Forest Carbon Partnership Facility (FCPF)
Readiness Fund

Readiness Package Assessment Framework

February 21, 2013

The twelfth meeting of the FCPF Participants Committee (PC) defined the purpose, scope, assessment and endorsement process for the Readiness Package (R-Package) (see Resolution PC12/2012/1). The PC further tasked the FCPF Facility Management Team (FMT) to initiate the development of an R-Package Assessment Framework on the basis of existing practices of self-assessment and feedback from Participants and Observers, with a view to producing a draft framework for review and approval by PC14. A preliminary proposed draft Assessment Framework was presented at PC13 (contained in FMT Note 2012-10) and Participants and Observers provided further guidance on (i) the format and presentation of the framework, (ii) the choice of assessment criteria and indicators, (iii) the assessment process, and (iv) ways to test the framework in a country setting prior to PC14 (see the PC13 Co-Chairs' Summary). This note presents a final draft of the R-Package Assessment Framework for the PC's consideration, incorporating feedback from Participants and Observers and feasibility discussions. The objective of this Note is to present the Assessment Framework as a basis for discussion by the PC and facilitate a resolution at PC14.

Expected PC14 action: *Consideration of the proposed R-Package Assessment Framework, with a view to adopting a resolution. A half-day workshop prior to PC14 (March 18, 2013) is organized to discuss the Assessment Framework with Participants and Observers.*

Background

1.   The R-Package is generated by a REDD+ country towards the end of the readiness preparation phase, i.e., at a stage when activities proposed in the readiness preparation proposal (R-PP) are well advanced or completed. The R-Package is a major milestone and comes at the transition from REDD+ readiness preparation to piloting performance-based activities (see Figure 1).

2.   At the twelfth meeting of the PC in June 2012 (PC12), Participants adopted resolution PC12/2012/1 defining the purpose, scope, and assessment and endorsement process of the R-Package. In short:

- The purpose of the R-Package is to (i) provide REDD Country Participants an opportunity to self-assess progress on REDD+ readiness, and to identify remaining gaps and further needs, (ii) demonstrate a REDD Country Participant's commitment to REDD+, and to (iii) generate feedback and guidance through a comprehensive assessment by the country and the PC;

- The scope of the R-Package is national and encompasses all readiness preparation activities, notably (1) readiness organization and consultation, (2) REDD+ strategy preparation, (3)

reference levels, and (4) monitoring systems for forests, and safeguards (a total of nine corresponding subcomponents that mirror the activities in the national R-PP); and,

- The assessment and endorsement process consists of (i) a multi-stakeholder self-assessment by the country, and (ii) an assessment by the PC (including input from an ad hoc Technical Advisory Panel (TAP), the Delivery Partner and others).[1]
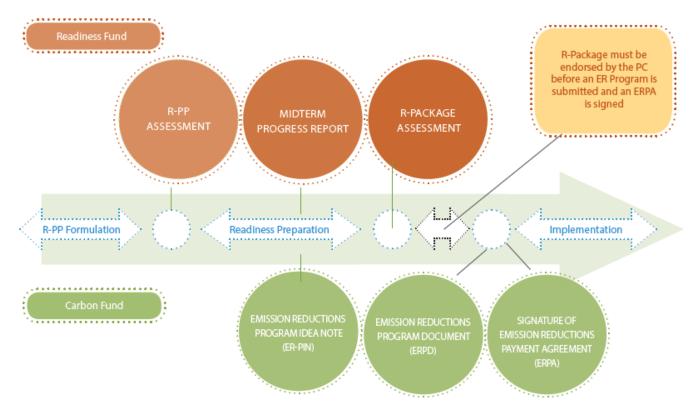
Figure 1: The R-Package in the readiness preparation and carbon finance processes

3.   Resolution PC12/2012/1 also clarified that the preparation of an R-Package and its submission for PC review are voluntary and not a reporting requirement under the FCPF Readiness Fund.[2]

4.   For the purposes of the Carbon Fund, however, the Charter stipulates that a country needs to have its R-Package endorsed by the PC before the country (or its approved entity) can submit an Emissions Reduction (ER) Program to the Carbon Fund for its consideration (see Figure 1).

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[1] See resolution PC12/2012/1 for the full description of the agreed purpose, scope, assessment and endorsement process.
[2] Readiness phase reporting requirements are stipulated in the Readiness Preparation Grant Agreement (or equivalent document, depending on the Delivery Partner) and include the submission of a mid-term progress report (See FMT Note 2012-7 rev on "Process for Submitting and Reviewing Mid-Term Progress Reports and Requests for Additional Funding by Participating REDD+ Countries").

5.   Further in accordance with the Charter, the Carbon Fund Participants will decide whether to select an ER Program for inclusion in the Carbon Fund portfolio and eventually whether to sign an Emissions Reduction Payment Agreement (ERPA). In making this decision, the Carbon Fund Participants will consider the PC's endorsement of the R-Package, among other considerations.[3]

6.   The R-Package, and the outcomes of its assessment by the country and the PC, will also be a way to provide Carbon Fund Participants with additional information to ensure consistency of an ER Program with the national REDD+ readiness preparations and of ER Program activities (likely to be at the sub-national level) with overarching safeguard requirements. An endorsed R-Package may also help attract other sources of REDD+ funding or provide international recognition of early REDD+ activities.

7.   Per the PC's guidance, the R-Package Assessment Framework presented in this Note focuses on progress in readiness preparation, rather than the definition of universal 'requirements' for REDD+ readiness. That is, the R-Package Assessment Framework provides a snapshot of readiness progress relative to countries' circumstances and encompasses all major readiness preparation activities (from REDD+ organization, consultation and strategy preparations, to establishing a reference level and monitoring systems, as well as cross-cutting issues such as governance and environmental and social safeguards) – many of which will remain on-going.

8.   The inherent value in preparing the R-Package – the opportunity to take stock, assess progress, strengths and weaknesses, and seek objective feedback on issues raised at mid-term before moving onto REDD+ piloting or implementation – are likely to be most useful as a country is nearing the end of its readiness preparations. Resolution PC/12/2012/1 provides that a country could begin preparing its R-Package anytime after the review of a country's mid-term progress report.[4] While it is ultimately at the discretion of the country (in collaboration with the Delivery Partner) to determine when to prepare and submit its R-Package, it is expected that a country would:

-   have taken into account the issues identified at the mid-term progress report review, as appropriate;

-   have prepared a national REDD+ strategy; designed a Reference Emissions Level/Reference Level (REL/RL) and a Measurement, Reporting and Verification (MRV) system; prepared an Environmental and Social Management Framework (ESMF); and established a Feedback and Grievance Redress Mechanism (FGRM); and

-   be able to assess progress on all nine subcomponents and the 34 corresponding assessment criteria.

9.   A preliminary draft Assessment Framework and Assessment Process presented at PC13 (contained in FMT Note 2012-10) received general support. The PC further tasked the FMT to discuss the Framework's feasibility with REDD+ countries and solicit feedback from technical experts and

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[3]The Process Guidelines for the Carbon Fund of the Forest Carbon Partnership Facility (FMT Note CF-2012-1-Rev) stipulates that the Carbon Fund Participants decide whether to proceed to negotiating an ERPA for the proposed ER Program based on the information available to date, which may include the PC's endorsement of the country's Readiness Package, the final ER Program Document, the World Bank's due diligence, and technical, financial and legal information (e.g., business model, information about the legal and beneficial title or rights to the respective Emission Reductions).

