefits, both carbon and non-carbon.

The aforementioned World Bank Assessment Note stated that the project proposed falls into category B of environmental risk, because it is unlikely that it will produce any meaningful negative impacts on human populations and/or zones of environmental importance; the environmental impacts of the project are largely expected to be positive; and the benefits associated with forests increase to the extent that forest cover expands. In this regard, the safeguards agreed upon are as follows:

- Environmental Assessment (OP/BP 4.01)
- Natural Habitats (OP/BP 4.04)
- Forests (OP/BP 4.36)
- Involuntary Resettlement (OP/BP 4.12)

The main instrument identified to document the benefits and risks of the REDD+ strategy will be the SESA, which has been included as one of the central REDD+ readiness activities that will be funded with FCPF resources, in order to address both the World Bank Operational policies applicable to the Dominican Republic, as well as the UNFCCC REDD+ Safeguards.

In order to access the REDD+ mechanism, countries must go through a preparation process in stages, which include, among others, setting up a safeguards information system, which documents citizen participation, respect for the most vulnerable groups, and care for biodiversity. As explained in Chapter 1 of this report, as part of Subcomponent 1c (Consultation and Participation Processes), the SESA will be developed and the ESMF designed, including a Safeguards Information System (SIS).

Table 5. summarizes the safeguards agreed upon with the World Bank, their explanations, and the actions planned to ensure compliance as part of the REDD+ Readiness Project.

Table 5 Safeguards Agreed, Explanation, and Enforcement Actions.

Operational Policy	Activation	Explanation in WB Assessment Note and/or Due Diligence Mission Aide Memoire	Enforcement Actions
Environmental Assessment (OP/BP 4.01)	YES	This policy is activated even though the impacts expected from the project are primarily positive, because the risk could arise that the strategies fail to achieve their objectives, generating unexpected adverse impacts via the unintentional creation of incentives to cut down forests for other purposes.	Besides the fact that these assessments are included in the piece of Subcomponent 1c that requires drafting a SESA, the design of a Feedback and Grievance Redress Mechanism (FGRM), and the preparation of the Environmental and Social Management Framework (ESMF), by environmental Law 64-00, all development projects carried out in the country must apply in advance for an environmental license or permit from the Ministry of the Environment, which requires submitting an Environmental Impact Statement or an Environmental Impact

Operational Policy	Activation	Explanation in WB Assessment Note and/or Due Diligence Mission Aide Memoire	Enforcement Actions
			Assessment, as applicable, pursuant to expected impacts.
Natural Habitats (OP/BP 4.04)	YES	This policy must be activated because the project will involve existing protected areas, as well as other forest habitats.	Natural ecosystems that serve as a habitat for endemic flora and fauna species whose survival is dependent on them are declared to be of high natural interest pursuant to Law 64-00, and are therefore included in the Special Protection Areas category pursuant to Law 202-04, the Sectoral Protected Areas Act, which outlines restricted uses for scientific research, recreation, nature tourism, protection, and other categories that merit being authorized by the Ministry of the Environment and Natural Resources.
Forests (OP/BP 4.36)	YES	This policy should be activated because the project activities will be developed in forest areas and could entail commercial handling of forest resources.	Besides the SESA and the ESMF, which will be developed as part of Subcomponent 1c, by Law 64-00, the Ministry of the Environment has defined a policy, as well as regulations and procedures, to authorize and follow up on forest management plans for commercial use of forest resources. Studies performed in forest production zones under management plans provide evidence for the rise in forest cover (Restauración case and case of the upper basin of Yaque del Norte River).
Involuntary Resettlement (OP/BP 4.12)	YES	This policy should be activated primarily because there may be potential restrictions on the use of natural resources in national protected areas associated with the REDD+ strategy options, and although it is considered unlikely, there is still a chance that lands will need to be acquired.	The SESA and the ESMF, as well as current regulations under laws 64-00 and 202-04 provide the fundamental base of support for identifying or applying any mitigation measure that is necessary, considering human rights protections.

