THE KNOWLEDGE AND SKILLS NEEDED TO ENGAGE IN REDD+
A COMPETENCIES FRAMEWORK

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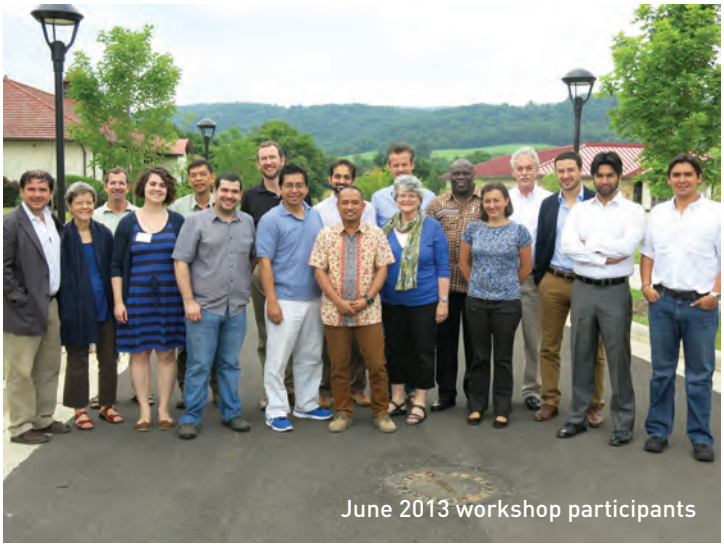
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TABLE OF CONTENTS

Acknowledgments **2**

List of Figures **4**

List of Tables **4**

Acronyms **5**

Preface **8**

Introduction **9**

How to Use this Document **10**

Section 1: Designing a Capacity Building Program to Meet the Needs of REDD+ Stakeholders **12**

Section 2: Essential Knowledge and Skills **19**

1. The Science of Climate Change and the Role of Forests 19
2. REDD+ Policies Under the UNFCCC 29
3. The Scale of REDD+: National and Sub-national Systems (Jurisdiction and Projects) and Nested Approaches to REDD+ 39
4. REDD+ Readiness 49
5. Stakeholder Engagement 61
6. Elements and Perspectives on Free, Prior and Informed Consent (FPIC) Currently Discussed in the Context of REDD+ 73
7. REDD+ Social and Environmental Safeguards 83
8. Measurement, Reporting and Verification (MRV) 93
9. Reference Levels (RLs) and Reference Emission Levels (RELs) 103
10. REDD+ Funding and Finance 113

Section 3: Case Studies on REDD+ Capacity Building Programs **121**

RECOFTC 121

CATIE 126

IUCN 131

CI 134

Glossary **139**

Bibliography **150**

LIST OF FIGURES

Figure 1. Examples of stakeholder groups 13

Figure 2. General overview of the role of forests in the global carbon cycle 22

Figure 3. Bodies of the UNFCCC 33

Figure 4. Main elements of a national REDD+ strategy 41

Figure 5. Distribution of international REDD+ incentives 43

Figure 6. The elements of REDD+ according to the Cancun Agreements 52

Figure 7. The phases of REDD+ according to the Cancun Agreements 53

Figure 8. Overview of REDD+ stakeholder engagement approaches 65

Figure 9. The four elements of FPIC 77

Figure 10. Representation of the key elements that make up an MRV system for REDD+ 96

Figure 11. General steps for the establishment of REDD+ RELs/RLs 105

Figure 12. Framework for a step-wise approach for developing forest RELs/RLs on a national and/or sub-national level in accordance with the three REDD+ phases 107

Figure 13. Financing sources for REDD+ 116

LIST OF TABLES

Table 1. Characteristics of the profile of the stakeholders 14

Table 2. Main REDD+ themes 15

Table 3. Examples of training formats 16

Table 4. Multilateral platforms for REDD+ Readiness phase 53

Table 5. Main aspects addressed in the Cancun Agreements decision 1/CP.16 appendix 1 on social and environmental safeguards 87

Table 6. Safeguards instruments contributing to REDD+ 89

ACRONYMS

A/R	Afforestation/Reforestation
ACR	American Carbon Registry
ADP	Ad Hoc Working Group on the Durban Platform for Enhanced Action
AFOLU	Agriculture Forestry and Other Land Uses
AGRC	Alliance for Global REDD+ Capacity
AR	Assessment Report
AWG-LCA	Ad Hoc Working Group on Long-term Cooperative Action
BeRT	Benefits and Risks Tools
CAN	Climate Action Network
CAR	Climate Action Reserve
CARPE	Central African Regional Program for the Environment
CATIE	Centro Agronómico Tropical de Investigación y Enseñanza
CBD	Convention on Biological Diversity
CBFF	Congo Basin Forest Fund
CBNA	Capacity Building Needs Assessment
CCAD	Central American Commission for the Environment and Development
CCBA	Climate, Community and Biodiversity Alliance
CCI	Climate Change Initiatives
CDM	Clean Development Mechanism
CER	Certified Emission Reductions
CI	Conservation International
CICA	Consejo Indígena Centroamericano
CIFOR	Center for International Forestry Research
CIMA	Consejo Indígena Mesoamericano
CMP	Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol
COP	Conference of the Parties
DRC	Democratic Republic of Congo
ERPA	Emission Reduction Purchase Agreement
ESARO	East and Southern Africa Regional Office
ESMF	Environmental and Social Management Framework
FAO	Food and Agriculture Organization
FCMC	Forest Carbon, Markets and Communities
FCPF	Forest Carbon Partnership Facility

FIP	Forest Investment Program
FONAFIFO	Fondo Nacional de Financiamiento Forestal
FPIC	Free, Prior and Informed Consent
GCF	Green Climate Fund
GEF	Global Environmental Facility
GHG	Greenhouse gas
GIZ	German Society for International Cooperation
GTA	Ghana Timber Association
GTMO	Ghana Timber Millers Organization
HRBA	Human Rights-Based Approach
IISD	International Institute for Sustainable Development
ILO	International Labor Organization
INCCC	Indonesia National Council on Climate Change
IPCC	Intergovernmental Panel on Climate Change
IPOs	Indigenous Peoples Organizations
ITPP	Indigenous and Traditional Peoples Program
IUCN	International Union for Conservation of Nature
JNR	Jurisdictional and Nested REDD+
LULUCF	Land Use, Land Use Change and Forestry
MEA	Millennium Ecosystem Assessment
MRV	Measurement, Reporting and Verification
NAMA	Nationally Appropriate Mitigation Actions
NGOs	Non-governmental Organizations
NOAA	National Oceanic and Atmospheric Administration
NORAD	Norwegian Agency for Development Cooperation
NPD	National Program Document
OHCHR	Office of the High Commissioner for Human Rights
PD	Project Document
PFCC	People, Forests and Climate Change
PGA	Participatory Governance Assessment
RA	Rainforest Alliance
RECOFTC	The Center for People and Forests
REDD+	Reducing Emissions from Deforestation and Forest Degradation, and the role of conservation of forest carbon stocks, sustainable management of forests and enhancement of carbon stocks

REDD+ CF	REDD+ Competencies Framework
REDD+ SES	REDD+ Social and Environmental Standards
RELs	Reference Emissions Levels
RIBCA	Bribri-Cabecar Indigenous Network
RLs	Reference Levels
R-Package	Readiness Package
R-PIN	Readiness Plan Idea Note
R-PP	Readiness Preparation Proposal
SBI	Subsidiary Body for Implementation
SBSTA	Subsidiary Body Scientific and Technological Advice
SEPC	Social and Environmental Principles and Criteria
SESA	Strategic Social and Environmental Assessment
SICA	Central American Integration System
SIS	Safeguard Information Systems
SPP	Social Policy and Practice
TNC	The Nature Conservancy
ToT	Training of Trainers
UGADEC	Union of Associations for Gorilla Conservation and Community Development in Eastern Democratic Republic of Congo
UNDP	United Nations Development Programme
UNDRIP	United Nations Declaration on the Rights of Indigenous Peoples
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNPFII	United Nations Permanent Forum on Indigenous Issues
UN-REDD	United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries
USAID	United Stated Agency for International Development
VCS	Verified Carbon Standard
WCMC	World Conservation Monitoring Centre
WEDO	Women's Environment and Development Organization
WG	Working Group
WMO	World Meteorological Organization
WWF	World Wide Fund for Nature

PREFACE

As the global community seeks to ratchet down greenhouse gas emissions and enhance sequestration efforts, reducing emissions from deforestation and forest degradation (REDD+) has become an important component in climate change mitigation. Greenhouse gas emissions from tropical deforestation are approximately equal to the emissions from all forms of transportation combined. Tropical forests are also essential to the livelihoods of millions of people and much of the world's biodiversity, and REDD+ is a crucial mechanism for forest protection, conservation, and sustainable management.

There is an increasing need and demand for more information to support engagement in REDD+ among all stakeholder groups. Although the information and guidance related to REDD+ has expanded as awareness and research has ramped up, there are still limited resources that present an overview of the skills and expertise required for a range of REDD+ issues. *The Knowledge and Skills Needed to Engage in REDD+: A Competencies Framework* aims to fill the gap for those who need a broad understanding of REDD+ themes—from designing capacity building programs that meet the needs of stakeholders, to REDD+ funding and finance, as well as many other vital issues in between.

This hands-on tool is designed to be expansive in scope, addressing critical REDD+ themes, including overviews of essential knowledge and detailed resources, such as policy context and key terms. The framework, the most comprehensive of its kind to-date, links experiences and insights from many well-respected organizations, including Conservation International, the International Union for Conservation of Nature (IUCN), the Tropical Agricultural Research and Higher Education Center (CATIE) and the Center for People and Forests (RECOFTC), in order to deliver the tools and guidance that is needed for REDD+ development and implementation.

The Forest Carbon, Markets and Communities (FCMC) Program, through the support of the United States Agency for International Development (USAID), is proud to have provided both financial and technical assistance to the REDD+ Competencies Framework. This modular document provides an important base that can be expanded and updated to reflect the evolution of REDD+. USAID and FCMC trust that *The Knowledge and Skills Needed to Engage in REDD+: A Competencies Framework* will bolster REDD+ efforts across the globe and stimulate informed discussion, design and implementation for many future REDD+ activities.

Sincerely,

Diane Russell
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Olaf Zerbock
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INTRODUCTION

Tropical deforestation represents between 6 and 17 percent (Baccini et al., 2012; Harris et al., 2012) of all anthropogenic greenhouse gases (GHGs). Successfully reducing this major source of emissions is an essential part of humankind's response to climate change and could simultaneously provide enormous benefits for biodiversity and for the people whose livelihoods directly depend on the forest. Yet changing the entrenched ways in which forests are used is a monumental task, with potential risks as well as potential benefits. Dramatically new approaches to managing forested land are needed and this requires building new capacities among a wide range of stakeholders to ensure that the new mechanisms are just, technically sound, and sustainable over time.

Throughout the development of the REDD+ mechanism, governments and civil society have emphasized the need for building capacity and significant investments have been made to support this. Major initiatives like the Forest Carbon Partnership Facility (FCPF), the UN-REDD Programme, bilateral aid programs, and REDD+ country governments have invested hundreds of millions of dollars in the preparations for REDD+. Yet there is still a great need to reach a wider set of stakeholders to ensure that all of those who are potentially affected have the knowledge and skills needed to contribute to the development of the REDD+ mechanism.

The literature related to REDD+ has rapidly grown in recent years and detailed guidance is now available about many of the different aspects of REDD+, including the technical elements of how to account for the emissions from forests, how to promote participation among various stakeholder groups, and how to ensure positive social and environmental performance. There are few publications, however, that present an overview of the skills and knowledge required for a wide range of issues related to REDD+. This gap presents a challenge for those who need a broad understanding of all REDD+ themes, for example, someone who is responsible for designing capacity building programs or someone who must identify qualified individuals to work on specific aspects of a REDD+ program. This document is aimed at filling that gap.

This competencies framework is designed to be broad in scope, addressing ten of the main thematic areas related to REDD+. For each of these themes, it includes an overview of important knowledge, including the policy context and key terms. Definitions from authoritative sources were used to define these terms to help reduce the confusion that arises when stakeholders have different understandings of basic concepts. Each theme also describes some of the key skills that are needed for more detailed engagement on that topic. This document is designed to be a broad reference and not a detailed manual on any of the themes. A list of references of specialized resources is provided for each theme.

The REDD+ mechanism is most prominently being designed under the United Nations Framework Convention on Climate and Climate Change (UNFCCC), and this document makes frequent references to policy decisions and definitions that have been created through the UNFCCC process. Important advances are being made through other forums, including bilateral agreements between developed and developing countries, and through voluntary private sector offsetting programs. For some users, these other frameworks for REDD+ are more directly relevant than the UNFCCC. In almost all cases, however, the concepts that are being debated in the UNFCCC are equally relevant to other frameworks for REDD+. Stakeholders who understand the UNFCCC process are well placed to ensure that other REDD+ initiatives address the key issues that are being debated at the global level, and will be better able to ensure that REDD+ programs are compatible at all scales.

HOW TO USE THIS DOCUMENT

This document is a hands-on tool designed to provide an overview of the essential knowledge, skills and resources required to engage on ten major REDD+ themes. It is not an exhaustive treatment of these themes, but is instead meant to be a single source that highlights the key issues for a broad range of themes. It consists of three sections:

1. Designing Capacity Building Programs to Meet the Needs of REDD+ Stakeholders,
2. Essential Knowledge and Skills,
3. Case Studies on the Design of Capacity Building Programs for REDD+.

Section 1: Designing Capacity Building Programs to Meet the Needs of REDD+ Stakeholders

This section provides a set of guidelines and resources that will help the user to understand the target audience, to define the REDD+ themes of interest to this audience, and to develop a capacity building plan based on those needs.