[4]The mid-term progress report review also looks at a country's readiness progress to date, however it differs in that it occurs mid-implementation and is particularly focused on FCPF-funded activities. The R-Package on the other hand, provides an end-of-process overview of overall progress on REDD+ readiness activities- both FCPF funded and other activities.

Participants/Observers.[5] The findings and feedback from these discussions are reflected in this Note and summarized in Boxes 1 and 2.

Box 1: Feedback and Insights from Feasibility Discussions with REDD+ Countries

The FMT solicited feedback from REDD+ countries in the context of a number of operational country visits. Vietnam's national coordinator convened a half-day meeting in Hanoi of the REDD+ network (approximately 30 participants, consisting of development partners, UN-REDD Programme agencies, civil society organizations, and Vietnam REDD+ office staff) in December 2012 to discuss the Readiness Assessment Framework. Between November 2012 and February 2013, the FMT discussed the R-Package and proposed Readiness Assessment Framework with stakeholders in Indonesia, Ethiopia, Democratic Republic of Congo, the Republic of Congo and Kenya and received feedback on how the self-assessment process may be performed in different country contexts. Additionally, Delivery Partners and a TAP expert also provided feedback.

- There is support for the general approach—Assessment Framework (rationale, assessment criteria, diagnostic questions, guidance notes) and Assessment Process—which is considered feasible, in particular because of the flexibility afforded to countries to apply the Framework and perform the assessment in a manner that is appropriate for each country-specific context.

- Based on feedback from REDD+ countries it is not meaningful to provide detailed, step-by-step instructions on how to perform a self-assessment. Concise and focused guidance, in conjunction with regular communication with the FMT, is sufficient to guide the self-assessment process.

- The self-assessment process could be undertaken through established implementation arrangements (e.g., such as the REDD+ network and sub-technical working groups in Vietnam, or the REDD+ taskforce in Indonesia).

- In practice, countries may structure the self-assessment in a fashion that is most efficient given the country context. This may entail organizing the multi-stakeholder assessment process around thematic (e.g., governance issues, technical issues etc.) or regional issues of importance.

- The R-Package Assessment Framework can be an important reference at mid-term of readiness preparations to comprehensively gauge readiness progress. For instance, Indonesia prepared its R-Package road map in accordance with the Framework, and the Democratic Republic of the Congo used the Framework to focus its readiness preparation activities going forward and to inform the organizational structure of national REDD+ coordination.

- Countries and other stakeholders can benefit from additional efforts promoting the role of the R-Package Assessment Framework, including how the outcome of the assessment relates to the Carbon Fund, the review of mid-term progress reports, and the facility-wide FCPF Monitoring and Evaluation Framework.

- Given where countries are in the readiness process, it is difficult to comprehensively apply the Assessment Framework now (it cannot be piloted as no country has completed their readiness preparations).

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[5]See PC13 Co-Chairs' Summary.

Box 2: Feedback and Insights from Discussions with Indigenous Peoples and Southern Civil Society Organizations

The R-Package was also discussed at the Global Action Plan Follow Up Workshop for Indigenous Peoples and Southern Civil Society Organizations (in Washington, February 2013). Workshop participants conveyed the following messages:

- The R-Package Assessment Framework provides an opportunity for Indigenous Peoples, forest-dependent communities, civil society and other stakeholders to fully and effectively engage in REDD+ readiness progress assessment.

- The multi-stakeholder self-assessment process should be participatory, inclusive, transparent and credible, consistent with relevant safeguard requirements under the Common Approach and workshop participants called for Free, Prior and Informed Consent (FPIC) to apply as a guiding principle for implementing the R-Package Assessment Framework.[6]

- The Framework should be sensitive to the different roles and interests of Indigenous Peoples, forest-dependent communities and broader civil society (i.e., rights holders and stakeholders), with self-selected representation and respect indigenous processes/traditional organization. Workshop participants expressed a desire for clear guidance on what constitutes meaningful stakeholder engagement in the self-assessment process and participants expressed broader concerns relating to the marginalization of stakeholders.

- Priority issues in the R-Package for Indigenous Peoples and Civil Society Organizations include: land tenure, use and title; natural resource rights; livelihoods (including traditional/customary livelihoods); governance; community-based participatory monitory and information systems; use of traditional local indigenous knowledge systems; social and environmental safeguards; FPIC; a human rights approach; full and effective participation and consultation.

- There should be a separate and formal avenue for direct assessment by Indigenous Peoples and civil society in the R-Package Assessment Framework.

- Facilitation and capacity building to further develop REDD+ stakeholder's understanding (of their respective roles, responsibilities and opportunities) and participation in the R-Package Assessment Process is beneficial.

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[6] As part of the World Bank's safeguards review and update process, which is expected to last until mid-2014, FPIC is a specific theme that is being discussed. In the meantime, in the context of the FCPF, activities affecting Indigenous Peoples are governed by the World Bank Operational Policies, in particular Operational Policy (OP) 4.10 on Indigenous Peoples. OP 4.10 aims to ensure that the development process fully respects the dignity, human rights, economies, and cultures of Indigenous Peoples. The policy specifies that the Bank provides financing only where free, prior, and informed consultation results in broad community support to the project by the affected Indigenous Peoples. The Bank's OP 4.10 is consistent with the Cancun Decision 1/CP.16, in particular its emphasis on respect for the knowledge and rights of indigenous peoples and on their full and effective participation. In addition, the Common Approach on Environmental and Social Safeguards for Multiple Delivery Partners provides that if an organization other than the World Bank is the Delivery Partner (DP) in the FCPF and if the environmental and social safeguard policies and procedures of the DP are more stringent and/or protective than those of the World Bank, the DP shall apply those policies and procedures to the activities.

10.   The Framework contained in this Note is intended to guide countries and the PC in the future assessment of readiness progress, the timing of which will vary from country to country. While an agreed framework is needed at this time to guide countries' readiness preparation, further guidance on the application of the Assessment Framework can be informed by additional field-testing, early lessons learned and emerging technical or policy guidance in the future.

Assessment Framework

11.   The Assessment Framework follows the agreed structure of the R-Package (See Resolution PC12/2012/1)— and consists of nine subcomponents (1a through 4b) and 34 related assessment criteria as follows:

1. Readiness Organization and Consultation

1a. National REDD+ Management Arrangements

1) *Accountability and transparency*

2) *Operating mandate and budget*

3) *Multi-sector coordination mechanisms and cross-sector collaboration*

4) *Technical supervision capacity*

5) *Funds management capacity*

6) *Feedback and grievance redress mechanism*

1b. Consultation, Participation, and Outreach

7) *Participation and engagement of key stakeholders*

8) *Consultation processes*

9) *Information sharing and accessibility of information*

10) *Implementation and public disclosure of consultation outcomes*

2. REDD+ Strategy Preparation

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

11) *Assessment and analysis*

12) *Prioritization of direct and indirect drivers/barriers to forest enhancement*

13) *Links between drivers/barriers and REDD+ activities*

14) *Action plans to address natural resource rights, land tenure, governance*

15) *Implications for forest law and policy*

2b. REDD+ Strategy Options

16) *Selection and prioritization of REDD+ strategy options*

17) *Feasibility assessment*

18) *Implications of strategy options on existing sectoral policies*

2c. Implementation Framework

19) Adoption and implementation of legislation/regulations

20) Guidelines for Implementation

21) Benefit sharing mechanism

22) National REDD+ registry and system monitoring REDD+ activities

2d. Social and Environmental Impacts

23) Analysis of social and environmental safeguard issues

24) REDD+ strategy design with respect to impacts

25) Environmental and Social Management Framework

3. Reference Emissions Level/Reference Levels

26) Demonstration ofmethodology

27) Use of historical data, and adjusted for national circumstances

28) Technical feasibility of the methodological approach, and consistency with UNFCCC/IPCC guidance and guidelines

4. Monitoring Systems for Forests and Safeguards

4a. National Forest Monitoring System

29) Documentation of monitoring approach

30) Demonstration of early system implementation

31) Institutional arrangements and capacities - Forests

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

32) Identification of relevant non-carbon aspects, and social and environmental issues

33) Monitoring, reporting and information sharing

34) Institutional arrangements and capacities – Multiple Benefits and Safeguards

12.   Annex I is structured to assist countries and the PC apply the Assessment Framework, and for each of the nine subcomponents provides:

- *A Rationale* that describes the role and function of subcomponent activities in the readiness process;

- *Assessment criteria* that capture core aspects related to each subcomponent;

- *Diagnostic questions* that capture the desired outcome of readiness preparations activities. These diagnostic questions help to focus the assessment on the relative progress in relation to the respective assessment criteria; and

- *Guidance notes* that provide guidance, good practice examples, and references to support and inform the assessment.

