



Forest Carbon Partnership Facility

4. Readiness Package Purpose and Assessment Approach: Feedback and the Way Forward

Eleventh Meeting of the Participants Committee (PC11)

Asunción, Paraguay

March 28-30, 2012

Readiness Package: Concept

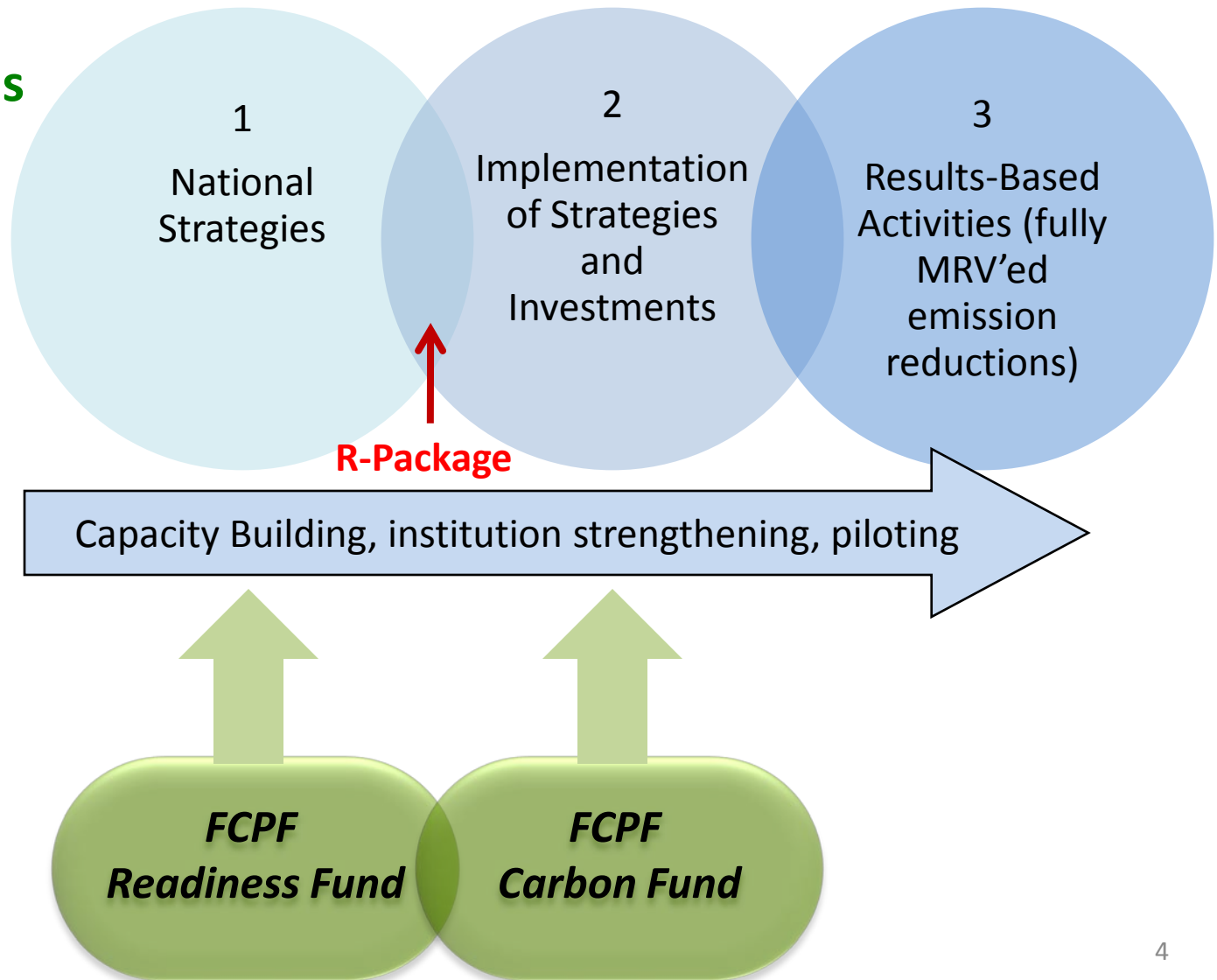
- PC10: FMT was asked to draft a R-Package Concept Note
 - Define Purpose, Scope, and Content
 - Develop Draft Assessment Framework
 - FMT Note 2011-14 posted for comments on Dec. 31, 2011
 - Comment Period Jan. /Feb. 2012
- Feedback on Concept Note
 - Limited response from REDD+ Countries
 - Roughly 10% of total comments
 - **How can REDD+ countries' ownership in the process increase?**
 - Multiple and often diverging views on key aspects
 - Purpose
 - PC endorsement
 - Assessment Framework