Section 2: Essential Knowledge and Skills

In the Section of "Essential Knowledge and Skills," each REDD+ theme is organized in five subsections: a general competency statement, knowledge, skills, important things to remember, and resources and tools. Stakeholders who master the information and skills presented in each section should be well-placed to engage in the development and implementation of major aspects of REDD+. Figure 2 describes the organization of each of the REDD+ themes presented in Section 2.

Theme

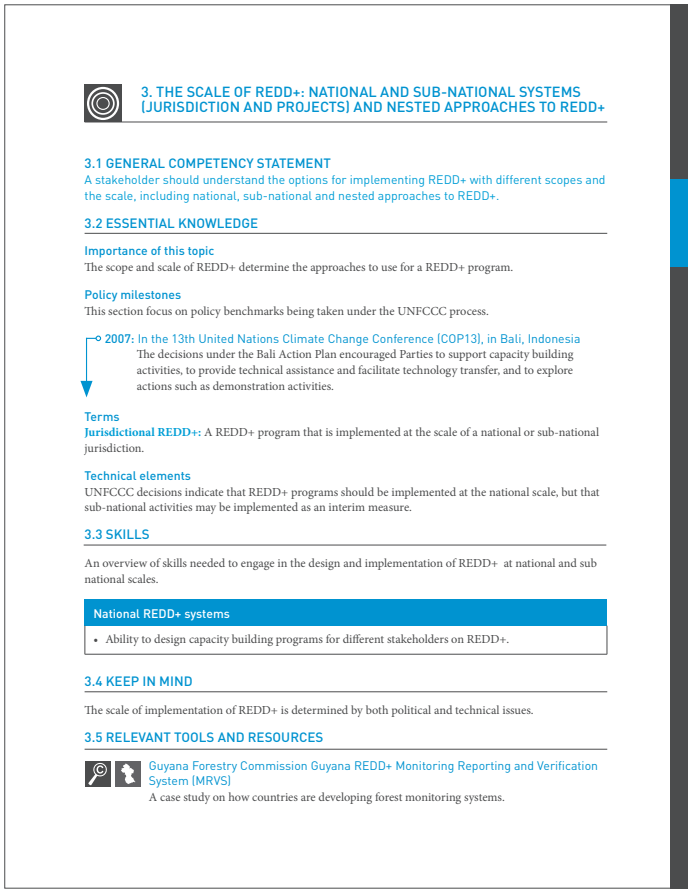
Part 1. A statement about the relevant knowledge and skills that a stakeholder should have to engage in the design and implementation of REDD+ activities.

Part 2. Includes a brief description of the importance of the theme; an overview of UNFCCC policy milestones, and a list of key terms and definitions related to the theme. There is also an overview of conceptual elements.

Part 3. Summarizes important skills needed to be able to design or implement the elements of the theme.

Part 4. Presents a list of important things to remember.

Part 5. Presents a list of key technical and policy documents, tools and training manuals that provide detailed information about the theme.



3. THE SCALE OF REDD+: NATIONAL AND SUB-NATIONAL SYSTEMS (JURISDICTION AND PROJECTS) AND NESTED APPROACHES TO REDD+

3.1 GENERAL COMPETENCY STATEMENT
A stakeholder should understand the options for implementing REDD+ with different scopes and the scale, including national, sub-national and nested approaches to REDD+.

3.2 ESSENTIAL KNOWLEDGE

Importance of this topic
The scope and scale of REDD+ determine the approaches to use for a REDD+ program.

Policy milestones
This section focus on policy benchmarks being taken under the UNFCCC process.

2007: In the 13th United Nations Climate Change Conference (COP13), in Bali, Indonesia
The decisions under the Bali Action Plan encouraged Parties to support capacity building activities, to provide technical assistance and facilitate technology transfer, and to explore actions such as demonstration activities.

Terms
Jurisdictional REDD+: A REDD+ program that is implemented at the scale of a national or sub-national jurisdiction.

Technical elements
UNFCCC decisions indicate that REDD+ programs should be implemented at the national scale, but that sub-national activities may be implemented as an interim measure.

3.3 SKILLS

An overview of skills needed to engage in the design and implementation of REDD+ at national and sub national scales.

National REDD+ systems
- Ability to design capacity building programs for different stakeholders on REDD+.

3.4 KEEP IN MIND

The scale of implementation of REDD+ is determined by both political and technical issues.

3.5 RELEVANT TOOLS AND RESOURCES

Guyana Forestry Commission Guyana REDD+ Monitoring Reporting and Verification System (MRVS)
A case study on how countries are developing forest monitoring systems.

Section 3: Case Studies on the Design of REDD+ Capacity Building

The final section provides case studies on REDD+ capacity building experiences from four international organizations (CATIE, CI, RECOFTC and IUCN). Each case study provides a description of the organization, the thematic areas covered, target audiences, the types of trainings done, and a summary of challenges. The case studies conclude with recommendations for the design of future capacity building activities for REDD+.

Applications and use of the competencies framework

The target audience for the REDD+ Competencies Framework includes organizations that design trainings about REDD+ for a wide range of stakeholders. This includes government representatives at all levels, indigenous peoples and local communities, private sector project developers, and others who are potentially affected by REDD+.

This competencies framework may also be useful for leaders who seek to identify the knowledge and skills that their organizations need to engage in the design and implementation of REDD+. For example, a government official in charge of building a team to address the various REDD+ themes could draw from the competencies to develop terms of reference for personnel.

Using the Symbols

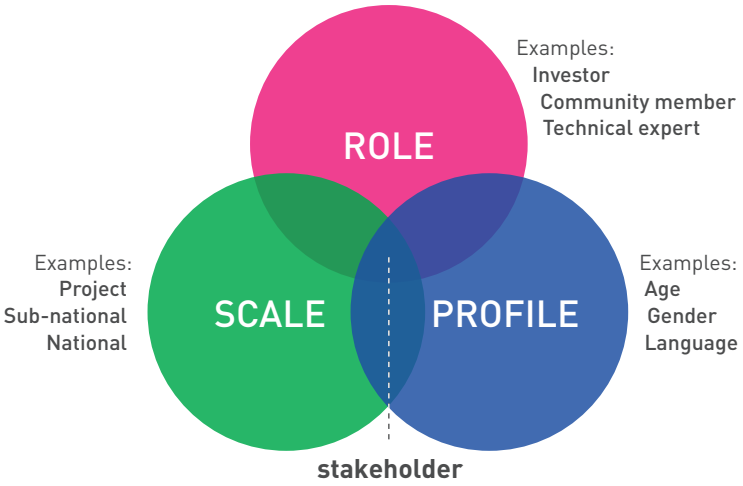
Type of Resource	Geography	Topic
book/manual	global	forests
case study	regional	policy
paper	national	scale
training tools	sub-national	readiness
training course		stakeholder engagement
website/electronic resource		FPIC
policies/negotiation text		safeguards
standards/guidelines		MRV
		RLs/RELs
		funding

Section 1: **Designing a Capacity Building Program to Meet the Needs of REDD+ Stakeholders**

This section provides guidance for designing capacity building activities to fit the specific needs of the target audience. REDD+ is complex and stakeholders may play one or more roles during its construction and implementation. Understanding these roles and the related competencies that stakeholders need is essential for the the design of the capacity building program.

Three key steps will facilitate the design of the capacity building program:

1. UNDERSTAND THE TARGET AUDIENCE



2. DEFINE THE REDD+ THEMES OF INTEREST

1. The Science of Climate Change and the Role of Forests
2. REDD+ Policies Under the UNFCCC
3. The Scale of REDD+
4. REDD+ Readiness Process
5. Stakeholder Engagement
6. Perspectives on FPIC
7. REDD+ Social and Environmental Safeguards
8. Measurement, Reporting and Verification
9. Reference Levels and Reference Emission Levels
10. REDD+ Funding and Finance

3. DEVELOP A CAPACITY BUILDING PLAN

Based on training needs, a plan may include resources needed, schedule of activities, and format to be used.

Examples of Training Formats

- Short-term capacity building initiatives
- Long-term capacity building initiatives (e.g. long-term mentoring of individuals)
- In-person trainings (e.g. workshops or short-term courses)
- Online courses
- Production of training materials (e.g. posters/flyers/books/manuals)
- Radio/TV
- Others

1. Understand the target audience

This section provides an overview of some of the key stakeholder characteristics that are useful to know when designing a capacity building initiative. These characteristics can be useful for deciding the level of detail and the capacity building format to apply. As noted earlier, however, REDD+ stakeholders often play multiple roles, and have diverse levels of understanding, even within groups that share characteristics. The classifications used in this section are therefore only a starting point, and more detailed assessments of capacity building needs are often necessary. Other guidance exists for conducting detailed needs assessments.

Also note that this competencies framework does not provide guidance on determining which stakeholders should participate in capacity building activities. Other resources provide important guidance on ways to engage the most appropriate stakeholders and ensure their participation.

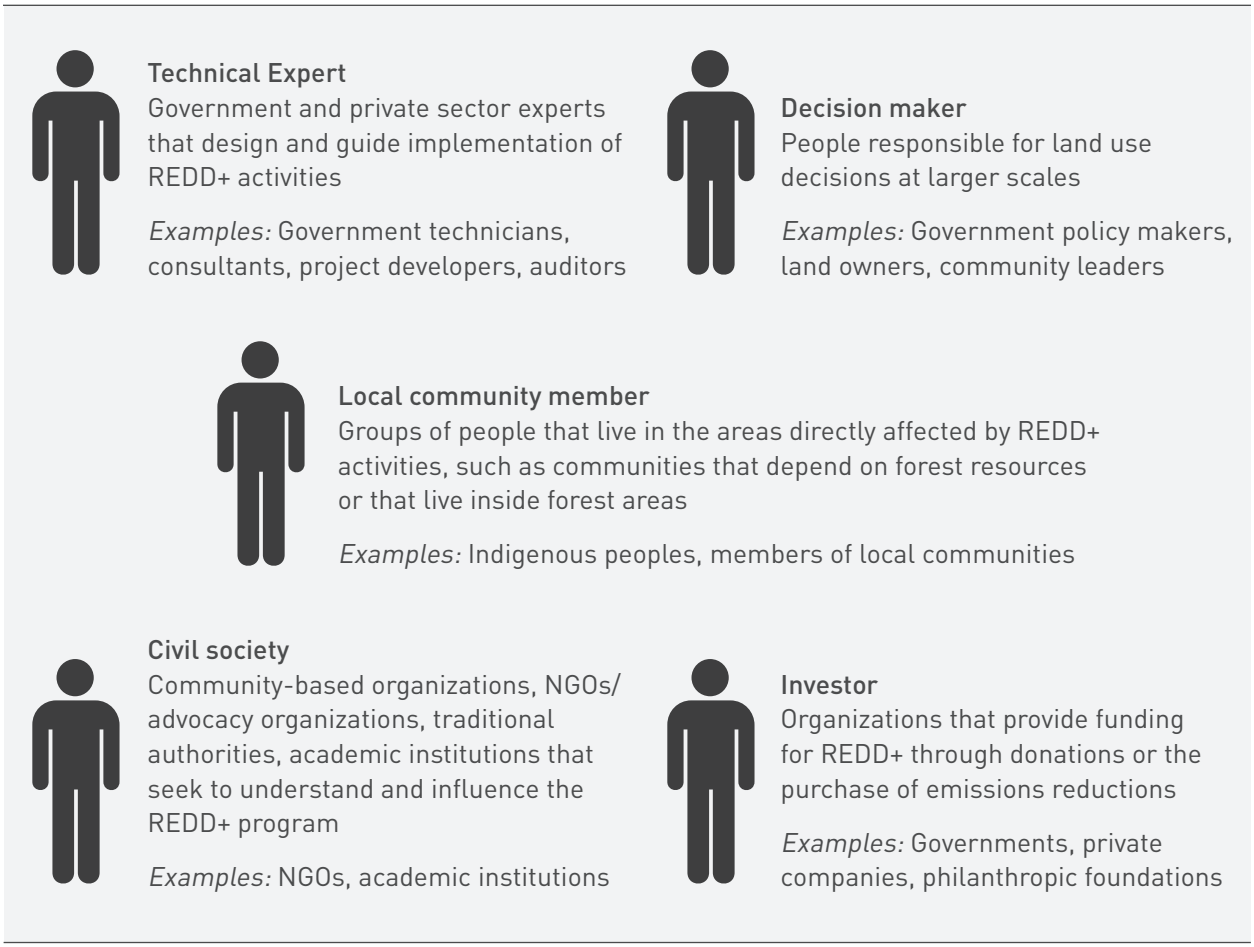


Figure 1. Examples of stakeholder groups

We recommend documenting the roles of participants as well as other basic information that may help to determine the level of detail and format of the capacity building initiative. Where possible, the self-identification by the participants may lead to a better understanding of their background and needs than would otherwise be possible. Some useful characteristics are described in Table 1.

Table 1. Characteristics of the profile of the stakeholders

Characteristic	**Description** (examples)
Gender	Man/woman
Age range (years)	Between 5-12, between 12-20, etc.
Educational level	Primary school, secondary school, university, previous REDD+ training, etc.
Languages spoken	English, Spanish, Bahasa, French, local languages, etc.
Previous REDD+ experience	Participation in other training, relevant professional experience, etc.
Educational methods preferred	One-day workshop, three-day workshop, field trips, radio programs, written materials, etc.
Reasons for engaging on REDD+	Participate in policy discussion, build a GHG inventory, design capacity building activities, etc.

REDD+ includes activities that occur across a wide range of scales, from the local to the international level. Understanding the scale at which a stakeholder will engage is also important. The following levels may also be helpful for characterizing stakeholders:

International: stakeholders who participate in the design and implementation of global or bi/multilateral REDD+ policies such as through the UNFCCC.

National: stakeholders who participate in the design and implementation of REDD+ activities at the national scale, for example in the national REDD+ Readiness process.

Sub-national: stakeholders who participate in the design and implementation of REDD+ activities occurring at a regional level through, for example a nested REDD+ framework.

Project: stakeholders who participate in the implementation or design of REDD+ activities at the site level, for example through a forest carbon project.