Countries and the PC assess progress in the nine subcomponents and related 34 assessment criteria, systematically working through the corresponding diagnostic questions. The rationale and guidance

notes provide general guidance on what to consider when addressing the criteria and diagnostic questions, as well as identifying information or documentation which may be useful to support and inform the assessment.

13.   The assessment's results should be summarized by subcomponent through:

- *Progress indicators* that convey a synthesis of the overall achievement in an intuitive fashion. These can be qualitatively expressed on a four-color 'traffic light' scale as follows:

    i.   Green: 'significant progress'

    ii. Yellow: 'progressing well, further development required'

    iii. Orange: 'further development required'

    iv. Red: 'Not yet demonstrating progress'

- Description of *significant achievements* and *areas requiring further development*; and

- *Actions* that address identified areas for further work.

It is important to note that the progress indicators are only a means to synthesize the assessment outcome (by subcomponent) and are complemented by corresponding detailed and comprehensive descriptions of achievements, gaps, and actions going forward.

14.   The Assessment Framework is to be applied to both the (i) national multi-stakeholder self-assessment performed by the REDD Country Participant; and (ii) an assessment by the PC (including input from an ad hoc TAP, the Delivery Partner and others). The 34 assessment criteria provide a degree of consistency and comprehensiveness in the assessment. That is, including certain criterion in the Framework prompts an evaluator, stakeholders, a TAP member, the PC etc., to consider the relative progress that has been made with respect to that core component of readiness. At the same time, the assessment criteria and diagnostic questions are part of a 'framework' the provides flexibility to tailor the assessment to include additional criteria and/or modify diagnostic questions so that they are relevant in a given country context (e.g., on the basis of previously identified issues in the Assessment Note for FCPF grant allocation or other issues that have emerged during readiness formulation or preparation).

Assessment Process

Self-assessment

15.   The multi-stakeholder self-assessment by the country is a participatory and inclusive process—encompassing the perspectives and experiences of a range of stakeholders. Key benefits of a self-assessment process includes the enhancement of country ownership and engagement of relevant national stakeholders; the opportunity for a country and its national stakeholders to collectively identify achievements, gaps and needs; and the promotion of transparency in a country's REDD+ readiness preparation process.

16.   Countries can conduct the multi-stakeholder self-assessment process in a manner that is appropriate given the country-specific context and should build on and integrate with existing structures, platforms, or protocol created for REDD+ (e.g., those established through the Strategic Environmental and Social Assessment (SESA) or existing national or international procedures for program monitoring and evaluation). The basic steps of the self-assessmentinclude preparing for the

assessment, conducting the assessment, and communicating and disseminating the assessment outcomes. Further guidance on these steps is detailed in Annex II.

17.   The R-Package is a concise document that consists of:

- A summary of the readiness preparation process;

- A report of the multi-stakeholder self-assessment process;

- The assessment results: progress indicators for the nine subcomponents; significant achievements and areas requiring further development; and actions that address identified areas for further work; and

- References to (or annexes of) documentation detailing outputs of the readiness preparation process including: a national REDD+ strategy; the REL/RL, MRV system and safeguards, including the ESMF and the FGRM; other supporting documentation, as appropriate.

18.   The R-Package is then submitted to the PC for assessment and review.

PC Assessment

19.   PC assessment of the R-Package will follow the practice established through the R-PP review process whereby the PC tasks the TAP to independently review a REDD+ country's progress. The TAP reviews a country's R-Package using the same Assessment Framework (nine subcomponents and 34 assessment criteria and diagnostic questions used by the REDD+ country). In addition, the TAP considers the comprehensiveness of the country's assessment of the R-Package, and the overall quality of the multi-stakeholder self-assessment process. The TAP documents its assessment, provides feedback and proposes guidance actions as input to the PC assessment. The assessment may also include in-country assessment by a TAP member/s.

20.   The PC receives the country's self-assessment and the TAP's assessment as inputs to the overall assessment of the R-Package. In addition, the PC will receive reports from the Delivery Partner (completion report, or equivalent depending on the Delivery Partner) and potentially others to inform the assessment.

21.   Upon completion of the Assessment Process specified above, the PC will consider the R-Package with a view to adopting a resolution assessing the R-Package. The resolution would provide recognition of the readiness progress achieved to date and list the strengths and areas for improvement. This constitutes 'endorsement' as provided for in the Charter.

Annexes

- Annex I: Rationale, assessment criteria, diagnostic questions, and guidance notes.

- Annex II: Basic steps of the multi-stakeholder self-assessment.

ANNEX I: Rationale, assessment criteria, diagnostic questions, and guidance notes

Component 1: Readiness Organization and Consultation

Subcomponent 1a: National REDD+ Management Arrangements

Rationale: National REDD+ management has five main functions: (1) manage implementation of REDD+ funding, including the FCPF grant, (2) co-ordinate REDD+ activities, (3) integrate REDD+ into broader national or sector strategies (e.g., national development plan, low-carbon development strategies), (4) manage inquiries, complaints and potentially grievances by stakeholders that may arise during the preparation and implementation of activities, and (5) organize information sharing and stakeholder consultation and participation.

Effective readiness management during the preparation phase is indicative of the country's capacity to manage emission reduction programs under REDD+ implementation in the future. This part of the Assessment Framework focuses on national REDD+ management arrangements and their effectiveness in fulfilling core functions.

Assessment criteria and diagnostic questions:

1) *Accountability and transparency*
   - How are national REDD+ institutions and management arrangements demonstrating they are operating in an open, accountable and transparent manner?
2) *Operating mandate and budget*
   - How is it shown that national REDD+ institutions operate under clear mutually supportive mandates with adequate, predictable and sustainable budgets?
3) *Multi-sector coordination mechanisms and cross-sector collaboration*
   - How are national REDD+ institutions and management arrangements ensuring REDD+ activities are coordinated, integrated into and influencing the broader national or sector policy frameworks (e.g., agriculture, environment, natural resources management, infrastructure development and land-use planning)?
4) *Technical supervision capacity*
   - How effectively and efficiently are national REDD+ institutions and management arrangements leading and supervising multi-sector readiness activities, including the regular supervision of technical preparations?
5) *Funds management capacity*
   - How are institutions and arrangements demonstrating effective, efficient and transparent fiscal management, including coordination with other development partner-funded activities?
6) *Feedback and grievance redress mechanism*
   - What evidence is there to demonstrate the mechanism is operating at the national, subnational and local levels, is transparent, impartial, has a clearly defined mandate, and adequate expertise and resources?
   - What evidence is there that potentially impacted communities are aware of, have access to, and the mechanism is responsive to feedback and grievances?