Readiness Package: Context

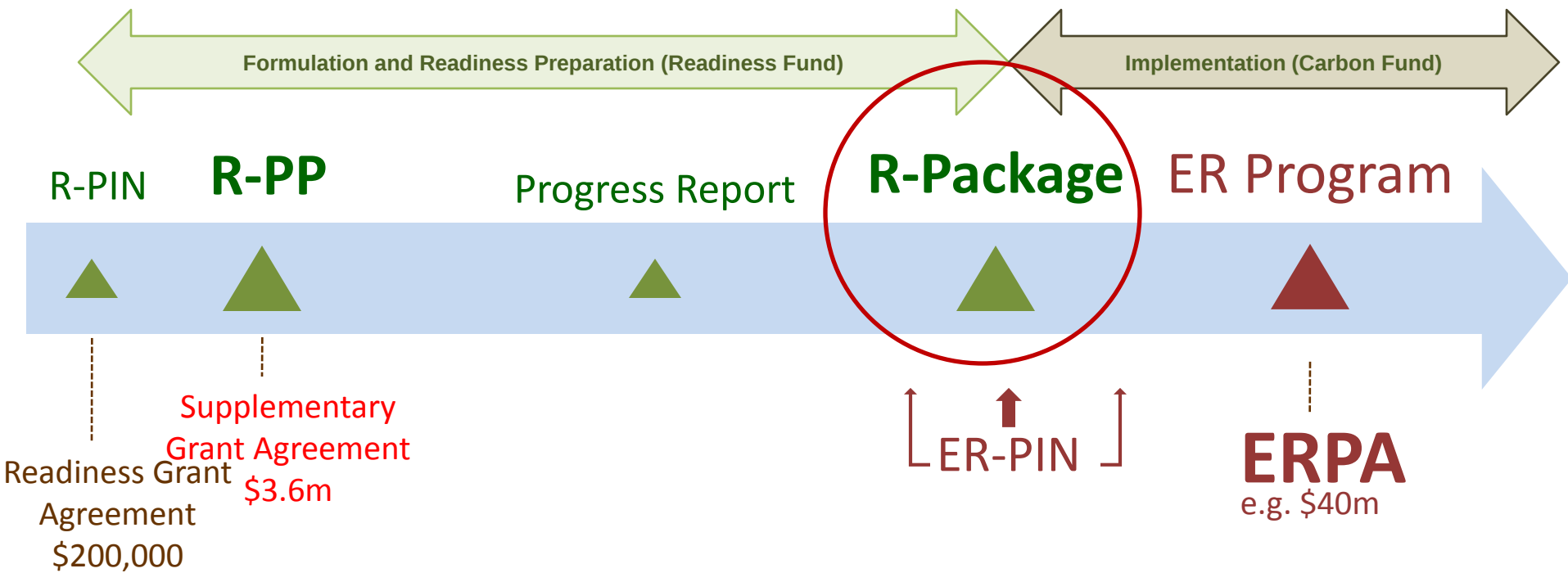
- **FCPF Charter states**
 - R-Package is defined as milestone of Readiness preparation
 - R-Package submission is voluntary
 - REDD Country Participants may request PC endorsement
 - TAP makes recommendations to the PC
 - PC ‘Endorsement’ is required before signing a Emissions Reduction Payment Agreement (ERPA) with FCPF Carbon Fund
- **The practice of Readiness Preparation shows that**
 - Countries receive Readiness support from a variety of sources
 - R-PPs are not exclusively funded by FCPF
 - Countries have different pre-existing capacities and make progress at a different pace
 - COP decisions tend to lag practical experiences on the ground
 - FCPF is piloting Readiness and R-PPs are more detailed and focused on implementation compared to the Readiness framework under UNFCCC

R-Package is produced towards the end of 'phase 1'

3 REDD+ Readiness Phases (per Cancun Agreements)



From Readiness to Performance Payments: R-Package is a Major Milestone



R-Package Content is based on R-PP sub-components

1. Readiness Organization and Consultation

- a. National REDD management arrangements
- b. Consultation, Participation, and Outreach

2. REDD+ Strategy Preparation

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

3. Reference Levels

4. Monitoring Systems for Forests and Safeguards

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

R-Package Concept Note: Proposed Draft Assessment Framework

- **Assessment Framework based on a Standards approach**
 - Similar to assessment of R-PPs
 - TAP review
 - Standards provide benchmarks to assess progress
 - Guides REDD countries in Readiness preparation
- **Two categories of assessment proposed for each standard**
 - “partially met”
 - “significantly advanced”
- **Overarching principles that cut across all standards**
 - Participatory approach is applied
 - Capacity building is promoted
 - Action plans are budgeted
 - REDD+ actions are monitored and evaluated
 - Common Approach to Safeguards is applied to overarching/cross-cutting issues
 - Consistency with UNFCCC

Example of Draft Standard from Concept Note: R-Package Component 1a. National REDD+ Management Arrangements “significantly advanced”

- “National REDD+ institutions and management arrangements are **substantially and consistently engaging** key stakeholders*, and **consistently and transparently sharing** information;
- are **leading** the national readiness process, based on a **formal mandate and with sufficient budget**; and
- **are demonstrating** capacity to influence the design and implementation of national policies relevant to REDD+;
- including across sectors and different levels of government.”