Stakeholders may engage at more than one scale. Understanding the linkages between scales—for example, the ways in which REDD+ projects fit into a national REDD+ system—is essential, and it is often useful to bring perspectives from people who work at different scales into capacity building activities. This type of stakeholder engagement is important for vertical harmonization of information channels; this means that stakeholders can mainstream the messages across different scales. This first step of defining the scale of engagement will help to target specific groups to consider involving and understanding the audience to be engaged. Figure 1 (on page 13) shows some stakeholder groups to consider involving when defining the scale of engagement. Remember the groups below are just an example and are the transition between this step and the next step which consists of identifying and characterizing the profile of the stakeholders.

2. Define the REDD+ theme and areas of interest

When the profile of the participants is understood, the next step will be the selection of the REDD+ themes that will be the focus of the capacity building. The REDD+ Competencies Framework includes a description of important skills and knowledge for ten major themes (Table 2).

Table 2. Main REDD+ themes

Themes
1. The Science of Climate Change and the Role of Forests
2. Climate International Policy
3. The Scale of REDD+
4. REDD+ Readiness Process
5. Stakeholder Engagement
6. Perspectives on Free, Prior and Informed Consent
7. Social and Environmental Safeguards
8. Reference Levels and Reference Emission Levels
9. Measurement, Reporting and Verification
10. REDD+ Funding and Finance

The description for each theme includes the following:

1. A general competency statement that is an overview of the skills and knowledge that a stakeholder needs to engage on the theme
2. A description of the knowledge that stakeholders should possess about a theme, including relevant UNFCCC policy, important vocabulary, and conceptual elements of the theme
3. An overview of important skills that a stakeholder should possess to engage on the various elements of the theme
4. A list of important things to remember
5. A brief list of helpful resources and tools that can help the user of this manual to build REDD+ competencies and design capacity building activities

3. Develop a capacity building plan

Based on the results obtained from the characterization of stakeholders and the selection of thematic areas, a capacity building plan can be developed. A capacity building plan can be designed solely to implement an individual training, or it can be designed in a more elaborate way, such as for a long-term capacity building program. A plan should include financial, human, legal and material resources needed, and a schedule of activities and roles of the people participating. If the sufficient resources are not available, then it should include a strategy for obtaining them.

The first step for designing a capacity building activity is to know the purpose (why?), the goal (what will be achieved?), the audience (who?) and the objective (how will success be measured?). The objective should be specific and measurable. When defining the training objective it is recommended to state what the learning audience should be able to do at the end of the training. A good learning objective should create a change in knowledge, skills or attitudes:

Knowledge: understanding new information

Skills: having the ability to do something new or in an improved way

Attitudes: change in the ways of thinking or feeling

Well designed learning objectives should be **S.M.A.R.T.**

Specific: precisely describe what learners should achieve

Measurable: permit assessment of whether an objective is reached

Achievable: can be accomplished in the time allowed

Result oriented: should lead to a concrete result

Time bound: can be achieved in a predetermined amount of time

Another important decision is the selection of a training format that most effectively transfers information and builds skills in the target audience. Table 3 shows a range of formats, but is not comprehensive. Every case is different and creative thinking about alternative methods may lead to new and more effective formats. The format selection will depend in great part on the scale of the training, stakeholders to be included and the resources available.

Table 3. Examples of training formats

Examples of training formats	Description
Short-term capacity building initiatives	Individual workshops, short courses or individual presentations on a specific topic
Long-term capacity building initiatives	Usually capacity building programs that last from months to several years. The program can include a sequence of trainings under different formats based on the profile of different audiences, different chosen topics, the production of trainings materials and use of media sources. Long-term mentoring and technical support of individuals by an advisor can also be included
In-person trainings	Traditional trainings where one or more instructors lecture to an audience in the same location
Internet-based trainings	The use of internet tools and electronic equipment as computers, tables or cell phone to reach an audience. A moderator can participate but automated online courses can also be used
Printed training materials	Production of training materials for a specific theme based on a particular context (e.g. produced in local languages). Examples are posters, flyers, books, or manuals
Awareness-raising	Blogs, podcasts, radio programs, videos, photos, webinars and/or social networks by email exchange or internet

RESOURCES AND TOOLS

Building REDD+ Capacity in Developing Countries

A web platform for South–South REDD+ information sharing, hosted by the International Institute for Sustainable Development (IISD).

http://www.iisd.org/climate/land_use/redd/

Assessment of REDD+ Training Needs and Supply in Six Countries in the Africa and Asia-Pacific Region

A series of documents that present case studies of national REDD+ training needs assessments. From Conservation International, the Organization for International Studies and the Center for People and Forests (RECOFTC).

http://www.recoftc.org/site/resources/REDD-Training-Supply-and-Needs-Reports.php

Country Needs Assessment: A Report on REDD+ Readiness Among UN-REDD Programme and Forest Carbon Partnership Facility Member Countries

A document that provides a series of methods and case studies on REDD+ capacity building assessments.

http://www.forestcarbonpartnership.org/sites/forestcarbonpartnership.org/files/Documents/PDF/Oct2012/Country%20Needs%20Assessment%20report%20UN-REDD%20Programme%20and%20FCPF%2012%20October%202012%20(1).pdf

Pedagogy and Adult Training: A Trainer's Manual

A training manual from International Livestock Research Institute that provides guidance on the design of training activities for adults.

http://mahider.ilri.org/bitstream/handle/10568/5403/TrainersManual_content.pdf?sequence=1

A Training of Trainers Manual for REDD+ for Community-level Facilitators

A 2012 manual from RECOFTC for grassroots-level facilitators to explain the concept of REDD+ and climate change to other stakeholders, including project implementers, local communities and indigenous peoples.

http://www.recoftc.org/site/resources/REDD-ToT-Manual-for-Community-level-Facilitators.php

Climate Change and the Role of Forests

This 2010 manual from Conservation International is part of a series of products created to provide training to indigenous peoples' organizations and local communities. Includes the Training of Trainers manual and a training toolkit.

http://www.conservation.org/redd-training-of-trainers

1. THE SCIENCE OF CLIMATE CHANGE AND THE ROLE OF FORESTS

1.1 GENERAL COMPETENCY STATEMENT

A stakeholder understands the natural processes that affect climate, how human activities are impacting climate and how natural ecosystems such as forests are important to climate change adaptation and mitigation.

1.2 KNOWLEDGE

Importance of this REDD+ theme

There is unprecedented global recognition of the urgent need to address climate change. The effects of climate change have a direct impact on economies at all scales, livelihoods and ecosystems. Understanding the basics of climate change science, causes of climate change and possible solutions helps to understand the rationale behind REDD+.

Policy milestones

This section describes policy milestones from the United Nations process that are relevant for REDD+. It is important to consider that under other frameworks, such as bilateral agreements between countries, other policy benchmarks may also be important.

- **1979:** First World Climate Conference (WCC)
- **1988:** United Nations General Assembly, International Cooperation in the Field of Environment
  The Intergovernmental Panel on Climate Change (IPCC) was established by the United Nations Environment Programme (UNEP) and the World Meteorological Organization (WMO). In the same year, the UN General Assembly endorsed this action through resolution 43/53.
- **1990:** United Nations General Assembly began negotiations on a framework convention
  IPCC and second World Climate Conference call for a global treaty on climate change.
- **1991:** First meeting of the Intergovernmental Negotiating Committee (INC)
- **1992:** United Nations Conference on Environment and Development "Earth Summit," Rio de Janeiro, Brazil
  During the Earth Summit in Rio de Janeiro, concerns about climate change due to the emissions of greenhouse gases led to the establishment of the UNFCCC. The Convention is a framework for intergovernmental efforts to tackle the challenge posed by climate change. It recognized that climate change is a global problem that requires a global solution. The UNFCCC entered into force in March, 1994.
- **1997:** Conference of the Parties (COP 3), Kyoto, Japan
  As part of the Kyoto Protocol, many developed countries agreed to legally binding limitations/reductions in their emissions of greenhouse gases.

2007: Nobel Peace Prize awarded to the IPCC

In 2007 the IPCC was awarded the Nobel Peace Prize; the award is shared with former U.S. Vice President Al Gore for their efforts to build up and disseminate greater knowledge about human-caused climate change, and to lay the foundations for the measures that are needed to counteract such change.

TERMS

Adaptation: "In human systems, the process of adjustment to actual or expected climate and its effects, in order to moderate harm or exploit beneficial opportunities. In natural systems, the process of adjustment to actual climate and its effects; human intervention may facilitate adjustment to expected climate" (IPCC-SREX, 2012).

AFOLU: According to the IPCC, it is "a greenhouse gas inventory sector that covers emissions and removals of greenhouse gases resulting from activities relating to agriculture, forestry, and other land uses." Following the 2006 IPCC Guidelines for national greenhouse gas inventories, AFOLU consolidates the previous sectors LULUCF (land use, land use change and forestry) and agriculture.

Anthropogenic greenhouse emissions: Greenhouse gas emissions resulting from human activities.

Carbon Cycle: "This term is used to describe the flow of carbon (in various forms, e.g. as carbon dioxide) through the atmosphere, ocean, terrestrial biosphere and lithosphere" (IPCC-AR4, 2007).

Climate Change: "Refers to a change of climate which is attributed directly or indirectly to human activity that alters the composition of the global atmosphere and which is in addition to natural climate variability observed over comparable time periods" (UNFCCC, 1992).

Climate Variability: "Climate variability refers to variations in the mean state and other statistics (such as standard deviations, the occurrence of extremes, etc.) of the climate on all spatial and temporal scales beyond that of individual weather events. Variability may be due to natural internal processes within the climate system (internal variability), or to variations in natural or anthropogenic external forcing (external variability)" (IPCC-AR4 2007).

Deforestation: "The direct human-induced conversion of forested land to non-forested land" (UNFCCC Marrakesh Accords 2001).

Forest degradation: "The reduction of the capacity of a forest to produce goods and services. The term 'capacity' refers to the time scale and the reference state of any given forest. Although this core definition is not considered to serve as a substitute for existing definitions, it is offered to clarify the common ground between them" (FAO, 2009).

Forest: Under the Kyoto Protocol, forest is defined as "a minimum area of land of 0.05-1.0 hectares with tree crown cover (or equivalent stocking level) of more than 10-30 per cent with trees with the potential to reach a minimum height of 2-5 meters at maturity in situ. A forest may consist either of closed forest formations where trees of various stories and undergrowth cover a high proportion of the ground or open forest. Young natural stands and all plantations which have yet to reach a crown density of 10-30 per cent or tree height of 2-5 meters are included under forest, as are areas normally forming part of the forest area which are temporarily unstocked as a result of human intervention such as harvesting or natural causes but which are expected to revert

to forest" (UNFCCC Marrakesh Accords 2001). Under the UNFCCC REDD+ mechanism a common definition of forest has not been established.

Global warming: "The progressive gradual rise of the earth's surface temperature thought to be caused by the greenhouse effect and responsible for changes in global climate patterns" (UNFCCC Glossary).

Greenhouse effect: "The process by which the equilibrium temperature of the earth is increased due to presence of gases in the atmosphere that absorb and re-emit outgoing longwave radiation, slowing its loss to space" (NOAA Glossary).

Greenhouse Gas Inventory: A type of emissions inventory used to understand the sources and trends of human activities that contribute to greenhouse gas emissions in the atmosphere. A GHG inventory for REDD+ should support the construction of a national GHG inventory, which includes GHG emissions and removals from Energy; Industrial Processes; Solvents and Other Product Use; Agriculture; Land-Use Change and Forestry; and Waste sectors.

Greenhouse gases: "Greenhouse gases are those gaseous constituents of the atmosphere, both natural and anthropogenic, that absorb and emit radiation at specific wavelengths within the spectrum of thermal infrared radiation emitted by the Earth's surface, the atmosphere itself, and by clouds. This property causes the greenhouse effect. Water vapor (H_2O), carbon dioxide (CO_2), nitrous oxide (N_2O), methane (CH_4) and ozone (O_3) are the primary greenhouse gases in the Earth's atmosphere" (IPCC-AR4, 2007).

LULUCF: According to the IPCC, it is a greenhouse gas inventory sector that covers emissions and removal of greenhouse gases resulting from activities relating to land use, land-use change and forestry (from the following categories: forest land, cropland, grassland, wetlands, settlements and other land).

Mitigation: "Technological change and changes in activities that reduce resource inputs and emissions per unit of output. Although several social, economic and technological policies would produce an emission reduction, with respect to climate change, mitigation means implementing policies to reduce greenhouse gas emissions and enhance sinks" (IPCC-SRREN, 2011).

Reservoir: "A component of the climate system, other than the atmosphere, which has the capacity to store, accumulate, or release a substance of concern (e.g., carbon, a greenhouse gas, or a precursor). Oceans, soils, and forests are examples of reservoirs of carbon. Pool is an equivalent term (note that the definition of pool often includes the atmosphere). The absolute quantity of the substance of concern, held within a reservoir at a specified time, is called the stock" (FAO, 2009).

Sink: "Any process, activity or mechanism which removes a greenhouse gas, an aerosol or a precursor of a greenhouse gas from the atmosphere" (UNFCCC, 1992).

Source: "Any process or activity which releases a greenhouse gas, an aerosol or a precursor of a greenhouse gas into the atmosphere" (UNFCCC, 1992).

Other relevant terms

- Carbon Emissions Scenarios
- Drivers of Deforestation
- Milankovitch cycles
- Precession
- Uncertainty
- Climate Model

Elements of Climate Science and the Role of Forests

Greenhouse gas concentrations in the atmosphere have increased significantly since the industrial revolution due to the burning of fossil fuels and the destruction of forests (IPCC, 2007). If the concentrations of the greenhouse gases in the atmosphere continue to increase at a magnitude greater than natural fluctuations, the average temperature of the Earth's surface could increase

four degrees Celsius by 2100 (IPCC 2007), resulting in major impacts to human and natural systems. Such impacts include sea level rise, glaciers melting, ocean acidification, impacts on the suitability of habitats for plants and animals, hurricanes, droughts and increased frequency and intensity of extreme weather events.