Guidance Notes:
This component focuses on the overarching arrangements and capacity of REDD+ institutions and management, and differs to subcomponent 2c, which is concerned with the implementation

frameworkof specific REDD+ strategy options (e.g., the resulting institutional, economic, legal and governance arrangements). Countries should draw upon the documentation produced during the formulation and implementation of the R-PP, national law, regulation, policy or REDD+ strategy documents, and provide additional updated information (as required) that:

- describes the national REDD+ management arrangements, including the design and methods of operation, and the roles and responsibilities at various levels of management, and across government agencies and relevant sectors.
- explains how REDD+ activities are being coordinated, and how REDD+ preparations are, and implementation will, be managed.
- explains the types and timing of practical activities conducted as part of management of readiness, as well as those still to be undertaken.
- explains how REDD+ funding and related budgets are managed.
- describes the FGRM, including early experiences/lessons on receiving and facilitating resolution of queries and complaints (as appropriate).

It is good practice for this component to consider countries' progress with respect to previously identified issues or gaps (e.g., in the PC resolution for the FCPF grant allocation). Countries may also consider the issue of government ownership and demonstrate how relevant stakeholders, and national and multi-sectoral expertise was involved in readiness preparations. A comprehensive assessment may reflect a variety of perspectives on national REDD+ institutions' management and coordination (e.g., country, World Bank, Delivery Partner and other stakeholders) or apply established governance principles, resources and tools available (such as World Bank/Food and Agriculture (FAO) Program on Forests (PROFOR) Framework for Assessing and Monitoring Forest Governance; Climate, Community and Biodiversity Alliance (CCBA)/CARE International REDD+ Social &Environmental Standards; UN-REDD Participatory Governance Assessments; or other, but not limited to, assessment frameworks identified in Annex I of FMT Note 2012-10).

Information on the FGRM should be consistent with applicable World Bank and/or other Delivery Partner policies articulated under the Common Approach, specifically the World Bank Draft Guidance Note Strengthening capacity for dispute resolution and grievance redress in REDD+ Readiness Phase (January 2013).

Subcomponent 1b. Consultation, Participation, and Outreach

Rationale: The national body responsible for leading the REDD+ process regularly engages, as appropriate, with key stakeholders and facilitates their participation in the readiness preparation process, including activities related to national REDD+ strategy, reference levels, and monitoring systems. Consultation and participation of key stakeholders builds on early dialogues during the formulation of the R-PP, and the plan for consultation, participation, and outreach that was undertaken as part of the SESA. This process results in a sustainable institutional structure that ensures meaningful participation in decision-making concerning REDD+ strategies and activities beyond the readiness phase.

This part of the Assessment Framework focuses on how consultation, participation, and outreach were conducted during the preparation phase and the platform for consultation with and participation of key stakeholders for future REDD+ programs. The Assessment Framework reviews how consultations with key stakeholders are performed to ensure participation of different social groups, transparency, and accountability of decision-making.

Assessment criteria and diagnostic questions:

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

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

9) *Information sharing and accessibility of information*
- How have national REDD+ institutions and management arrangements demonstrated transparent, consistent, comprehensive and timely sharing and disclosure of information (related to all readiness activities, including the development of REDD+ strategy, reference levels, and monitoring systems) in a culturally appropriate form?
- What evidence is there that information is accessible to stakeholders (e.g., in a format and language understandable to them) and is being received?
- What channels of communications are being used to ensure that stakeholders are well informed, especially those that have limited or no access to relevant information?

10) *Implementation and public disclosure of consultation outcomes*
- How are the outcomes of consultations integrated (fed into, disseminated, publicly disclosed and taken into account) in management arrangements, strategy development and technical activities related to reference level and monitoring and information systems development?

Guidance Notes:
Countries should provide information on how consultation, participation, and outreach have been conducted during the preparation phase and will continue in the future. Countries should draw upon the outcomes of dialogues with key stakeholders and the documentation produced during the readiness preparation phase, including the Consultation and Participation Plan (and various communication tools), SESA, and ESMF. Information should be consistent with relevant United Nations Framework Convention on Climate Change (UNFCCC) guidance on safeguards[7] and applicable World Bank and/or other Delivery Partner safeguard policies as provided for under the Common Approach, including FCPF Guidelines and generic Terms of Reference for SESA and the associated ESMF, FCPF/UN-REDD Joint Guidelines on Stakeholder Engagement in REDD+ Readiness, and FCPF Guidelines on the Disclosure of Information. Countries should explicitly address identified stakeholders' concerns about potential social economic and environment risks and impacts, and expectations of potential delivery of benefits of proposed

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[7]Decision 1/CP.16 paragraph 71(d) and Appendix I.

REDD+ activities.

Component 2: REDD+ Strategy Preparation

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

Rationale: The purpose of the assessment of land use, land-use change drivers, forest law, policy and governance was to identify 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 assessment should have also addressed how shortcomings in current land use, and forest law, policy and governance contribute to the drivers of deforestation and forest degradation and developed potential solutions. Taking into account the country's past experience in addressing these shortcomings (including the issues that led to underperformance of previous programs), the assessment should have directly informed the country's REDD+ strategy and identified ways to address the key deforestation and degradation drivers in a prioritized fashion.

This part of the Readiness Assessment focuses on the causal relationship between the economic, legal, policy setting of the country and associated patterns of land-use change, deforestation and forest degradation. Building a comprehensive understanding at the preparation phase sets a solid foundation for developing an effective REDD+ strategy (subcomponent 2b).

Assessment criteria and diagnostic questions:

11) *Assessment and analysis*
- Does the summary of the work conducted during R-PP formulation and preparation present an analysis of recent historical land-use trends (including traditional) and assessment of relevant land tenure and titling, natural resource rights, livelihoods (including traditional/customary), forest law, policy and governance issues?

12) *Prioritization of direct and indirect drivers/ barriers to forest carbon stock enhancement*
- How was the analysis used to prioritize key direct and indirect drivers to be addressed by the programs and policies included in the REDD+ strategy?
- Did the analysis consider the major barriers to forest carbon stock enhancement activities (if appropriate) to be addressed by the programs and policies included in the REDD+ strategy?

13) *Links between drivers/barriers and REDD+ activities*
- What evidence demonstrates that systematic links between key drivers, and/or barriers to forest carbon stock enhancement activities (as appropriate), and REDD+ activities were identified?

14) *Action plans to address natural resource rights, land tenure, governance*
- Do action plans to make progress in the short-, medium- and long-term towards addressing relevant, land-use, land tenure and titling, natural resource rights, livelihoods, and governance issues in priority regions related to specific REDD+ programs, outline further steps and identify required resources?

15) *Implications for forest law and policy*
- Does the assessment identify implications for forest or other relevant law and policy in the long-term?

Guidance Notes:

Countries should draw upon the assessment of land use, land-use change drivers, forest law, policy and governance undertaken as part of the R-PP; the countries' REDD+ strategy options (and any updates); as well as other relevant work, assessments and studies (e.g., the UNFCCC work considering issues relating to the drivers of deforestation and forest degradation[8], the use of forest or other governance assessment frameworks (such as PROFOR Framework for Assessing and Monitoring Forest Governance, CCBA/CARE International REDD+ Social &Environmental Standards, UN-REDD Participatory Governance Assessments, etc.).This supporting evidence should collectively present an overview of the country situation in relation to: the key drivers of deforestation, forest degradation, and forest carbon stock enhancement activities; land-use trends; land tenure; natural resource rights; forest law; policy and governance issues; social and environmental impacts; and consider additional issues of importance to stakeholders in a particular country context (e.g., traditional land-use, land tenure and titling, and livelihoods, including traditional/customary). Countries could document results of diagnostic work on governance for identification of key governance gaps in the context of REDD+ and how the recommendations and action plans to address the gaps will feed into existing on-going relevant governance work in the country. Countries should also strive provide information identifying knowledge gaps and capacity constraints that play a role in deforestation, forest degradation and the other REDD+ activities, as appropriate.