*key stakeholders is defined as: government agencies that influence land use decisions, forest-dependent Indigenous Peoples and other forest-dependent local communities, civil society, and private sector);

Example of Draft Standard from Concept Note: R-Package Component 1a. National REDD+ Management Arrangements “significantly advanced” (Cont.)

- “Institutions and arrangements are **effectively supervising** technical preparations relevant to REDD+; and
- **have the capacity** to receive and manage REDD+ funds from various sources.
- A mechanism for feedback and grievance redress **is functioning**, and its relationship to the national REDD+ management arrangements **is clear.**”

Summary of Feedback FMT Note 2011-14:

Points of General Agreement

A. General Role in the Readiness Process

- Consistency with COP decisions
- Readiness is continuous process; a clear end is difficult to define
- R-Package is an organizing framework for Readiness activities, piloting and investments
- Consistency and synergy with UN-REDD is important

B. Scope and purpose; relation to the Carbon Fund

- Encompass complete set of Readiness activities
- Building on R-PP provides continuity and consistency
- Multiple purposes: (i) domestic self-assessment, (ii) show commitment and consistency internationally

Summary of Feedback FMT Note 2011-14: Points of General Agreement (cont.)

C. Assessment approach and component standards

- Build on R-PP review standards and use of TAP
- Standards in Concept Note are abstract, complex and ambitious, more guidance is needed
- Feedback to countries is important to identify gaps

D. Submission and review process

- Assessment should occur at national level (self-assessment) and internationally (TAP, PC)
- R-Package is a single document drawing on readiness work output
- Implementation of FCPF fund is tracked by Delivery Partner

Summary of Feedback FMT Note 2011-14: Diverging and Multiple Views

A. General Role in the Readiness Process

- i. Is the R-Package a hurdle or an opportunity?
 - A 'requirement' some countries may not meet, or
 - An opportunity to show progress and attract funding
- ii. Is the R-Package over-interpreting COP decisions?
 - Useful guidance for countries' Readiness preparation; or
 - Standards too detailed and more appropriate for phase 2
- iii. Are there costs associated with producing an R-Package?
 - Largely a synthesis and validation prior to submission to PC; or
 - Broad, inclusive and costly production of a national document

Summary of Feedback FMT Note 2011-14: Diverging and Multiple Views (cont.)

B. Scope, Purpose and Relation to Carbon Fund

- i. Should the R-Package be more closely linked to the Carbon Fund, or entirely decoupled?
 - Determine eligibility to access the Carbon Fund; or
 - Define multiple standards for different purposes (e.g. could be used to access to CF as well as other donor funds vs. general Readiness progress); or
 - Perform readiness assessment independent of CF criteria
- ii. Does assessing progress on Readiness require use of a standard? Or simply a 'vision' of Readiness?
 - Define a readiness 'vision' or 'goal'; or
 - Well defined assessment benchmarks, possibly with multiple 'gradations' or 'levels' of readiness

Summary of Feedback FMT Note 2011-14: Diverging and Multiple Views (cont.)

C. Assessment Approach and Component Standards

- i. What is the appropriate level of detail for the assessment?
 - Several benchmarks to differentiate country circumstances; or
 - A single benchmark with multiple assessment elements per component;
 - Feedback in qualitative terms, or as 'grades' or 'scores'
- ii. Is the assessment primarily a opportunity to provide constructive feedback?
Or an assessment against standards for an international audience?
 - National self-assessment with focus on progress (standard is less relevant); or
 - International comparison using standards to prioritize future funding.
 - Need to prioritize or weight different components?
- iii. How can the assessment approach be made operational and most useful?
 - Detailed approach with many indicators (possibly difficult to implement); or
 - General guidance (possible room from misinterpretation)
 - How could other reporting frameworks or standards complement R-package assessment?

Summary of Feedback FMT Note 2011-14: Diverging and Multiple Views (cont.)

D. Submission and Review Process

- i. What are the outcomes of the assessment, and what does PC endorsement mean?
 - PC ascertains completeness, accuracy, and validity of country's self-assessment process; or
 - All, or sufficient number, of benchmarks is met.
 - How many times can R-Package be submitted and reviewed? How is mid-term report assessed?
- ii. What is a meaningful multi-stakeholder assessment?
 - Synthesize and validate at the national level; or
 - Define a process to assure inclusiveness and participation.
- iii. What role should the TAP play?
 - Focus on assessment of comprehensiveness, accuracy and quality; or
 - Apply benchmarks to provide targeted feedback and identify gaps.

Key Questions for PC Discussion and Guidance

1. How can REDD+ countries increase their ownership in defining the R-Package?
2. What is the **purpose** of the R-Package?
 - Provide feedback and guidance OR define benchmarks for performance payments
3. How does the PC want to define its **endorsement** of the R-Package?
 - Ascertain due process OR certain Readiness achievements
4. How can the **assessment** framework be made most operational and useful for countries?
 - General guidance OR a tool for self-assessment



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