Forests play an important role in the carbon cycle; trees absorb carbon dioxide from the atmosphere during photosynthesis and transform it into biomass. When deforestation and forest degradation occur, the carbon stored as biomass changes back to carbon dioxide and returns to the atmosphere. Forests play an important role in the global carbon cycle as a "sink" (absorbing carbon dioxide) and a "source" (emitting carbon dioxide). According to recent estimates, emissions from deforestation represent about 6-17% of anthropogenic sources of greenhouse gases (Baccini et al., 2012; Harris et al., 2012).

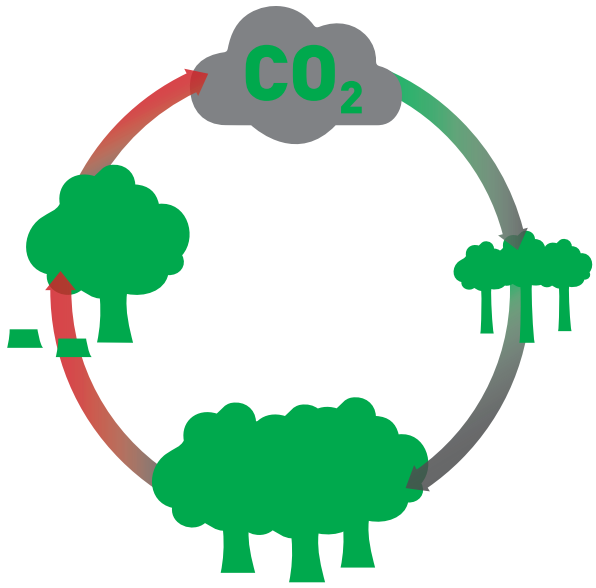


Figure 2. General overview of the role of forests in the global carbon cycle (Conservation International, 2010)

Under the UNFCCC Kyoto Protocol that was negotiated in 1997, the Clean Development Mechanism (CDM) was created to help Annex I countries meet their emission targets and promote emissions reduction efforts in developing countries. The CDM allows emissions reduction and removal projects in developing countries to earn certified emission reduction credits that are tradable to Annex I countries. For the case of the forestry sector, the CDM only allows for emissions reductions projects that include Afforestation/Reforestation (A/R) activities, and it excludes projects that seek to reduce emissions from deforestation and forest degradation. A framework for the full suite of REDD+ activities including reduced emissions from deforestation and forest degradation, plus the enhancement of forest carbon stocks, the sustainable management of forests, and conservation of standing forests have been under development under the UNFCCC since 2005 (see REDD+ policies under the UNFCCC).

Institutions like the IPCC review and assess the most relevant and recent scientific, technical and socio-economic information on climate change with the mission of providing special reports and scientific assessments on topics relevant to the implementation of the UNFCCC. The Assessment Reports consist of a compendium of relevant peer-reviewed and published climate change science prepared by teams of leading researchers. The IPCC published its first assessment report in 1990, a supplementary report in 1992, a second assessment report (SAR) in 1995, and a third assessment report (TAR) in 2001. A fourth assessment report (AR4) was released in 2007 and a fifth is due to be issued in 2014. The report is organized in four main sections: The Physical Science Basis; Impacts, Adaptation and Vulnerability; Mitigation of Climate Change; and a Synthesis Report.

The IPCC work is shared among three Working Groups, a Task Force and a Task Group.

THE PHYSICAL BASIS OF CLIMATE CHANGE

The **IPCC Working Group I (WG I)** assesses the physical scientific aspects of the climate system and climate change. The main topics assessed by WG I include: changes in greenhouse gases and aerosols in the atmosphere; observed changes in air, land and ocean temperatures, rainfall, glaciers and ice sheets, oceans and sea level; historical and paleoclimatic perspective on climate change; biogeochemistry, carbon cycle, gases and aerosols; satellite data and other data; climate models; climate projections, causes and attribution of climate change.

CLIMATE CHANGE ADAPTATION AND VULNERABILITY:

The **IPCC Working Group II (WG II)** assesses the vulnerability of socio-economic and natural systems to climate change, negative and positive consequences of climate change, and options for adapting to it. It also takes into consideration the interrelationship between vulnerability, adaptation and sustainable development. The assessed information is considered by sectors (water resources; ecosystems; food & forests; coastal systems; industry; human health) and regions (Africa; Asia; Australia & New Zealand; Europe; Latin America; North America; Polar Regions; Small Islands).

CLIMATE CHANGE MITIGATION

The **IPCC Working Group III (WG III)** assesses options for mitigating climate change through limiting or preventing greenhouse gas emissions and enhancing activities that remove them from the atmosphere. The main economic sectors are taken into account, both in a near-term and in a long-term perspective. The sectors include energy, transport, buildings, industry, agriculture, forestry and waste management. The WG analyzes the costs and benefits of the different solution oriented approaches to mitigation, considering also the available instruments and policy measures.

GREENHOUSE GAS INVENTORIES

The **Task Force on National Greenhouse Gas Inventories (TFI)** was established by the IPCC to oversee the IPCC National Greenhouse Gas Inventories Programme (IPCC-NGGIP). The core activity is to develop and refine an internationally agreed upon methodology and software for the calculation and reporting of national GHG emissions and removal and to encourage its use by countries participating in the IPCC and by parties of the UNFCCC.

CLIMATE CHANGE IMPACT SCENARIOS

The **Task Group on Data and Scenario Support for Impacts and Climate Analysis (TGICA)** was established to facilitate cooperation between the climate modeling and climate impacts assessment communities. It aims at facilitating wide availability of climate change related data and scenarios for climate analysis and impacts, adaptation, vulnerability, and mitigation research.

Source: http://www.ipcc.ch/working_groups/working_groups.shtml

BUILDING CAPACITY ON CLIMATE CHANGE AND THE ROLE OF FORESTS TO STRENGTHEN STAKEHOLDER ENGAGEMENT IN REDD+

Conservation International's *Climate Change and the Role of Forests* Training of Trainers was developed to provide local stakeholders with the information they need to participate in climate change planning and action, by building a group of community trainers who could provide information on climate change and REDD+. The manual covers topics including climate science, the forest carbon cycle, climate policy, payment for ecosystem services, and REDD+, all with a focus on forests and ecosystems, and also provides sessions on training design and facilitation skills. *Climate Change and the Role of Forests* was first piloted at a workshop in Annai, Guyana, held jointly with CI-Guyana and Iwokrama International Centre for Rainforest Conservation and Development. The final version of the materials and course benefited from the valuable feedback and input of these workshop participants, who included members of communities in Regions 8 and 9, representatives of district councils, indigenous advocacy organizations, government agencies and NGOs. The training manual and toolkit have been translated into seven languages, and have been used in several countries including Indonesia, Madagascar, Mexico and Peru. The training has been used by the regional government of Chiapas as part of its REDD+ consultation process.

Posters from the *Climate Change and the Role of Forests* toolkit hang outside at a training in the San Martin region of Peru.

-Regina Harlig, CI

1.3 SKILLS

Summary of main skills needed to understand and engage in climate science discussions:

The physical basis of climate change

- Analyze and interpret the historical changes and variations in climate
- Understand the reasons behind different points of view related to climate change science
- Understand and interpret IPCC terminology and its assessment process
- Understand climate change science at global, national and local levels
- Incorporate local indigenous knowledge to the understanding of the physical basis of climate change
- Explain climate change science to multiple audiences
- Interpret climate change models for the geographic context
- Communicate to inform and raise awareness of multiple audiences on the key aspects of the physical basis of climate change

Climate change adaptation and vulnerability
• Understand and interpret IPCC terminology and the assessment process • Understand climate change adaptation issues • Incorporate local indigenous knowledge on climate change adaptation actions • Understand the sociopolitical ramifications of different climate change and land use change scenarios • Analyze and interpret climate change scenarios and their potential impacts on different sectors of the economy • Carry out analysis for Disaster Risk Reduction and Vulnerability Assessments • Contribute to the design and development of National Adaptation Programmes of Action (NAPAs) • Communicate skills to inform and raise awareness of multiple audiences on the key aspects of climate change adaptation and vulnerability
Climate change mitigation
• Understand the role of different ecosystems in climate change mitigation • Understand the sociopolitical ramifications of different climate change and land use change scenarios • Incorporate local indigenous knowledge into climate change mitigation actions • Understand IPCC terminology and the assessment process • Understand climate change mitigation options • Carry out risk and vulnerability assessments • Carry out disaster risk reduction assessments • Contribute to the design and implementation of Nationally Appropriate Mitigation Actions (NAMAs) • Communicate to inform and raise awareness of multiple audiences on the key aspects of climate change mitigation
National greenhouse gas inventories

• Understand the IPCC terminology and assessment process
• Contribute to the development of national greenhouse gas inventories in the following sectors:
  • Energy
  • Industrial processes and product use
  • Agriculture, forestry and other land use
  • Waste
• Communicate to inform and raise awareness for multiple audiences on the key aspects of greenhouse gas inventories

1.4 KEEP IN MIND

Though there continue to be uncertainties in projecting the rate and magnitude of changes in the climate that are due to anthropogenic sources of greenhouse gases, there is strong scientific evidence that shows that these changes will have enormous impacts on humans and the environment. Deforestation and forest degradation are known to be major contributors of greenhouse gases, and the international community is working to build a system (REDD+) to incentivize the protection and restoration of forests.

1.5 RELEVANT TOOLS AND RESOURCES

Climate Change 2013: The Physical Basis—Summary for Policy Makers
Working Group I Contribution to the IPCC Fifth Assessment Report

https://www.ipcc.ch/report/ar5/wg1/docs/review/WG1AR5-SPM_FOD_Final.pdf

Climate Change 2007: The Physical Science Basis
Contribution of Working Group I to the Fourth Assessment Report of the Intergovernmental Panel on Climate Change

http://www.ipcc.ch/publications_and_data/ar4/wg1/en/contents.html

Climate Change 2007: Impacts, Adaptation and Vulnerability
Contribution of Working Group II to the Fourth Assessment Report of the Intergovernmental Panel on Climate Change

http://www.ipcc.ch/publications_and_data/ar4/wg2/en/contents.html

Climate Change 2007: Synthesis Report
Contribution of Working Groups I, II and III to the Fourth Assessment Report of the Intergovernmental Panel on Climate Change

http://www.ipcc.ch/publications_and_data/ar4/syr/en/contents.html

Managing the Risks of Extreme Events and Disasters to Advance Climate Change Adaptation
2012 Special Report of Working Groups I and II of the Intergovernmental Panel on Climate Change

http://ipcc-wg2.gov/SREX/

IPCC Special Report on Renewable Energy Sources and Climate Change Mitigation
Prepared by Working Group III of the Intergovernmental Panel on Climate Change in 2011

http://srren.ipcc-wg3.de/

IPCC, 2000. Land Use, Land-Use Change and Forestry

http://www.ipcc.ch/ipccreports/sres/land_use/index.php?idp=0

Reducing Emissions from Deforestation and Degradation (REDD): A Casebook of On-the-Ground Experience
From The Nature Conservancy, Conservation International and Wildlife Conservation Society

http://change.nature.org/wp-content/uploads/REDD-Casebook-TNC-CI-and-WCS.pdf

IPCC Guidelines for National Greenhouse Gas Inventories

Volume 1: General Guidance and Reporting
Volume 2: Energy
Volume 3: Industrial Processes and Product Use
Volume 4: Agriculture, Forestry and other Land Use
Volume 5: Waste

http://www.ipcc-nggip.iges.or.jp/public/2006gl/index.html

Climate Change and the Role of Forests: A Community Manual

This climate change mitigation manual is part of a series of products created to provide training to indigenous peoples organizations and local communities. Includes the Training of Trainers manual and a training toolkit.

http://www.conservation.org/redd-training-of-trainers

Adapting to a Changing Climate: A Community Manual

This climate change adaptation manual from Conservation International is part of a series of products created to provide training to indigenous peoples organizations and local communities. Includes the Training of Trainers Manual and a training toolkit.

www.conservation.org/adaptation-training

2. REDD+ POLICIES UNDER THE UNFCCC

2.1 GENERAL COMPETENCY STATEMENT

A stakeholder understands the main REDD+ decisions that have been made through the UNFCCC and understands the UNFCCC negotiation process. A stakeholder understands the implications of the UNFCCC process and can apply this understanding in his/her engagement on REDD+.

2.2 KNOWLEDGE

Importance of this topic

REDD+ has the potential to dramatically reduce greenhouse gas emissions, while also providing other social and environmental benefits. REDD+ policies have broad implications for different sectors of the economies of developing countries, for example forestry, agriculture and industry, and for forest dependent people and the local environment.

Through the UNFCCC and associated multilateral processes such as FCPF and UN-REDD, countries are designing policies that guide the structure and function of a global REDD+ mechanism. The approaches negotiated under the UNFCCC for REDD+ are often influential in the design of other forest-climate approaches, including bilateral agreements between developed and developing countries, and in the voluntary market for offsets.

There are also important links between REDD+ policies under the UNFCCC and other frameworks such as the Convention on Biological Diversity or the Millennium Ecosystems Assessment. It is important that anyone working on REDD+ understands the international level discussions and can interpret what these discussions mean at the national and sub-national levels.

Policy milestones

This section describes policy milestones from the UNFCCC process that are relevant for REDD+. It does not include milestones from other REDD+ frameworks (e.g. bilateral agreements between countries or the voluntary market), which have also been influential. REDD+ policies evolve continuously, so it is important to follow the outcomes of UNFCCC meetings. A timeline of the evolution of REDD+ negotiations, followed by an explanation of each of the events, is below.

1992: UNFCCC established

During the Earth Summit in Rio de Janeiro, concerns about climate change due to the emissions of greenhouse gases led to the establishment of the UNFCCC. The Convention is a framework for intergovernmental efforts to tackle the challenge posed by climate change. It recognized that climate change is a global problem that requires a global solution. The UNFCCC entered into force in March, 1994.