Subcomponent: 2b. REDD+ Strategy Options

Rationale: The REDD+ strategy forms the basis for the development of a set of policies and programs to reduce emissions from deforestation and/or forest degradation and enhancing carbon uptake from other REDD+ activities. The strategy should address the drivers of deforestation and/or forest degradation identified in the assessment in Subcomponent 2a, including drivers linked to other sectors competing for the same land resources, in the context of the national priorities for sustainable development.

This part of the Assessment Framework focuses on the motivation and rationale for countries to have engaged in any or all of the five REDD+ activities[9], and the strategic options that were identified and analyzed during preparation to ascertain that actions taken on REDD+ are beneficial, feasible and cost-effective. In short, this component should convey how REDD+ fits into the context of a country's national development framework and path.

Assessment criteria and diagnostic questions:

   16) Selection and prioritization of REDD+ strategy options
   - Were REDD+ strategy options (prioritized based on comprehensive assessment of direct and indirect drivers of deforestation, barriers to forest enhancement activities and/or

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[8]Decision 1/CP.16 requests Subsidiary Body on Scientific and Technical Advice (SBSTA) to identify land use, land-use change and forestry activities in developing countries, in particular those that are linked to the drivers of deforestation and forest degradation (see Decision 1/CP.16 paragraph 75 and Appendix II).

[9] Decision 1/CP.16 paragraph 70 encourages developing country Parties to contribute to mitigation actions in the forest sector by undertaking the following activities, as deemed appropriate by each Party and in accordance with their respective capabilities and national circumstances: (a) Reducing emissions from deforestation; (b) Reducing emissions from forest degradation; (c) Conservation of forest carbon stocks; (d) Sustainable management of forests; (e) Enhancement of forest carbon stocks.

informed by other factors, as appropriate) selected via a transparent and participatory process?

- Were the expected emissions reduction potentialsof interventions estimated, where possible, and how did they inform the design of the REDD+ strategy?

17) Feasibility assessment

- Were REDD+ strategy options assessed and prioritized for their social, environmental and political feasibility, risks and opportunities, and analysis of costs and benefits?

18) Implications of strategy options on existing sectoral policies

- Have major inconsistencies between the priority REDD+ strategy options and policies or programs in other sectors related to the forest sector (e.g., transport, agriculture) been identified?
- Is an agreed timeline and process in place to resolve inconsistencies and integrate REDD+ strategy options with relevant development policies?
- Are they supportive of broader development objectives and have broad community support?

Guidance Notes:

Countries should draw upon the REDD+ strategy options presented in the R-PP, the assessment of land use, land-use change drivers, forest law, policy and governance undertaken (see subcomponent 2a), and resulting policies and programs developed to implement the national REDD+ strategy.

The national strategy should support national priorities for sustainable development, be informed by SESA, ESMF and safeguard issues (see subcomponent 2d), and be consistent with relevant UNFCCC guidance.[10] An explicit assessment of risks, feasibility, cross-sector inconsistencies of REDD+ strategy options should have been undertaken and a timeline and process to integrate strategy options with broader development policies been identified.

Subcomponent: 2c. Implementation Framework

Rationale: The implementation framework defines institutional, economic, legal and governance arrangements necessary to implement REDD+ strategy options. The implementation of REDD+ strategy options is specific to a given country's land uses and legal and social circumstances, and countries have flexibility to tailor their REDD+ interventions to their socio-economic conditions, drivers of deforestation, and development objectives. Country-specific solutions need to define the role of government, landowners, and other participants in REDD+ transactions, to share and deliver REDD+ benefits (e.g., to local communities), to respect the rights of Indigenous Peoples and forest-dependent communities, to clarify land tenure to the extent possible and mediate associated conflicts, and to manage carbon transactions through a transparent process.

An effective implementation framework during the preparation phase is indicative of the country's capacity to undertake emission reduction programs in the future.

Assessment criteria and diagnostic questions:

19) Adoption and implementation of legislation/regulations

- Have legislation and/or regulations related to REDD+ programs and activities been

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[10]Decision 1/CP.16 paragraph 72 national strategies should address drivers of deforestation and forest degradation, land tenure issues, forest governance issues, gender considerations and safeguards.

adopted?
- What evidence is there that these relevant REDD+ laws and policies are being implemented?

20) *Guidelines for implementation*
- What evidence is there that the implementation framework defines carbon rights, benefit sharing mechanisms, REDD+ financing modalities, procedures for official approvals (e.g., for pilots or REDD+ projects), and grievance mechanisms?

21) *Benefit sharing mechanism*
- What evidence is there to demonstrate benefit sharing mechanisms are transparent?

22) *National REDD+ registry and system monitoring REDD+activities*
- Is a national geo-referenced REDD+ information system or registry operational, comprehensive of all relevant information (e.g., information on the location, ownership, carbon accounting and financial flows for sub-national and national REDD+ programs and projects), and does it ensure public access to REDD+ information?

Guidance Notes:

Countries should reference documentation detailing the relevant institutional, economic, legal, regulatory and governance arrangements specific to implement REDD+ strategy options (these will likely differ to subcomponent 1a which is concerned with the overarching REDD+ institutions and management arrangements).

It is good practice for this component to consider and report a country's progress with respect to previously identified issues or gaps (e.g., in the PC resolution for the FCPF grant allocation), and countries may also wish to provide information identifying additional barriers to REDD+ strategy implementation (e.g., such as issues of institutional capacity and coordination, fiscal transparency, law enforcement, corruption) and reforms needed.

It may be helpful to provide supporting information on resources or tools used in the development of particular aspects of their implementation framework, as appropriate (e.g., the use of the PROFOR Options Assessment Framework (OAF) to determine which benefit sharing mechanism may be most appropriate, or the World Bank Grievance Redress Mechanism Manual to identify/evaluate local and national institutions to manage grievances).

Subcomponent: 2d. Social and Environmental Impacts

Rationale: Countries receiving FCPF funding for readiness preparation through the World Bank are required to ensure compliance with the Common Approach. This part of the Assessment Framework focuses on the main findings and results of SESA, including the stand-alone ESMF. (Note: the SESA is reflected in the R-Package components in an integrated way, including the REDD+ strategy and consultation, participation outreach). The SESA process and ESMF should create a sustainable institutional structure that ensures effective management of social and environmental issues beyond the readiness phase.

Assessment criteria and diagnostic questions:

23) *Analysis of social and environmental safeguard issues*
- What evidence is there that applicable social and environmental safeguard issues relevant to the country context have been fully identified/analysed via relevant studies or diagnostics and in consultation processes?

24) REDD+ strategy design with respect to impacts
- How were SESA results and the identification of social and environmental impacts (both positive and negative) used for prioritizing and designing REDD+ strategy options?

25) Environmental and Social Management Framework
- What evidence is there that the ESMF is in place and managing environmental and social risks/potential impacts related to REDD+ activities?