Coordinator had only recently been hired. Likewise, requirements for additional funding have been added in, estimated by component and broken down in Table No. 7 in the following chapter.

The bottom portion of Table No. 6 is a list of sources of additional funding and/or complementary funding to the FCPF funding, outlining both committed and disbursed contributions as of December 31, 2017, by the Dominican government, GIZ, the USAID Regional Climate Change Program (through CARE and CATIE), and the UN-REDD program.

The main changes reflected in Column A with respect to the original amounts per component referenced in the World Bank Assessment Note mentioned previously concerned adding in several thematically similar activities, even if they came from different subcomponents, to unite them and therefore be able to hire fewer consulting services, speeding up project procurement and ensuring that the outputs could be completed faster. On this basis, the 2017 AOP was adjusted.

Furthermore, Column A includes the contributions from funding sources other than the FCPF/World Bank, broken down in the bottom portion of Table No. 6.

The measures pertaining to aggregating thematically similar activities have proved fruitful, as evidenced in columns listing the funds used as of December 2017, whether committed or disbursed, surpassing the target set by the TMU to recover from delays in the project implementation, and committing 50% of the FCPF funds by year end of 2017. With the progress reported in Chapter 1 for the five components covered by the R-PP, 45% of the funding has been committed, including six contracts awarded to consulting firms to develop the studies central to the readiness process, worth a total amount of US\$2.08 million. In this way, the total amount committed plus disbursed as of December 31, 2017 reached 56% of the FCPF funds, as broken down in Table No. 3.

Beginning in the second semester of 2017, the Ministry of the Environment and the TMU technical team strove to catch up on the backlog, which led to a profound analysis of how to reorganize the overall project implementation scheduling in order to fulfill all of the commitments entered into with the FCPF/World Bank. In so doing, topics that would require additional funding were identified, and, therefore, the contracts that would require addenda in order to conduct complementary or even new related studies over the course of 2018. Against that backdrop, other issues emerged, such as the need to gather information for the Emissions Reduction Program (ER-P), and these issues have been added as part of the various consulting services already in the contracting process and are part of the negotiations with the relevant consulting firms.

The final two columns of Table No. 6 list, respectively, the financing gap and the additional funding request to FCPF as explained in the preceding paragraphs and the breakdown provided in the next chapter.

Table 6 Funding Committed and Disbursed as of December 31, 2017.

		Use of Funds (US\$)							
R-PP Component	Total needed (A) ⁴	Funds pledged (B) ⁵	Funds Used ⁶		Funds available (= B – C-D) ⁷	Payments in process with WB	Funds available (including payments in process with WB)	Financing gap (= A – B) ⁸	Request to FCPF ⁹
			Funds committed (C)	Funds disbursed (Tenders/Procurement) (D)					
1. Organization and consultation for REDD+ readiness	2,538,248	2,071,748	1,180,358	451,122	440,268	6,297	433,971	466,500	466,500
2. National REDD+ strategy preparation	835,818	635,818	44,491	386,176	205,151	5,933	199,218	200,000	200,000
3. Reference emission levels / forest reference level	180,000	180,000	-	-	180,000	-	180,000	-	-
4. Monitoring Systems for Forests, and Safeguards	2,241,611	1,320,711	96,000	682,870	541,841	-	541,841	920,900	920,900

⁴ Total needed is the amount of resources necessary to complete a given component. All numbers in this table should be the latest numbers, which may not necessarily match the numbers in the original R-PP that was presented to the PC.

⁵ Funds pledged encompass the amount of funds promised by different donors and/or the national government to fund a specific component and available to the country.

⁶ Funds used refer to the amount of funds committed in signed contracts, and the portion of the funds committed that has already been disbursed.

⁷ Available funds equal pledges minus commitments.

⁸ Financing gap equals total needed minus pledged funds.

⁹ Request for additional funding from the FCPF (up to US\$ 5 million, subject to conditions set by Resolution PC/10/2011/1.rev being met).