1997: COP 3, Kyoto, Japan

The Kyoto Protocol was adopted in Kyoto, Japan, on 11 December 1997.

2005: COP 11, Montreal, Canada

The Kyoto Protocol entered into force on 16 February 2005.

In COP 11, Papua New Guinea and Costa Rica proposed the reduction of deforestation as a mitigation action.

2007: COP 13, Bali, Indonesia

In COP 13, decision 1/CP.13 of the Bali Action Plan in paragraph 1(b)(iii): Enhanced national/international action on mitigation of climate change, including, inter alia, consideration of: Policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries;

Decision 2/CP.13 encouraged Parties to support demonstration activities and requested the Subsidiary Body on Scientific and Technological Advice (SBSTA) to undertake a program of work on methodological issues.

2008: COP 14, Poznan, Poland

In COP 14, the SBSTA recommended methodological guidance for REDD+, as reflected in decision 2/CP.13, paragraph 11 (Document FCCC/SBSTA/2008/13). This guidance include the promotion of a readiness process, the mobilization of resources, the use of IPCC guidance, the need for establishment a robust and transparent national forest system (or sub-national, if needed), and analysis of co-benefits.

2009: COP 15, Copenhagen, Denmark

At COP 15, in decision 4/CP.15, the COP requested countries to identify drivers of deforestation and forest degradation resulting in emissions and also the means to address these; to identify activities within the country that result in reduced emissions and increased removals, and the stabilization of forest carbon stocks; to use the most recent IPCC guidance and guidelines; and to establish, according to national circumstances and capabilities, robust and transparent national forest monitoring systems and, if appropriate, sub-national systems as part of national monitoring systems.

2010: COP 16, Cancun, Mexico

In COP 16, in decision 1/CP.16 paragraph 70, the COP encourages developing country Parties to contribute to mitigation actions in the forest sector by undertaking the following activities: (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.

Paragraph 71. Requests developing country Parties to develop the following elements: (a) a national strategy or action plan; (b) a national forest reference emission level and/or forest reference level or, if appropriate, as an interim measure, sub-national forest reference emission levels and/or forest reference levels, in accordance with national circumstances, (c) a robust and transparent national forest monitoring system for the monitoring and reporting of the activities referred to in paragraph 70, and (d) a system for providing information on how the safeguards are being addressed and respected throughout the implementation of the activities referred to in paragraph 70 above, while respecting sovereignty.

Paragraph 73 Decides that the activities undertaken by Parties referred to in paragraph 70 above should be implemented in phases, beginning with:

- The development of national strategies or action plans, policies and measures, and capacity building
- Followed by the implementation of national policies and measures and national strategies or action plans that could involve further capacity-building, technology development and transfer and results-based demonstration activities, and evolving into results-based actions that should be fully measured, reported and verified

2011: COP 17, Durban, South Africa

In COP 17, in decision 2/CP.17, the COP recalls that for developing country Parties undertaking the results-based actions to obtain and receive results-based finance, these actions should be fully measured, reported and verified. It also considered that "appropriate market-based approaches" could be developed by the COP for results-based actions and noted that non-market-based approaches, such as joint mitigation and adaptation approaches could be developed.

Decision 12/CP.17 provides guidance on how safeguards are addressed and respected, as well as on modalities relating to forest reference emission levels and forest reference levels as referred to in decision 1/CP.16.

2013: COP 19, Warsaw, Poland

Decisions were made on five technical issues, including national forest monitoring systems, the technical assessment of reference emissions levels/reference levels (RELs/RLs), Measurement, Reporting and Verification (MRV), the timing and frequency of summaries of information on safeguards, and the drivers of deforestation. Additional decisions were made on results-based finance, and the coordination of support for REDD+.

TERMS

Bali Action Plan: "A comprehensive process that was included in the Bali Road Map to enable the implementation of the UNFCCC. This was agreed to at the UNFCCC Conference of the Parties in Bali, Indonesia in 2007 (COP 13) and introduced the Ad-hoc Working Group on Long-term Cooperative Action (AWG-LCA)" (UNFCCC Glossary).

Conference of the Parties (COP): The COP is the supreme decision-making body of the Convention. All States that are Parties to the Convention are represented at the COP, at which they review the implementation of the Convention and any other legal instruments that the COP adopts and take decisions necessary to promote the effective implementation of the Convention, including institutional and administrative arrangements.

Kyoto Protocol: "An international agreement standing on its own, and requiring separate ratification by governments, but linked to the UNFCCC. The Kyoto Protocol, among other things, sets binding targets for the reduction of greenhouse-gas emissions by industrialized coun-

tries" (UNFCCC Glossary). Countries are committed to a total cut of at least 5% from 1990 levels in the first commitment period 2008-2012. A second commitment period began on 1 January 2013 and ends on the 31st of December, 2020. REDD+ is not addressed through the Kyoto Protocol.

Kyoto mechanisms: "Three procedures established under the Kyoto Protocol to increase the flexibility and reduce the costs of making greenhouse-gas emissions cuts. They are the Clean Development Mechanism, Emissions Trading and Joint Implementation" (UNFCCC Glossary). REDD+ is being designed as a mechanism that is separate from the Kyoto mechanisms.

REDD+: The term stands for "reducing emissions from deforestation and forest degradation in developing countries, and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries" (UNFCCC Glossary).

UNFCCC objective: "The ultimate objective of the UNFCCC is to achieve, in accordance with the relevant provisions of the Convention, stabilization of greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system. Such a level should be achieved within a time frame sufficient to allow ecosystems to adapt naturally to climate change, to ensure that food production is not threatened and to enable economic development to proceed in a sustainable manner" (UNFCCC 1992, decision FCCC/INFORMAL/84).

Other relevant terms

- Bali Road Map
- Land use, land-use change, and forestry (LULUCF)
- National communication
- National delegation
- Subsidiary body

Technical elements

Policy making process under the UNFCCC

The UNFCCC was created at the United Nations Conference on Environment and Development (UNCED) known as the Earth Summit, held in Rio de Janeiro in June, 1992. The Parties to the UNFCCC design and negotiate climate policies with the participation of almost all nations of the world. In 2013, 195 Parties participated (194 States and one regional economic integration organization). The UNFCCC has created different working groups and subsidiary bodies to hold the discussions and also to develop legal protocols for the implementation of climate policies. The decisions are taken by the conference of the Parties (COP) which is formed by all Parties (nations) to the UNFCCC. The other important body is the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP), the CMP reviews the implementation of the Kyoto Protocol and makes decisions to promote its effective implementation. Figure 3 shows a diagram representing the organization of the UNFCCC, followed by a description of the main negotiations bodies.

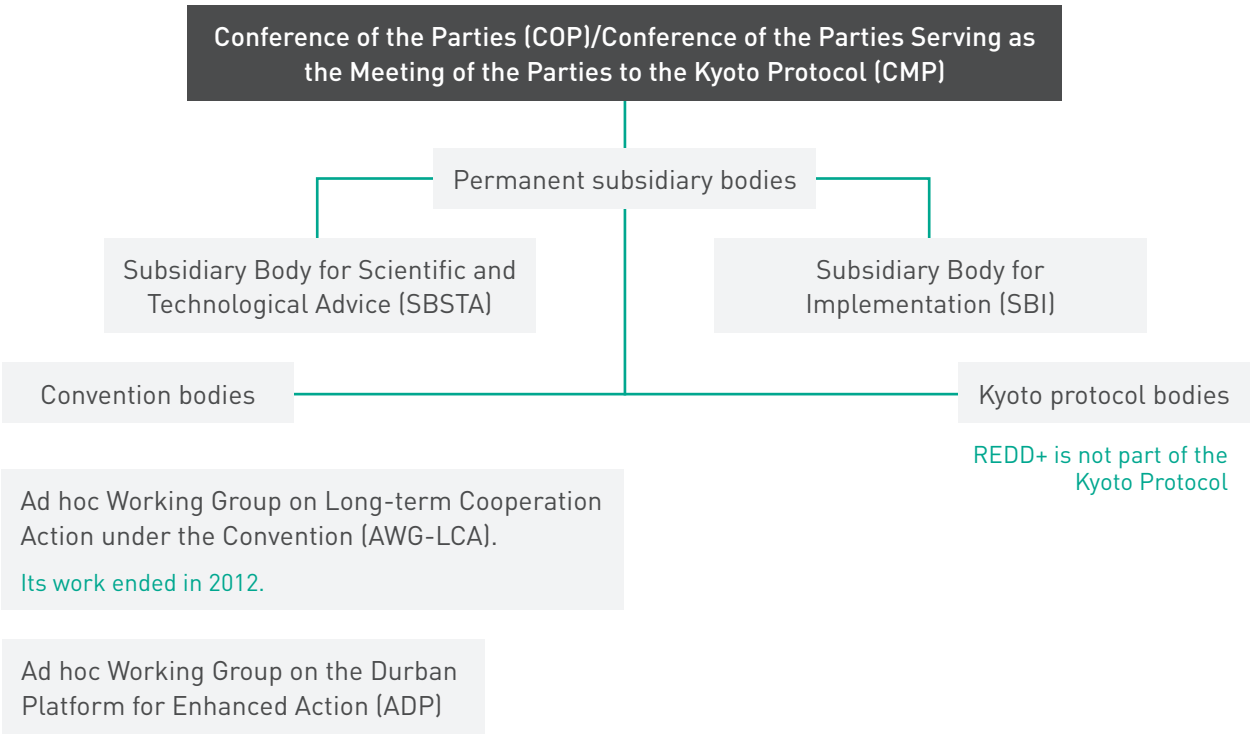


Figure 3. Bodies of the UNFCCC

The UNFCCC subsidiary bodies and ad hoc working groups

- **Bureau of the COP and the CMP** supports the COP and the CMP through the provision of advice and guidance regarding the ongoing work under the Convention and its Kyoto Protocol, the organization of their sessions and the operation of the secretariat, especially at times when the COP and the CMP are not in session. The Bureau is elected from representatives of Parties nominated by each of the five United Nations regional groups and small island developing States.
- **The Subsidiary Body for Scientific and Technological Advice (SBSTA)** advises the COP on scientific, technological and methodological matters.
- **The Subsidiary Body for Implementation (SBI)** advises the COP on all matters concerning the implementation of the Convention.
- **The ad hoc Working Group on Long-term Cooperative Action under the convention (AWG-LCA)** was one of the two negotiating tracks established by decision 1/CP.13 (The Bali Action Plan). Its purpose was to negotiate emissions reductions commitments for Non-Annex I countries with no emission reduction commitments under the Kyoto Protocol. AWG-LCA concluded its work in Doha in 2012. Some issues negotiated under AWG-LCA are now being negotiated under the Durban Platform for Enhanced Action (ADP) under decision 1/CP.17.

- **The ad hoc working Group on Further Commitments for Annex I Parties under the Kyoto Protocol (AWG-KP)** discussed the future commitments for industrialized countries under the Kyoto Protocol. AWG-KP also concluded its work in Doha.
- **The ad hoc Working Group on the Durban Platform for Enhanced Action (ADP)** is to develop a protocol, another legal instrument or an agreed outcome with legal force under the Convention applicable to all Parties. The ADP is to complete its work as early as possible but no later than 2015 in order to adopt this protocol, legal instrument or agreed outcome with legal force at the twenty-first session of the Conference of the Parties, and for it to come into effect and be implemented from 2020.

AWG-LCA and SBSTA have been the main bodies where REDD+ is negotiated. Now that AWG-LCA concluded in Doha, the ADP will take this responsibility. Issues such as REDD+ finance may be discussed under ADP, while SBSTA is in charge of technical discussions such as the monitoring of carbon benefits or safeguards.

Documentation and meetings

Parties discuss policy issues under the different subsidiary bodies, which produce policy decision documents that are then sent for decision during the COP meeting, which usually happen between November and December of each year.

Participation in policy meetings: To participate in UNFCCC meetings, a stakeholder can participate as part of the national delegation (named by the national government) or as an observer. An organization has to get accreditation under UNFCCC to be able to attend the meetings as an observer and to make submissions. Observers participate in the meetings, sometimes can speak, but cannot vote.

Policy decision documents from the UNFCCC: All public and available documentation that explains and describes the decisions and policy guidance. Drafts of these documents are available for analysis before UNFCCC official meetings and are the basis for the negotiations under the COPs.

Networking and communication: To design and implement REDD+ policies, it is important to be able to create networks among countries and organizations, and be able to communicate and explain policies among different stakeholders.

Analysis of policies

Analysis on how climate change policies will affect national development and local stakeholder is important since any decision taken under the UNFCCC will impact the organization of national institutions and current development strategies. For example, REDD+ may affect or be affected by national forestry and agriculture laws and strategies, or even national climate change strategies, so a government or a stakeholder involved in REDD+ will need to understand the implications of UNFCCC climate change policies.