Guidance Notes:

Countries should draw upon the outcomes of dialogues with key stakeholders and the documentation produced during the readiness preparation phase, including SESA and ESMF.[11] In the context of preparation of the R-Package, the ESMF provides the framework to address the key environmental and social issues associated with implementation of the country's preferred REDD+ strategy and draws on the assessment undertaken in other R-PP components. Information should be consistent with relevant UNFCCC guidance on safeguards[12] and applicable World Bank and/or other Delivery Partner safeguard policies as provided for under the Common Approach. There may also be national legislative requirements related to safeguards or the management of social or environmental risks and impacts that should be identified and addressed.

UNFCCC guidance stipulates:
- actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements.
- national forest governance structures are transparent and effective, taking into account national legislation and sovereignty.
- the knowledge and rights of Indigenous Peoples and members of local communities are respected, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples.
- the full and effective participation of relevant stakeholders, in particular Indigenous Peoples and local communities, is promoted and supported.
- actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits.
- actions to address the risks of reversals should be promoted and supported.
- actions to reduce displacement of emissions are promoted and supported.[13]

It is good practice to explicitly address identified stakeholders' concerns about potential social economic and environment risks and impacts, and expectations of potential delivery of benefits of proposed REDD+ activities.[14]

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[11]The ESMF sets out the principles, rules, guidelines, and procedures to assess potential environmental and social impacts and risks, and contains measures to reduce, mitigate, and/or offset adverse environmental and social impacts and enhance positive impacts and opportunities of said projects, activities, or policies/regulations.

[12]Decision 1/CP.16 paragraph 71(d)and Appendix I.

[13]Decision 1/CP.16 Appendix I.

[14] Note: the readiness preparation phase is meant primarily for technical assistance and capacity building activities, with the objective to prepare the country for large-scale intervention yet to come. FCPF grants do not finance any implementation of REDD+ pilots on the ground (investments, pilot projects involving use of land or change in use

Component 3: Reference Emissions Level/Reference Levels

Rationale: Estimates of changes in forest area and carbon content over time and the corresponding emissions to and uptake from the atmosphere are used to measure the performance of REDD+ policy interventions relative to a forest REL/RL. Recent UNFCCC decisions request countries to develop a REL/RL as a benchmark for assessing performance in implementing REDD+ activities at a national level, with subnational approaches as interim measures. The REL/RL should be established transparently taking into account historical data, and can be adjusted for national circumstances as appropriate.

Information presented in the R-Package should reflect the general approach used to establish a REL/RL. This includes compilation and analysis of relevant data, capacity building in the application of proven methods and fundamental techniques (e.g., mapping, field sampling), and assessment of different methodologies. Preliminary results of this work should have generated first-order estimates of emissions at the national or subnational level and the construction of REL/RL.

Assessment criteria and diagnostic questions:

26) *Demonstration of methodology*
    - Is the preliminary sub-national or national forest REL or RL presented (as part of the R-Package) using a clearly documented methodology, based on a step-wise approach, as appropriate?
    - Are plans for additional steps and data needs provided, and is the relationship between the sub-national and the evolving national reference level demonstrated (as appropriate)?

27) *Use of historical data, and adjusted for national circumstances*
    - How does the establishment of the REL/RL take into account historical data, and if adjusted for national circumstance, what is the rationale and supportive data that demonstrate that proposed adjustments are credible and defendable?
    - Is sufficient data and documentation provided in a transparent fashion to allow for the reconstruction or independent cross-checking of the REL/RL?

28) *Technical feasibility of the methodological approach, and consistency with UNFCCC/IPCC guidance and guidelines*
    - Is the REL/RL (presented as part of the R-Package) based on transparent, complete and accurate information, consistent with UNFCCC guidance and the most recent IPCC guidance and guidelines, and allowing for technical assessment of the data sets, approaches, methods, models (if applicable) and assumptions used in the construction of the REL/RL?

Guidance Notes:
Countries should draw upon supporting documentation produced during the readiness preparation phase. Information should be consistent with UNFCCC guidance[15] and the most recent Intergovernmental Panel on Climate Change (IPCC) guidance and guidelines.[16] Countries can pursue reference level work in a stepwise and iterative approach, as appropriate, with further refinement as

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of land and physical works), that hence could have adverse impacts on communities.

[15]Relevant UNFCCC decisions include Decision 2/CP.13 and Annex; Decision 4/CP.15; Decision 1/CP.16 (paragraphs 69–71, specifically 71(b) and Appendix II paragraphs (a) and (b)); Decision 12/CP.17 (paragraphs 7-15 and Annex).

[16]IPCC Good Practice Guidance for Land Use, Land-Use Change and Forestry (2003), IPCC Guidelines for National Greenhouse Gas Inventories, Volume 4 Agriculture, Forestry and Other Land Use (2006).

improved data, methodologies, and UNFCCC guidelines become available. Countries may find it useful to draw upon peer reviewed technical guidance (e.g., the Global Observation of Forest and Land Cover Dynamics (GOFC-GOLD) REDD Sourcebook, Winrock International for Forest Carbon Partnership Facility Draft Methodological Framework for Developing Reference Levels for REDD+, etc.).

UNFCCC guidance stipulates:

- The REL/RL should be expressed in tons of carbon dioxide equivalent per year.[17]
- The rationale for the approach to the REL/RL should be provided.[18]
- The information used in the construction of the REL/RL should be transparent, complete, consistent and accurate[19], allowing for the reconstruction of the REL/RL.
- The REL/RL should be established transparently, taking into account historical data[20]and, if adjusted for national circumstances, should include rationale for making adjustments including details on these national circumstances and how they were considered.[21]
- The REL/RL should maintain consistency with anthropogenic forest-related GHG emissions by sources and removals by sinks as contained in each country's GHG inventories.[22]
    - o The definition of forest used should be clearly provided.[23]
    - o The pools and gases included should be clearly provided, along with a rationale for the exclusion of any pools or gases.[24]
    - o The activities included should be clearly provided, along with a rationale for the exclusion of any activities.[25]

The REL/RL should be built around the major drivers of deforestation, forest degradation and the other REDD activities. This will encourage linkages among the REL/RL, REDD+ strategy options, and the design of the national forest monitoring system.

Countries may also wish to provide information identifying current gaps and additional needs, such as data, resource and technical capacity needs.

Component 4: Monitoring Systems for Forests, and Safeguards

Subcomponent: 4a. National Forest Monitoring System

Rationale: The national forest monitoring system should generate information that allows comparison of changes in forest area and carbon content (and associated greenhouse (GHG) emissions) relative to the baseline estimates used for the REL/RL. A robust and transparent national forest monitoring system can contribute to strengthen forest governance and to further consider counter measures to deforestation and forest degradation. The development of an operational forest monitoring system is a long-term effort, generally serves multiple purposes (e.g., natural resource management more generally), and commonly entails a combination of remote sensing and field-based data collection from

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[17] Decision 12/CP.17 paragraph 7.
[18] Decision 12/CP.17 paragraph 9.
[19] Decision 4/CP.15 paragraph 7; Annex to Decision 12/CP.17 paragraph (b).
[20] Decision 12/CP.17 paragraph 8; Decision 4/CP.15 paragraph 7.
[21] Decision 4/CP.15 paragraph 9.
[22] Decision 12/CP.17 paragraph 8.
[23] Annex to Decision 12/CP.17 paragraph (d).
[24] Annex to Decision 12/CP.17 paragraph (c).
[25] Annex to Decision 12/CP.17 paragraph (c).

the national forest inventory or other sources. A national forest monitoring system assimilates data collected nationally and locally (e.g., through sampling in community-managed forests), helps build trust among local constituencies via a participatory approach, and contributes to the national GHG inventory that countries report to UNFCCC in their National Communications and Biennial Update Reports. Countries may not be able to finalize the design of the national forest monitoring system for the emission reductions and removals in the absence of definitive guidelines from the UNFCCC, and thus may use a step-wise approach to gradually develop the system (starting with data collection, analytic work, capacity building etc. with further refinements being made later as guidance becomes available).