5. Monitoring and assessment (M&A) Grant management framework	1,770,232	1,156,492	271,928	409,351	475,213	164,743	310,470	613,740	613,740
TOTAL	7,565,909	5,364,769	1,592,776	1,929,520	1,842,473	176,973	1,665,500	2,201,240	2,201,240

Sources of Funds (US\$)

R-PP Component	Funds pledged (B) ¹⁰	Funds used		Funds available (=B-C-D)*	Payments in process with World Bank (E)	Funds available (including payments in process with World Bank)
		Funds disbursed	Funds committed (tenders/procurement.) (C)			
FCPF-supported activities	3,800,000	287,207	1,670,320	1,842,473	176,973	1,665,500
Dominican government-supported activities	432,000	172,800	259,200	-	-	-
UN-REDD program-supported activities	85,000	85,000	-	-	-	-
Other development partner 1 (USAID, Regional Climate Change Program)	202,769	202,769	-	-	-	-
Other development partner 2 (GIZ)	845,000	845,000	-	-	-	-
TOTAL	5,364,769	1,592,776	1,929,520	1,842,473	176,973	1,665,500

NOTE: The difference pertaining to the committed and disbursed amounts between Tables No. 13 and No. 14 is explained mainly because this table includes funds coming from non-FCPF sources.

¹⁰ Funds pledged encompass the amount of funds promised by different donors and/or the national government to fund a specific component and available to the country.

6. SUMMARY OF THE REQUEST FOR ADDITIONAL FUNDING FROM THE FCPF

Table No. 7 contains a breakdown of the request for additional funding from the FCPF by component and subcomponent and theme, and lists estimated amounts requested on each line, as explained in Chapter 2.

Table 7 **Breakdown of Additional Funding Requirements.**

COMPONENT/ SUBCOMPONENT	TOPIC REQUIRING ADDITIONAL FUNDING	ESTIMATED AMOUNT US\$
C1 SC 1a	<p>REDD+ governance (meetings and shoring up communication flows between TMU and CD, TAC, and the Special Committees, meetings with local organizations that play a major role in REDD+ work and drafting of summaries of relevant information for governance bodies).</p> <p>Includes assembling a Special Legal Committee to advise on the process and help deal with complex situations, such as land tenure, carbon ownership, benefits transfers, etc., including the drafting of regulations and procedures for the REDD+ mechanism in the Dominican Republic.</p>	130,000
C1 SC 1b	Communication strategy: Expand on and reinforce the REDD+ promotion campaign, prepare and disseminate materials, audiovisual products, radio and TV spots).	
	Social media advertising.	2,500
	Placement of informational billboards nationwide.	104,000
	Take part in fairs and exhibitions and host a stand.	30,000
	Advertising on TV and radio/websites, etc.	100,000
C1 SC 1c	Enabling measures to start up and ensure the ESMF keeps running; work with relevant sectors to internalize the scope, implications, and responsibilities involved in effectively applying the environmental and social management framework.	100,000
C2 SC 2d	Work in the REDD+ geographic intervention areas (Enabling measures for: capacity-building, engagement with stakeholders, training local REDD+ leaders, empowering mechanisms and participation, strategy options, and priority activities to confront the drivers of deforestation and forest degradation). Strategy for the appropriation of legal mechanisms related to REDD+ and bolstering agencies in the institutional framework.	200,000