2.3 SKILLS

Summary of skills needed to understand and engage in policy design:

Policy making process under the UNFCCC

- Assess and understand the impacts of climate change at the global, regional and local level and define mitigation and adaptation options. This requires:
  - Understanding of climate change causes and impacts at global, regional and local levels
  - Understanding of climate change mitigation and adaptation, and synergies between the two
  - Understanding of the uncertainties of climate science and be able to communicate this to multiple audiences
- Analyze the impact of climate change policy being developed under the UNFCCC. This requires:
  - Understanding of UNFCCC objectives and current policies
  - Understanding of UNFCCC history, organizational structures and bodies
  - Understanding of the UNFCCC procedures and guidance related to the negotiation process.
  - Understanding of national economic development context
  - Knowledge on specific technical issues regarding climate change and REDD+ negotiations. e.g. safeguards, MRV
  - Understanding of the relationship among REDD+ and other negotiations issues such as financing climate change or NAMAs
  - Understanding of the UNFCCC glossary
  - Comprehension of current national climate change policies, and those under development

Networking and communication

- Build relationships among countries, non-government organizations, and multiple stakeholders
- Communicate and interpret policies to different stakeholders, which include the use of media and communications
- Engage multiple stakeholders during the policy making process
- Be fluent in English for best engagement at international discussions. International meetings are held in English and many publications on REDD+ are only available in English

Policy analysis

- Carry out policy analysis, which includes policy development process skills, stakeholder analysis and institutional analysis, understanding of international implications regarding policy
- Assess the impacts of climate change policies in a particular country and how they affect different stakeholders
- Analyze the impact of international climate change polices on the implementation of REDD+ at the national level, and in the design of national and sub-national (jurisdictions or projects) REDD+ activities

2.4 KEEP IN MIND

REDD+ is a climate change mitigation initiative that is being developed under the UNFCCC, and it is one of many components of the complete climate policy debate. UNFCCC is the overall policy framework for intergovernmental efforts to address climate change. Only governments (country parties) can make decisions at the UNFCCC, but many other organizations (e.g. NGOs, indigenous peoples representation) can participate to observe and influence the decision-making process.

"The ultimate objective of the Convention is to stabilize greenhouse gas concentrations 'at a level that would prevent dangerous anthropogenic (human-induced) interference with the climate system.' It states that 'such a level should be achieved within a time-frame sufficient to allow ecosystems to adapt naturally to climate change, to ensure that food production is not threatened, and to enable economic development to proceed in a sustainable manner'" (UNFCCC). REDD+ is being constructed based on decisions taken under the UNFCCC, but there is not yet a binding mechanism regarding REDD+. The Kyoto Protocol is the only international binding agreement with specific targets to mitigate climate change and REDD+ is not part of the Kyoto Protocol.

The design and implementation of an international REDD+ policy is complex since it involves and impacts different sectors of the economy in both mitigation and adaptation issues. REDD+ agreements must also be designed to be consistent with other international agreements, such as the Convention on Biological Diversity. At the country level, governments are also creating national climate change policies and national REDD+ strategies, so it is important to understand how international and national policy are related.

SUPPORTING INDIGENOUS PARTICIPATION IN THE UNFCCC

In order to be prepared for the negotiations of the UNFCCC, several environmental NGOs such as CI, EDF, TNC, WWF and IUCN, and indigenous leaders from indigenous networks around the world, agreed to hold events for the exchange of information and update on UNFCCC negotiation issues. Since 2010, workshops and meetings were conducted with the International Indigenous Peoples Forum on Climate Change before UNFCCC negotiations. The topics discussed during the meetings are, REDD+ Finance, Green Climate Fund, Safeguard Information Systems, Drivers of Deforestation and Agriculture. These actions allow engagement strategies to improve the rights and concerns of indigenous peoples in the various topics of the negotiations.

Zenon Gomel, a Conservation International Indigenous Conservation Leadership Fellow, at COP 18 in Doha, Qatar

-Johnson Cerda, CI

2.5 RESOURCES AND TOOLS

Politics and Power in National REDD+ Policy Processes. From Analysing REDD+: Challenges and Choices

Chapter 5 of CIFOR's third book on REDD+. The chapter presents an analysis of the policy process of national REDD+ strategies based on case studies from: Bolivia, Brazil, Cameroon, Indonesia, Nepal, Peru and Vietnam.

http://www.cifor.org/online-library/browse/view-publication/publication/3819.html

Guide for REDD-plus Negotiators

A policy tool from the Foundation for International Law, Environmental Law and Development that summarizes the stage of REDD+ negotiations. It is updated every year and is available in English, French and Spanish.

http://www.field.org.uk/guides/guide-for-redd-plus-negotiators-august-2013

IGES Briefing Note on REDD+ Negotiations UNFCCC COP 18, Doha, Qatar

The document analysis the REDD+ Outcomes from Conference of the Parties met in Doha in 2012, COP18.

http://redd-database.iges.or.jp/redd/download/project?id=95

The Climate Action Network (CAN), Website

The website shares information concerning climate change policy issues and reports directly during UNFCCC meetings. It is a worldwide network of over 700 NGOs in more than 90 countries.

http://www.climatenetwork.org/

The Earth Negotiations Bulletins from the International Institute for Sustainable Development

CLIMATE-L is a community announcement list for policy makers and practitioners involved in climate change policy. This free knowledge-sharing tool is managed and moderated by the International Institute for Sustainable Development (IISD) Reporting Services.

http://climate-l.iisd.org/about-the-climate-l-mailing-list/

UNFCCC REDD Web Platform

The UNFCCC REDD Web Platform, which includes links to many other resources provide a direct link to UNFCCC resources and policy documentation regarding REDD+ negotiations

http://unfccc.int/methods_science/redd/items/4531.php

Background on the UNFCCC: The International Response to Climate Change

Brief background information of the historic negotiation process of the United Nations Framework on Climate Change.

http://unfccc.int/essential_background/items/6031.php

Course on Climate Change Diplomacy: Negotiating Effectively Under UNFCCC, at the United Nations Institute for Training and Research

This United Nations Institute for Training and Research course provides an example of the topics that can be included in a training activity on climate change policies.

http://www.unitar.org/event/climate-change-diplomacy-negotiating-effectively-under-unfccc

UNFCCC Glossary of Key Policy Terms and Acronyms

http://unfccc.int/essential_background/glossary/items/3666.php

3. THE SCALE OF REDD+: NATIONAL AND SUB-NATIONAL SYSTEMS (JURISDICTION AND PROJECTS) AND NESTED APPROACHES TO REDD+

3.1 GENERAL COMPETENCY STATEMENT

A stakeholder should understand the options for implementing REDD+ within different scopes and scales, including national, sub-national and nested approaches to REDD+, and should understand the advantages and disadvantages of each.

3.2 ESSENTIAL KNOWLEDGE

Importance of this topic

The scope and scale of REDD+ determine the approaches that must be taken for aspects of a REDD+ program, including policy, institutional arrangements, finance, and the measurement of social and environmental impacts, as well as emissions. Important decisions about the scope and scale of REDD+ must therefore be taken during the design of the REDD+ initiative.

Policy milestones

This section focuses on policy benchmarks being taken under the UNFCCC process. A growing number of other frameworks, such as bilateral agreements between countries, are also emerging.

2007: 13th United Nations Climate Change Conference (COP13), Bali, Indonesia

The decisions under the Bali Action Plan encouraged Parties to support capacity building activities, to provide technical assistance and facilitate technology transfer, and to explore actions such as demonstration activities. It also requested SBSTA to undertake a program of work on methodological issues.

Sub-national REDD+ activities were considered to be a step towards the development of national approaches to REDD+.

2009: 15th United Nations Climate Change Conference (COP15), Copenhagen, Denmark

In COP 15, in decision 4/CP.15, the COP requested countries to establish, according to national circumstances and capabilities, robust and transparent national forest monitoring systems and, if appropriate, sub-national systems as part of national monitoring systems.

2010: 16th United Nations Climate Change Conference (COP 16), Cancun, Mexico

In COP 16, in decision 1/CP.16 paragraph 71. Requests developing country Parties to develop the following elements: (a) a national strategy or action plan; (b) a national forest reference emission level and/or forest reference level or, if appropriate, as an interim measure, sub-national forest reference emission levels and/or forest reference levels, in accordance with national circumstances.

2012: 18th United Nations Climate Change Conference (COP 18), Doha, Qatar

In COP 18, no major decisions were made on the scale of REDD+, though discussions continued on technical issues such as MRV and on funding options.

TERMS

Additionality: Under the Kyoto protocol, it is the reduction in emissions by sources or enhancement of removals by sinks that is additional to any reductions that would occur in the absence of a project. When the concept is applied in the REDD+ context it is also necessary to justify additionality at jurisdictional and national scales.

REDD+ projects/Forest carbon projects: Sub-national activities designed to reduce or remove greenhouse gas emissions through the management of forested lands or through the establishment of forests on non-forested lands. Projects have clearly defined geographic boundaries that may or may not correspond with sub-national political boundaries and they have clearly defined start and end dates.

Jurisdictional REDD+: A REDD+ program that is implemented at the scale of a national or sub-national jurisdiction.

Leakage: "That portion of cuts in greenhouse gas emissions by developed countries—countries trying to meet mandatory limits under the Kyoto Protocol—that may reappear in other countries not bound by such limits. For example, multinational corporations may shift factories from developed countries to developing countries to escape restrictions on emissions" (UNFCCC glossary). In the context of REDD+ this may refer to the displacement of deforestation from one area to another.

Nested approaches: "An accounting, management, and incentive system that accommodates activities and incentives to reduce emissions at various activity and implementation levels. Where projects are nested within sub-national or national programs, activity-specific emissions are deducted from the broader (national or regional) accounting for emission reductions against a reference level" (Climate Focus and Forest Trends, 2012).

NAMAs: Are defined as "nationally appropriate mitigation actions by developing country parties in the context of sustainable development, supported and enabled by technology, financing and capacity building" (van Tilburg et al., 2013).

National REDD+ program: A government-led, national-scale initiative to address the drivers of deforestation and forest degradation, the enhancement carbon stocks, and the conservation and sustainable management of forests.

Permanence/non-permanence: The UNFCCC defines this as "the longevity of a carbon pool and the stability of its stocks." Skutsch and Trines (2010) highlight that non-permanence is a term "usually used to describe a situation in which a forest has sequestered carbon but where that absorption has later been reversed because the forest has been removed again."

REDD+ Strategy: A package of long-term policy interventions, often developed through a multi-stakeholder process. These often have the goal of serving as a common agenda for achieving emissions reductions and promoting forest governance.

REDD+ Readiness phase: This is the first phase of REDD+ where countries design their national strategies and action plans with all relevant stakeholders, build capacities for REDD+ implementation, work on policies for forest governance, and initiate demonstration activities (UNFCCC, 2010).

Sub-national activities: Activities that take place at the local (i.e. project) level, as well as the state/provincial level (Climate Focus and Forest Trends, 2012).

Other relevant terms

- Kyoto mechanisms
- Land use, land-use change, and forestry (LULUCF)
- National arrangements
- Reference emission levels (RELs)
- Reference levels (RLs)

Technical elements

UNFCCC decisions indicate that REDD+ programs should be implemented at the national scale, but that sub-national activities may be implemented as an interim measure. At any of these levels, multiple stakeholders need to be informed and engaged, and institutional coordination will be required. To make REDD+ work at multiple scales represents a challenge because stakeholder and institutional capacities, as well as financial resources, must be increased (Angelsen, 2009). To deal with the multiple scales of REDD+, nested approaches have been proposed as a way to integrate REDD+ activities at different scales.

National REDD+ system under UNFCCC guidelines

Countries seeking to develop national REDD+ strategies will need to include the following elements based on UNFCCC guidelines (UNFCCC decision 1/CP.16 paragraph 71), also represented in Figure 4:

- A national strategy or action plan,
- A system for providing information on how the safeguards are being addressed and respected,
- A national forest reference emission level and/or forest reference level or, if appropriate, as an interim measure, sub-national forest reference emission levels and/or forest reference levels, in accordance with national circumstances and,
- A robust and transparent national forest monitoring system for the monitoring and reporting of the activities referred to above.

The process on how to build national REDD+ strategies is explained in REDD+ thematic area 4.

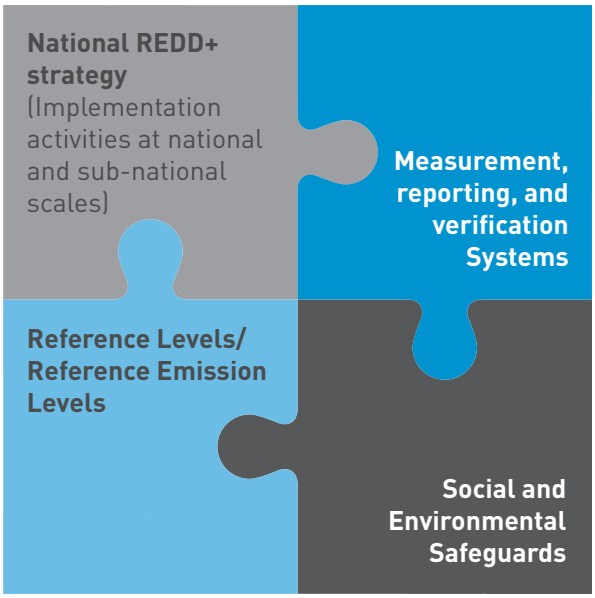


Figure 4. Main elements of a national REDD+ strategy

Sub-national systems

Based on the Cancun Agreements, countries can start implementing sub-national accounting systems for REDD+ to prepare for national REDD+ implementation. As a result it is necessary to plan for how sub-national REDD activities will link to the national REDD+ system. The UNFCCC refers to the establishment of interim emission reference levels when sub-national activities are undertaken, but similar links must be made in the other elements of REDD+ such as MRV systems or safeguard information systems (Forest Trends and Climate Focus, 2011; Chiagas, 2010; Cortez, 2010).

Standards for accounting at different scales

Currently, there is no specific guidance under the UNFCCC for the creation of sub-national

REDD+ strategies, except for the reference to the optional establishment of sub-national RLs/RELs. (In COP16, in decision 1/CP.16 paragraph 71. For more details, also see theme 9 on Reference Levels and Reference Emission Levels.)

A number of initiatives have developed guidance on accounting for national, sub-national, and/or nested REDD+ activities. The initiatives are outside the UNFCCC, but take into account UNFCCC guidance. The FCPF Carbon Fund has developed a Methodological Framework for accounting for emission reductions and removals at the national or subnational scale. The Verified Carbon Standard Jurisdictional and Nested REDD+ (VCS JNR) creates an accounting framework for national, subnational and/or nested projects, and the American Carbon Registry Nested REDD+ Standard focuses on projects nested within national or subnational accounting systems

Forest carbon projects

In the absence of a regulated market for REDD+, civil society and private sector organizations have developed standards that are designed to generate certified emissions reductions for sale in the voluntary carbon market. These standards are updated periodically and more standards may be developed in the future, so it will be important to follow the evolution of these forest carbon project standards. To increase the potential for projects to be compatible with national scale REDD+ programs, it is important that project developers work closely with relevant government agencies.