This part of the Assessment Framework focuses on progress made in designing and developing operational forest monitoring systems. It describes the approach of how the system is expected to be enhanced over time as capacity increases, more data become available, and guidance from the UNFCCC is provided. It describes the information that is generated and its use and application, and includes output from early work (e.g., mapping forest cover change in high deforestation areas). It provides clear institutional arrangements, including budgeted action plans and human resource needs.

Assessment criteria and diagnostic questions:

29) Documentation of monitoring approach
- Is there clear rationale or analytic evidence supporting the selection of the used or proposed methodology (combination of remote sensing and ground-based forest carbon inventory approaches, systems resolution, coverage, accuracy, inclusions of carbon pools and gases) and improvement over time?
- Has the system been technically reviewed and nationally approved, and is it consistent with national and international existing and emerging guidance?
- Are potential sources of uncertainties identified to the extent possible?

30) Demonstration of early system implementation
- What evidence is there that the system has the capacity to monitor the specific REDD+ activities prioritized in the country's REDD+ strategy?
- How does the system identify and assess displacement of emissions (leakage), and what are the early results (if any)?
- How are key stakeholders involved (participating/consulted) in the development and/or early implementation of the system, including data collection and any potential verification of its results?
- What evidence is there that the system allows for comparison of changes in forest area and carbon content (and associated GHG emissions) relative to the baseline estimates used for the REL/RL?

31) Institutional arrangements and capacities
- Are mandates to perform tasks related to forest monitoring clearly defined (e.g., satellite data processing, forest inventory, information sharing)?
- What evidence is there that a transparent means of publicly sharing forest and emissions data are presented and are in at least an early operational stage?
- Have associated resource needs been identified and estimated (e.g., required capacities, training, hardware/software, and budget)?

Guidance Notes:
Countries should draw upon supporting documentation produced during the readiness preparation

phase and describe the approach used to design and develop a national forest monitoring system. Information should be consistent with UNFCCC guidance[26] and the most recent IPCC guidance and guidelines.[27] In the absence of definitive guidelines from the UNFCCC, countries can use a step-wise and iterative approach, as appropriate, to develop their national forest monitoring system, with further refinement as guidance becomes available. Countries may find it useful to draw upon peer-reviewed technical guidance (e.g., GOFC-GOLD REDD Sourcebook, Winrock International for Forest Carbon Partnership Facility Draft Methodological Framework for Developing Reference Levels for REDD+, etc.).

UNFCCC guidance stipulates countries should:

- Strive for robust and transparent national forest monitoring systems, with, if appropriate, subnational monitoring and reporting as an interim measure in accordance with national circumstances and with the provisions contained in decision 4/CP15.[28],[29]
- Use a combination of remote sensing and ground-based forest carbon inventory approaches for estimating, as appropriate, anthropogenic forest-related GHG emissions by sources and removals by sinks, forest carbon stocks and forest area changes.[30]
- Provide estimates that are transparent, consistent, as far as possible accurate, and that reduce uncertainties, taking into account national capabilities.[31]
- Make certain results are available and suitable for review, as agreed by the Conference of the Parties.[32]

It is good practice for forest monitoring systems to:

- Build upon existing systems, as appropriate.
- Enable the assessment of different types of forest in the country, including natural forest, as defined by the party.
- Be flexible, allow for improvement and reflect, as appropriate, the phased-approach.[33]
- Identify potential sources of uncertainties to the extent possible.
- Include monitoring and reporting of emissions displacement at the national level, if appropriate, and reporting on how displacement of emissions is being addressed, and on the means to integrate subnational monitoring systems into a national monitoring system.[34]

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[26] Relevant UNFCCC decisions on forest monitoring systems and measurement, reporting and verification include 2/CP.13, 4/CP.15, 1/CP.16 (paragraphs 69–71, specifically paragraph 71(c) and appendix II paragraphs (b) and (c), 2/CP.17 paragraph 64 and 12/CP.17 and Draft conclusions contained in FCCC/SBSTA/2012/L.31. Countries should also be consistent with relevant UNFCCC decisions on reporting and verification of nationally appropriate mitigation actions by developing countries in National Communications (every four years, with biennial updates (every two years)), contained in decisions 1/CP.16, paragraphs 60-64 and decision 2/CP.17 paragraphs 12-31 and Annex 3 and 4.

[27] IPCC Good Practice Guidance for Land Use, Land-Use Change and Forestry (2003), IPCC Guidelines for National Greenhouse Gas Inventories, Volume 4 Agriculture, Forestry and Other Land Use (2006).

[28] Recognizes that developing country Parties in establishing forest reference emission levels and forest levels should do so transparently taking into account historic data, and adjust for national circumstances.

[29] Decision 1/CP.16, paragraph 71 (c).

[30] Decision 4/CP.15, paragraph 1 (d) (i).

[31] Decision 4/CP.15, paragraph 1 (d) (ii).

[32] Decision 4/CP.15, paragraph 1 (d) (iii).

[33] As referred to in decision 1/CP.16, paragraphs 73 and 74.

[34] 1/CP.16, paragraph 71 (c), footnote 7.

- Provide data and information used in the estimation of anthropogenic forest-related emissions by sources and removals by sinks, forest carbon stocks, and forest carbon stock and forest-area changes that are transparent, consistent over time and with the established REL/RL.
- Express the results from the implementation of activities measured against the REL/RL in tonnes of carbon dioxide equivalent.
- Assess the existing capabilities and provide information on planned stepwise evolution from their current capacity towards an enhanced monitoring system capable of monitoring REDD+ activities.

Countries may also wish to provide information identifying current gaps and additional needs, such as data, resource and technical capacity needs.

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

Rationale: This component specifies the non-carbon aspects prioritized for monitoring by the country (e.g., key quantitative or qualitative variables representing rural livelihoods enhancement, conservation of biodiversity, ecosystem services provision, key governance factors directly pertinent to REDD+ implementation in the country, and the impacts of the REDD+ strategy on the forest sector). The system should be capable, or at least in an early operational stage, of reporting how safeguards are being addressed and respected during the implementation of REDD+ preparation activities, with due attention to the specific monitoring provisions included in the country's ESMF.

Assessment criteria and diagnostic questions:

32) Identification of relevant non-carbon aspects, and social and environmental issues
- How have relevant non-carbon aspects, and social and environmental safeguard issues of REDD+ preparations been identified? Are there any capacity building recommendations associated with these?

33) Monitoring, reporting and information sharing
- What evidence is there that a transparent system for periodically sharing consistent information on non-carbon aspects and safeguards has been presented and is in at least an early operational stage?
- How is the following information being made available: key quantitative and qualitative variables about impacts on rural livelihoods, conservation of biodiversity, ecosystem services provision, key governance factors directly pertinent to REDD+ preparations, and the implementation of safeguards, paying attention to the specific provisions included in the ESMF?

34) Institutional arrangements and capacities
- Are mandates to perform tasks related to non-carbon aspects and safeguards clearly defined?
- Have associated resource needs been identified and estimated (e.g., required capacities, training, hardware/software, and budget)?

Guidance Notes:
Countries should draw upon the outcomes of dialogues with key stakeholders and the documentation produced during the formulation and implementation of the R-PP, including SESA, and ESMF. The

information system should be consistent with relevant UNFCCC guidance[35], applicable World Bank and/or other Delivery Partner safeguard policies as provided for under the Common Approach, and other relevant safeguard processes (such as the Convention of Biodiversity process on biodiversity safeguards).