COMPONENT/ SUBCOMPONENT	TOPIC REQUIRING ADDITIONAL FUNDING	ESTIMATED AMOUNT US\$
C4 SC 4a	MRV (involvement of local forest monitoring organizations, co-benefits, and safeguards; capacity-building for these organizations to take part in the monitoring; commission the protocols or monitoring instruments; set-up ongoing land plot monitoring).	130,000
	Installation and equipment for ongoing measuring at 105 forest plots (7 GPS, 7 Criterion RD 1000, 7 digital calipers, 7 metal detectors, 7 simple hypsometers, 7 compasses, seven 50-meter metric measuring tapes, seven 5-meter diameter tapes, 525 metal stakes, 5,776 aluminum plates, 5,775 aluminum nails, 7 hammers, 1 metal filing cabinet for documents, 1 metal filing cabinet for drawings, 6 laptops, 1 hard drive for data storage.	78,000
	<p>Local capacity-building around forest protection (preventing forest fires and mitigating the impact of pests and disease on the forests), in light of the fact that over the past two decades, the forests in the Dominican Republic have been ravaged by both major forest fires and severe and widespread bark beetle (<i>Ips calligraphus</i>) attacks on the Hispaniolan pine (<i>Pinus occidentalis</i>). Local capacity-building is designed to, among other accomplishments, do the following:</p> <ul style="list-style-type: none"> • Identify and select key local stakeholders (city councils, NGOs, Farmers' Associations, local leaders, women's organizations, youth groups, churches, irrigation communities, students, conservation groups). • Forge networks for early detection and reporting. • Provide training and raise awareness about the importance of preventing forest fires and the impact of pests and disease on the forests. Hold meetings, gatherings, and participatory workshops. • Support the Forest Monitoring Unit and/or Forest Health Department in tracking the incidence of pest and disease. 	300,000
	Capacity-building for tracking and monitoring the carbon component in non-forest systems: Support for the Ministry of Agriculture (livestock and agriculture and livestock outreach) on the registry system and georeferencing for agroforestry and silvopastoral estates, farms, and lands; basic training in emissions monitoring. Procurement and maintenance of two vehicles (pick-up trucks), technology equipment, and office supplies.	300,000
	Equipment: 12 all-terrain Honda motorcycles to support the outreach workers doing direct actions in the REDD+ geographic intervention areas.	50,000
	Insurance all year long for four vehicles	10,000
	Vehicle and maintenance and operation	40,000
	Office supplies	8,900
Communication services	4,000	
C5	Equipment: computers, projectors, fleets, etc., support for other key agencies, like the Social Participation Directorate, the Forest Monitoring Unit, the Reforestation Directorate, and the Communications Directorate.	150,000
	3 laptops	10,000

COMPONENT/ SUBCOMPONENT	TOPIC REQUIRING ADDITIONAL FUNDING	ESTIMATED AMOUNT US\$
	2 16-TB external hard drives to store and back up the project data.	5,000
	1 iPad with Wi-Fi + cellular data	700
	3 iPad tripods	40
	Web support servers	11,000
	Logistics expenses for three trips (10 people per trip) to exchange REDD+ experiences with other countries in the region.	75,000
	Procurement of 1 vehicle (pick-up truck) to support the forest monitoring work led by the Ministry of the Environment and Natural Resource's Forest Monitoring Unit.	50,000
	C5: TMU staff June 2019-June 2020	312,000
	Total	2,201.140

Annex 1. Remaining activities and timeline

Activities	Start	End
Component 1		
Design of a national communication strategy for REDD+ and improvement of website for the project	Feb-18	Jan-19
Implementation of national communication strategy for REDD+	Jun-18	Jun-19
Design of GRM	Jan-18	Mar-19
Gender study for REDD+	Mar-18	Jun-18
Component 2		
Development of study on drivers of deforestation and forest degradation	Jan-18	May-18
Development of Cost/Benefit Assessment and Drafting the Funding Plan for the Emissions Reduction Program in the Dominican Republic	Mar-18	Jul-18
ERPD Development	Jul-18	Nov-18
Proposal of REDD+ Strategy Options	Jan-18	May-18
Assessment of carbon rights and ER titles transfer capacity	Jan-18	Sep-18
Legal and institutional framework for safeguards	Jan-18	Mar-18
Environmental and Social Management Framework (ESMF)	Jul-18	Oct-18
Component 3		
Estimation of Reference Level and Emissions reduction potential, including uncertainty analysis	Jan-18	Aug-18
Component 4		
Design of forest Monitoring, Report and Verification system	Jan-18	Aug-18
National Forest Inventory	Jan-18	Oct-18
R-Package document preparation	Mar-18	Oct-18
National non-forest inventory	Feb-18	Aug-18
Development of a Safeguards Information system	Julio	Oct-18