Seifert-Granzin (2011) outlined the key steps to take into account when developing a REDD+ project:

- Understand carbon markets and climate change policies and decide which carbon market to target
- Define the spatial and temporal boundaries of the project (including assessment of additionality)
- Analyze the drivers, causes, and agents of deforestation
- Define project interventions
- Detect deforestation and degradation rates
- Establish the baseline
- Assess and plan for management of leakage
- Assess permanence and risk
- Address social and environmental issues

The Guidance and Best Practices for REDD+ Transactions (Brennan and Durschinger, 2013) suggests the development of a feasibility study, the development of project document (PD) based on a specific project carbon standard, validation of the PD and finally verification of emissions reductions and project impacts through an external auditor.

Nested approaches

A nested approach to REDD+ is a system in which smaller scale activities, such as projects smaller than jurisdictional level REDD+ programs are integrated into an accounting and incentive scheme of a larger jurisdiction. The larger jurisdiction could be a state, province or other large political unit or it could be the entire country. Nested approaches increase complexity in carbon accounting, risk sharing and institutional arrangements, but may more efficiently incentivize participation in REDD+ by a range of actors. Emissions reductions from project activities are incorporated into a larger-scale accounting system.

During the REDD+ Readiness process, REDD+ projects funded by voluntary carbon markets and donors have already been initiated in many countries. To leverage these projects it is necessary to incorporate them into broader scale accounting frameworks and ensure such carbon credits to be issued are added up properly to

the national accounting systems. UNFCCC decisions require national-scale accounting in order to ensure the environmental integrity of REDD+. Nested approaches can provide a way to integrate early voluntary market projects into a national system, and support the phased implementation of a national REDD+ scheme (Forest Trends and Climate Focus, 2011; Chiagas, 2010; Cortez, 2010). Figure 5 shows ways in which the distribution of international REDD+ incentives could occur under different nested approaches.

For sub-national REDD+ activities to be part of a system with national level reporting, decisions must be made about a number of issues:

- The scale of the reference level or baseline
- The type of crediting system
- How the MRV system will link to the national MRV systems
- How leakage will be assigned and accounted
- How monitoring and reporting of social and environmental performance will be done
- How existing projects will be incorporated into the national system

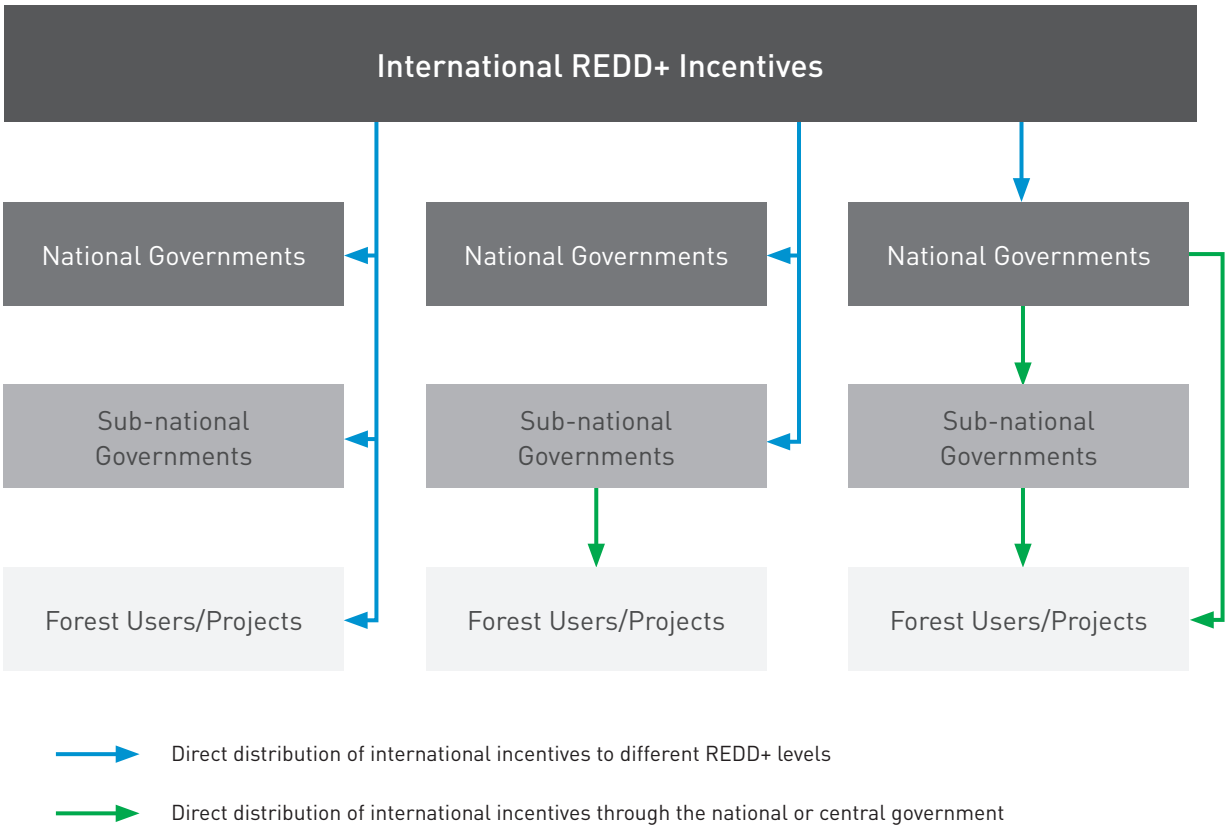
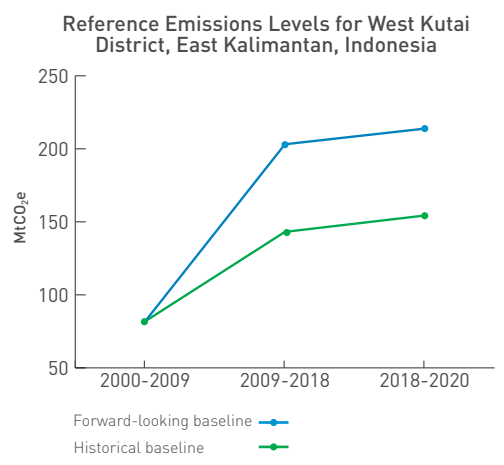


Figure 5. Distribution of international REDD+ incentives (adapted from Forest Trends and Climate Focus, 2011)

SETTING REL USING AN ADJUSTED HISTORICAL APPROACH IN WEST KUTAI DISTRICT, EAST KALIMANTAN, INDONESIA

The development of the REL for West Kutai District, East Kalimantan, Indonesia began in February 2013 and was based on a multi-stakeholder discussion that was facilitated by WWF-Indonesia in collaboration with the local government, The World Agroforestry Centre (ICRAF) and the Local Council on Climate Change. Participants included representatives from the local government, private forestry sector and local community and each had the opportunity to express their views on how to best establish RELs. These stakeholders were able to fully participate in this process because of MRV training that they had received in December 2012.



Recognizing the UNFCCC decision and the Indonesian REDD+ national strategy (2010) that allow adjustments based on local circumstances, the participants evaluated both a standard historical and an adjusted scenario that reflects the district's existing development plan. The REL is based on nine years of historical emission data (2000-2009) and projects the reference emission level until 2020. The difference between the two scenarios represents about 238 ha of forest, assuming a 250tCO_2e/ha. strategy.

-Muhammad Farid, National Council on Climate Change-Indonesia

3.3 SKILLS

An overview of skills needed to engage in the design and implementation of REDD+ at national and sub national scales:

National REDD+ systems

- Ability to analyze the implications of international climate change and REDD+ policies. This will require:
  - Comprehension of current and developing national climate change policies
  - Understanding of UNFCCC objectives and current national REDD+, development and environmental policies
  - Knowledge about the specific technical issues that are being addressed in policy debates (e.g. safeguards and/or MRV)
  - Understanding of the relationship among REDD+ and other issues such as financing climate change or NAMAs (see Theme 2. REDD+ Policies under the UNFCCC)
- Ability to participate in national and local consultation as a coordinator, facilitator or as a participant of meetings
- Ability to contribute to the preparation of REDD+ strategies (see Theme 4). This will require a strong understanding of the main technical components of a national REDD+ strategy such as:
  - a national strategy or action plan (see Theme 4. REDD+ Readiness Process)
  - a system for providing information on how safeguards are being addressed and respected (see Themes 5. Stakeholder Engagement, 6. Perspectives on FPIC and 7. Social and Environmental Safeguards)
  - a national forest reference emission level and/or forest reference level or, if appropriate, as an interim measure, sub-national forest reference emission levels and/or forest reference levels, in accordance with national circumstances (see theme 8. Reference Levels and Reference Emission Levels)
  - a robust and transparent national forest monitoring system for the monitoring and reporting of the activities referred above (see Theme 9. Measurement, Reporting and Verification Systems)
- Ability to carry out an assessment of national forest governance with the goal of improving national forest policies and avoiding corruption
- Ability to prepare fund raising strategies and carry out opportunity cost analysis (see Theme 10 on REDD+ finance)
- Ability to evaluate potential links between REDD+ with NAMAs
- Ability to design capacity building programs for different stakeholders on REDD+

Sub-national REDD+ systems: jurisdictions
• Ability to contribute to national and local consultations on REDD+ as a coordinator, facilitator or as a participant of meetings • Ability to understand the pros and cons of implementing sub-national REDD+ initiatives • Ability to prepare road maps to build the main technical components of sub-national strategies based on the same elements needed to prepare national REDD+ strategies (listed above) • Ability to create linkages between sub-national jurisdictions and national REDD+ strategies • Ability to design forest carbon projects following the requirements and procedures needed to apply for standards under voluntary carbon markets (if applicable), and to identify which of the standards are the most appropriate • Ability to prepare fund raising strategies and carry out opportunity cost analysis (see themes 10 on REDD+ finance)
Sub-national REDD+ systems: projects

• Ability to participate in national and local consultation as a coordinator or as a participant of meetings
• Ability to design and implement forest carbon projects. This will require:
  • Ability to prepare feasibility assessments
  • An understanding of the project cycle for designing and implementing forest carbon projects
  • An understanding of requirements and procedures for voluntary carbon market standards if applicable, and the ability to analyze which of the standards are the most appropriate
  • Ability to create linkages between projects, sub-national jurisdictional, and national REDD+ strategies as appropriate
  • An understanding of carbon finance

3.4 KEEP IN MIND

The scale of implementation of REDD+ is determined by both political and technical issues. Based on UNFCCC policy decisions, REDD+ will be implemented by countries at the national level, but in an interim period sub-national systems may be implemented (e.g. by developing reference emission levels at the state level, or with the implementation of forest carbon projects). Some countries are trying to integrate REDD+ activities at multiple scales under nested approaches.

Other frameworks for REDD+ may operate at different scales. For example, the state of California, USA may establish a mechanism to transfer REDD+ credits from states and provinces in other countries into California.

3.5 RELEVANT TOOLS AND RESOURCES

Moving Ahead with REDD: Issues, Options and Implications

The first book from CIFOR on REDD+ analyzes all of the elements of REDD+ and highlights impacts, challenges and opportunities.

http://www.cifor.org/online-library/browse/view-publication/publication/2601.html

Realising REDD+: National Strategy and Policy Options

The second book from CIFOR on REDD+ analyzes all of the elements of REDD+ and highlights impacts, challenges and opportunities.

http://www.cifor.org/online-library/browse/view-publication/publication/2871.html

Analysing REDD+: Challenges and Choices

The third book from CIFOR on REDD+ analyzes all of the elements of REDD+ and highlights impacts, challenges and opportunities.

http://www.cifor.org/id/online-library/browse/view-publication/publication/3805.html

Consolidating National REDD+ Accounting and Sub-national Activities in Ghana

A case study on how sub-national activities can be integrated in a specific context, in this case, Ghana.

http://www.forest-trends.org/publication_details.php?publicationID=2543

A Nested Approach to REDD+: Structuring Effective and Transparent Incentive Mechanisms for REDD+ Implementation at Multiple Scales

This paper explains options to arrange REDD+ activities at multiples scale based on nested approaches.

http://www.conservationgateway.org/Files/Pages/nested-approach-redd.aspx

Nested Approaches to REDD+: An Overview of Issues and Options

This paper from Forest Trends and Climate Focus discusses the options available for nesting project-level activities with national, and possibly sub-national, accounting frameworks in the context (REDD+).

http://www.climatefocus.com/documents/nesting_projects_and_redd_briefing_document

Forest Trends Series Building Forest Carbon Projects 201

A series on forest carbon project development provides guidance on how to prepare and implement forest carbon projects. There are nine guidance documents: Technical Project Design, Carbon Stock Assessment Guidance: Inventory and Monitoring Procedures, Community Engagement, Legal issues, Carbon Market and Social and Biodiversity Aspects.

http://www.forest-trends.org/publications/building_forest_carbon_projects

California, Acre and Chiapas: Recommendations to Conserve Tropical Rainforests, Protect Local Communities and Reduce Statewide Greenhouse Gas Emissions.

This 2013 report from the REDD offset of Working Group (ROW) builds on case studies which show how the state of California in the United States and the Brazilian State of Acre, and the Mexican State of Chiapas, have been working on creating an agreement on REDD+ at the sub-national jurisdictional level.

http://stateredd.org/recommendations/#

Jurisdictional and Nested REDD+ (JNR) Requirements. Requirements Document v3.0

2012 VCS document on how jurisdictional and nested REDD+ activities can work under REDD+ initiatives and try to access fund under the voluntary carbon market.

http://www.v-c-s.org/sites/v-c-s.org/files/Jurisdictional%20and%20Nested%20REDD+%20Requirements,%20v3.1.pdf

FCPF Carbon Fund Methodological Framework

A set of 37 criteria and related indicators that will be used by Carbon Fund Participants (amongst other selection criteria) to select national or subnational Emission Reductions Programs into the Carbon Fund portfolio.

https://www.forestcarbonpartnership.org/carbon-fund-methodological-framework

R² 4. REDD+ READINESS

4. 1 GENERAL COMPETENCY STATEMENT

A stakeholder understands the phased approach for the REDD+ mechanism, the key components for piloting REDD+ readiness activities and the leading mechanisms being used to build and implement REDD+ strategies.