Countries should describe the information system for multiple benefits, other impacts, governance, and safeguards, including the roles and responsibilities of national institutions for the design and implementation of the system. Countries may not be able to finalize the design of the information system due to lack of explicit UNFCCC guidance.[36] Thus, a full information system may have to be developed gradually, with further refinements made later on. Some countries may wish to integrate their national forest monitoring system and information system for multiple benefits, other impacts, governance, and safeguards as one system, or to develop two separate monitoring systems.

UNFCCC guidance:

- Provide transparent and consistent information that is accessible by all relevant stakeholders and updated on a regular basis.
- Be transparent and flexible to allow for improvements over time.
- Provide information on how all of the safeguards referred to in Appendix I to decision 1/CP.16 are being addressed and respected.
- Be country-driven and implemented at the national level.
- Build upon existing systems, as appropriate.[37]

If a stepwise approach is envisioned, it is good practice to describe the timeframe in which the phases will be developed and the key outcomes expected. It is also good practice to:

- describethe role of relevant stakeholders in the information system, including the effective and appropriate participation of civil society, Indigenous Peoples, forest dwellers, and other stakeholders in community-based participatory monitoring and information systems or independent monitoring and review.
- consider use of a forest governance assessment framework to assist in providing information on governance.

Countries may also wish to provide information identifying current gaps and additional needs, such as data, resource and technical capacity needs.

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[35]Decision 1/CP.16, paragraph 71(d) and Appendix I, Decision 12/CP.17 paragraphs 1-6, Decision 1/CP.18 paragraph 40.
[36]SBSTA will continue considering issues related to safeguard information systems (including the timing and frequency of summaries from REDD+ countries on safeguards) and plans to conclude its consideration at SBSTA 39 (2013).
[37] Decision 12/CP.17 paragraphs 2(b)-(f).

ANNEX II: Basic steps of the multi-stakeholder self-assessment

The following section provides the basic steps for the multi-stakeholder self-assessment, and draws from existing good practices.[38]

Preparing for the assessment

i.   *Identification of organizing team, facilitator, and sponsor.*

- The organizing team is tasked with overseeing the assessment, including managing the process, preparing background materials, compiling reports and disseminating information. The team may also convene or oversee the stakeholder consultations, or a separate facilitator could be tasked to perform this role.

- The facilitator requires the skills to run a productive, participatory stakeholder process. The organizer/facilitator should have expertise in the sector, including some level of knowledge of local issues, familiarity and credibility with stakeholders in order to encourage them participate and accept the process as fair.

- A sponsor can give official standing to the assessment and bring recognition to the outcome.

- These three roles could be fulfilled by the same or separate entities. The assessment may be organized, facilitated, sponsored and funded by the Government. It is also conceivable that a bilateral development partner or non-government organization jointly conducts the assessment or is delegated the task by the Government to organize or facilitate the process.

ii. *Development of a process and schedule, and allocation of a budget*.

- An efficient and effective way to conduct the self-assessment is through a multi-stakeholder event/s using mechanisms that were established or enhanced during the readiness preparation phase (e.g., working groups, committees, taskforces or other fora that have a representative cross-section of stakeholders). However, it may not always be possible, appropriate or efficient to hold a single national multi-stakeholder event and the assessment may be performed through a series of events, possibly with regional or issue-specific focus (e.g., on governance, safeguards, REL/RL, MRV etc.), or via workshops, working groups, field visits, focus groups, stakeholder interviews, public comment periods, (etc.), or a combination of different formats.

- To ensure consistency in approach, countries may wish to arrange an initial inception workshop to consider interconnectedness of the R-Package components, before breaking into clusters and then reconvene to discuss the findings and cross-cutting issues.

- Where possible, the multi-stakeholder process should be combined with other relevant consultations (and some topics may have already been covered during earlier consultations). Countries should consider how to draw on existing national arrangements to perform the assessment (as used for the SESA, national monitoring and evaluation processes, or

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[38]See for example PROFOR Framework for Assessing and Monitoring Forest Governance; CCBA/CARE International REDD+ Social &Environmental Standards; UN-REDD Participatory Governance Assessments; or other, but not limited to, assessment frameworks identified in Annex I of FMT Note 2012-10.

international assessment frameworks).[39] The chosen process and timeline for the multi-stakeholder assessment should be made publicly available.

- Countries should also ensure an adequate budget is allocated to fund the assessment process. Preparation of the R-Package is not expected to require significant funds. The R-Package document is to be produced at a stage when the majority of readiness activities are well advanced or completed, and participatory and consultative approaches were used to perform them. In that sense, producing an R-Package will largely entail the compilation and synthesis of previously prepared information, and a national multi-stakeholder consultation exercise.

iii.   *Identification of stakeholder participation.*

- Participants of the assessment should include a representative cross-section of relevant stakeholders identified using mechanisms that were established or enhanced during the readiness preparation phase. Countries may need to update stakeholder representation, where relevant (e.g., to reflect current stakeholder interests) or wish to expand participation (e.g., to include technical experts or the private sector), as appropriate. The role of the respective participants in the assessment process should be identified and communicated.

- It is important that the approach to generate the assessment's outcome is based on the practices that were established for stakeholder consultations during the readiness preparation phase. Countries may also wish to consider additional assessment components, such as expert/independent inputs or review.

Conducting the assessment

iv.   *Preparation of stakeholder events (e.g., workshops or focus groups).*

- Participants may need to adapt the Assessment Framework to the country-specific context. This may involve translating the Assessment Framework into relevant languages or culturally appropriate formats. Countries may also choose to tailor the Assessment Framework to more accurately/meaningfully reflect country circumstances, for example by including country specific terms[40] or additional criteria or diagnostic questions to the Assessment Framework (e.g., on the basis of previously identified issues in the Assessment Note for FCPF grant allocation or other issues that have emerged during readiness formulation or preparations).

- All inputs to the assessment process will need to be compiled. This includes preparing background materials (e.g., documents summarizing the readiness preparation process, the assessment criteria, the assessment methodology and other information relevant to performing the assessment) and collating relevant documents or outputs of readiness preparation process (the national REDD+ strategy; information on the REL/RL, MRV system, safeguards (including the ESMF and FGRM; and other supporting documentation as required). Inputs should be made publically available in advance of the multi-stakeholder assessment process.

v.   *Facilitation of the assessment process.*

- With stakeholders informed of the assessment methodology and relevant background material provided, the multi-stakeholder assessment process should aim to arrive at progress indicators

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[39]See footnote 38.
[40]Countries should draw from existing definitions and guidelines, e.g., as available for the R-PP or within the specific country context.

(color scores) for the subcomponents as well as discuss strengths and weaknesses of the country's progress, and actions (and priorities) for further improvements.

Communicating and disseminating the assessment outcomes

vi.   *Synthesis of outcomes*.

- It is important to capture the process, discussions and outcomes in a multi-stakeholder self-assessment report. Key elements include:

    i.   Summary of the multi-stakeholder process and discussions; and

    ii. The assessment results: progress indicators (color scores) for the nine subcomponents; significant achievements and areas requiring further development; and actions that address identified areas for further work.

vii. *Dissemination* and *validation*.

- Countries should publicly disseminate all inputs, outputs and outcomes, in a culturally appropriate manner. Countries may wish to allow for multi-stakeholder or independent validation (of accuracy and completeness) of the draft multi-stakeholder self-assessment report before finalization.