4.2 KNOWLEDGE

Importance of this REDD+ theme

REDD+ readiness is the collection of activities that are used to build national REDD+ strategies and programs.

The complexity of REDD+ requires many countries to make significant changes in the ways that they manage forests and other lands, and often requires the construction of new policies, institutional arrangements, and technical and human capacities. The progress of countries preparing for REDD+ will ultimately determine the rate and scale at which REDD+ is implemented across the world.

Policy milestones

This section describes milestones of REDD+ readiness policy from the UNFCCC process that are relevant for REDD+. It does not include milestones from other REDD+ frameworks (e.g. bilateral agreements between countries or the voluntary market), which have also been influential.

National and sub-national laws and policies are also vital for REDD+ readiness, for example those which define the allocation of land and resource rights, participation, information transparency, and dispute resolution.

2007: COP 13, Bali, Indonesia

Decision 2/CP.13: acknowledges the contribution of emissions from deforestation and forest degradation to global anthropogenic GHG emissions. The decision provides a mandate for several actions by Parties relating to reducing emissions from deforestation and forest degradation in developing countries such as capacity building, technology transfer, exploring a range of actions and demonstration activities, and mobilization of resources to support these efforts.

The demonstration activities introduced in the Bali Action Plan were meant to address the drivers of deforestation relevant to national circumstances, with a view to reducing emissions. Indicative guidance is provided in the Annex. Sub-national REDD+ activities were considered to be a step towards the development of national approaches to REDD+.

FCPF housed at the World Bank was launched at COP 13 in Bali and became operational in June 2008. The proposed life of both the Readiness Fund and the Carbon Fund are established through to 2020.

UN-REDD, administered by the United Nations Development Programme (UNDP) was also created in response to the UNFCCC decision on REDD at COP 13 in Bali and became operational in September 2008. UN-REDD builds on the convening role and technical expertise of the Food and Agriculture Organization of the United Nations (FAO), UNDP and UNEP.

2010: COP 16, Cancun, Mexico

Decision 1/CP.16 paragraph 71 requests developing country Parties to develop the following elements: (a) a national strategy or action plan; (b) a national forest reference emission level and/or forest reference level or, if appropriate, as an interim measure, sub national forest reference emission levels and/or forest reference levels, in accordance with national circumstances.

Decision 1/CP.16 paragraph 73. It was decided that REDD+ should be implemented in three phases:

- The development of national strategies or action plans, policies and measures, and capacity-building (Readiness Phase)
- The implementation of national policies and measures and national strategies or action plans that could involve further capacity-building, technology development and transfer and results-based demonstration activities (Implementation Phase)
- Results-based actions that should be fully measured, reported and verified (Results-based Action Phase)

Decision 1/CP.16 paragraph 74 recognizes that the implementation of the REDD+ activities depends on the specific national circumstances, capacities and capabilities of each developing country Party and the level of support received.

2011: COP 17, Durban, South Africa

Decision 12/CP.17 provides guidance on systems for providing information on how all the safeguards referred to in decision 1/CP.16, appendix I are being addressed and respected. The decision also elaborates modalities relating to forest reference emission levels and/or forest reference levels as referred to in decision 1/CP.16, paragraph 71(b).

2013: COP 19, Warsaw, Poland

The Warsaw REDD+ decision on the coordination of support for REDD+ invites countries to designate a national entity or focal point who would participate in annual meetings. These meetings have goals of facilitating the exchange of information and could lead to recommendations to improve REDD+ activities.

A separate decision on results-based finance provides for the creation of an information hub where various types of information about a country's REDD+ program will be posted, including a link to the national REDD+ strategy or action plan.

TERMS

Demonstration activities: Activities aimed to show how REDD+ can reduce or remove CO_2 emissions. These activities also test the social and environmental performance of REDD+.

National REDD+ program: A government-led, national-scale initiative to address the drivers of deforestation and forest degradation, the enhancement carbon stocks, and the conservation and sustainable management of forests.

Nested approaches: "An accounting, management, and incentive system that accommodates activities and incentives to reduce

emissions at various activity and implementation levels. Where projects are nested within sub-national or national programs, activity-specific emissions are deducted from the broader (national or regional) accounting for emission reductions against a reference level" (Climate Focus and Forest Trends, 2012).

Readiness activities: Actions that help countries get ready for REDD+, including capacity building, scientific studies, and developing national strategies, with the goal of mitigating climate change.

REDD+ Phases: Initially proposed by the Meridian Institute in 2009 and included in the UNFCCC Cancun Agreements, REDD+ is defined to be implemented in a "phased approach." The phases considered are: Readiness phase, implementation phase and results-based action phase.

Forest Carbon Partnership Facility (FCPF): "A global partnership of governments, businesses, civil society and indigenous peoples focused on reducing emissions from deforestation and forest degradation, forest carbon stock conservation, the sustainable management of forests, and the enhancement of forest carbon stocks in developing countries (activities commonly referred to as REDD+)" (FCPF, 2013). The FCPF has two separate but complementary funding mechanisms—the Readiness Fund and the Carbon Fund. The World Bank acts as trustee for the Readiness Fund and the Carbon Fund and delivery partner for the FCPF, providing technical support to the REDD+ Country Participants and conducting due diligence on matters such as fiduciary policies and environmental and social safeguards.

FCPF Readiness Fund: Is one of the two trust funds established under the FCPF. "The Readiness Fund supports participating countries as they prepare for REDD+ by developing the necessary policies and systems, including adopting national REDD+ strategies; developing RELs; designing MRV systems; and setting up REDD+ national management arrangements, including proper environmental and social safeguards" (FCPF, 2013).

R-PIN: Acronym for "Readiness Preparation Proposal Idea Note." "Initial proposal submitted to FCPF by an eligible REDD+ country outlining the basic elements of that country's proposal for REDD+" (FCPF, 2013).

R-PP: Acronym for "Readiness Preparation Proposal". A proposal submitted to FCPF by a participating country based on the R-PIN. It describes the approaches that the country will take to prepare itself for REDD+ implementation (FCPF, 2013).

R-Package: Acronym for "Readiness Package". It is the milestone of transition from Readiness to Implementation phase. It includes a REDD+ Strategy, REDD+ Implementation Framework, Reference Level, Forest Monitoring System, Safeguard Implementation plans (FCPF, 2013).

FCPF Carbon Fund: The FCPF Carbon Fund is one of the two trust funds established under the FCPF. The Carbon Fund "is designed to pilot performance-based payments for emission reductions from REDD+ programs in FCPF countries" (FCPF, 2013).

UN-REDD Programme: A collaborative program of FAO, UNDP and UNEP with funds and resources to support REDD+ readiness activities, policy development and implementation. UN-REDD has a global program and national programs assisting REDD+ counties in aspects related to MRV, reference levels, REDD+ governance, stakeholder engagement, benefits sharing among others (UN-REDD, 2013).

National Program Document (NPD): Building on the framework presented in the R-PP, the National Programme Document (NPD) describes the UN-REDD Programme contribution to implementation of the R-PP and to the national REDD+ readiness process.

Other relevant terms

- REDD+ Strategy
- Reference Level
- ER-PIN
- ERPA
- Forest Governance
- Drivers of Deforestation

Elements of REDD+ Readiness

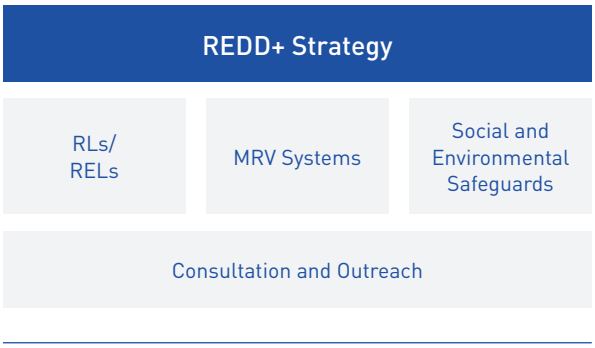


Figure 6. The elements of REDD+ according to the Cancun Agreements (Decision 1/CP.16 paragraph 71)

REDD+ strategy

A package of long-term policy interventions often developed through a multi-stakeholder process. These often have the goal of serving as a common agenda for achieving emissions reductions and promoting forest governance.

REDD+ Readiness includes the development of a REDD+ Strategy that describes how the country will develop and implement RLs/RELs, MRV systems, and social and environmental safeguards. A process of consultation and outreach underlies the development and implementation of each of these (Figure 6).

Reference Levels/Reference Emission Levels

Reference levels (RLs) "are generally used in the context of REDD+ to benchmark the amount of emissions from deforestation and forest degradation as well as the amount of removal from sustainable management of forests and enhancement of forest carbon stocks in a geographical area" (Meridian Institute, 2011b). Under the UNFCCC, the conservation of carbon stocks should be also considered.

Reference emission levels (RELs) "are generally used in the context of REDD+ to benchmark the amount of emissions from deforestation and forest degradation from a geographical area (REDD only)" (Meridian Institute, 2011b).

Measurement, reporting and verification systems

The MRV system will monitor and evaluate the performance of a REDD+ program in relation to the RELs/RLs established for REDD+ at national, sub-national or project levels. An MRV system establishes the framework to assess and monitor greenhouse gas emissions and removals due to national actions, and provides the data for countries to periodically update and publish the results of their mitigation efforts. Additionally, a strong MRV system provides credibility of REDD+ activities which is critical for the success of REDD+ efforts at any scale.

Social and Environmental Safeguards

Social and Environmental Safeguards are mechanisms—such as policies or processes—to prevent or mitigate identified risks and promote benefits. "The UNFCCC REDD+ safeguards and some policies and standards, use safeguards to require not only the avoidance of risks, but also the achievement of social and environmental benefits" (Mackenzie, 2013). The decision from COP 16 instructed Parties to develop systems for providing information on how safeguards will be addressed.

Consultation and outreach

Consultation and outreach consists of a range of structured activities that inform and gather interested parties to address specific complex development issues and find sustainable, mutually acceptable solutions around the design and implementation of REDD+ (Diamond, 2013). This also includes the idea that multiple stakeholders will have ongoing opportunities to weigh in on the definition of priority sub-issues, identify problem drivers and solutions and support implementation of REDD+ activities.

REDD+ Phases

Figure 7. The phases of REDD+ according to the Cancun Agreements (Decision 1/CP.16 paragraph 73)

I. **Readiness phase:** This is the first phase of REDD+ where countries design their national strategies and action plans with all relevant stakeholders, build capacities for REDD+ implementation, work on policies for forest governance, and initiate demonstration activities.

II. **Implementation phase:** This is the second phase of REDD+ where the national strategies, policies and action plans proposed in the readiness phase are implemented and scaled up from sub-national to national scale. This phase may include results-based demonstration activities and require additional capacity building, technology development and transfer.

III. **Results based action phase:** This is the third phase of REDD+ where results based actions are supported and all results are fully measured, reported and verified (see sections on Reference Levels, MRV and Carbon Finance).

As shown in Table 4, the two main multilateral readiness platforms for REDD+, UN-REDD and the FCPF, work together both at the international level, harmonizing normative frameworks and organizing joint events, and at the national level, where joint missions and sharing of information are producing coordinated support interventions.

Table 4. Multilateral platforms for REDD+ Readiness Phase

FCPF	UN-REDD
The FCPF has created a framework and processes for REDD+ readiness, which helps countries get ready for future systems of financial incentives for REDD+. The process to participate begins with the submission of the Readiness Proposal Idea Note (R-PIN) and, once reviewed and accepted, countries prepare the Readiness Preparation Proposal (R-PP). The R-PP is a document designed to assist a country prepare itself for involvement in REDD+, under either the FCPF or the UN-REDD Programme. With the assistance of FCPF's Readiness Fund, each participating country prepares for REDD+ developing the necessary policies and systems, including adopting national REDD+ strategies; developing reference emission levels (RELs); designing measurement, reporting, and verification (MRV) systems; and setting up REDD+ national management arrangements, including proper environmental and social safeguards. More information available at: www.forestcarbonpartnership.org/readiness-fund	The UN-REDD process includes the development of National Joint Programs, a set of activities contained in a common work plan and related budget, involving two or more UN organizations and (sub) national partners. NJPs have three aims: to assist developing countries to "get ready" to participate in a future REDD mechanism; to apply the Paris and Accra principles of country ownership and leadership in order to build confidence in the establishment of the REDD mechanism; to be at the forefront of UN Agency joint programming, in terms of delivering truly coordinated and harmonized NJPs that limit transaction costs for recipient countries and maximize delivery benefits. Efforts will be based upon, and extend, the approaches developed and agreed by the UN Development Group (UNDG). More information available at: www.un-redd.org

Through the R-PP the country lays out a road map and framework to examine and address the national situation related to REDD+ Readiness. The R-PP is designed to assist a country to prepare for involvement in REDD+, and may be used under either the FCPF or the UN-REDD Program.

R² ACHIEVING MULTIPLE BENEFITS FROM REDD+

The UN Environment Programme World Conservation Monitoring Centre (UNEP-WCMC) UNEP-WCMC offers support to countries under the UN-REDD Programme to ensure that their plans for REDD+ take account of the potential risks and opportunities for biodiversity and ecosystem services. This involves working directly with countries to 1) enhance their knowledge and capacity on REDD+ safeguards, 2) understand, map, and value multiple benefits and 3) monitor the potential impacts of REDD+ on biodiversity and ecosystem services. UNEP-WCMC engages with 14 countries, through workshops, the production of technical reports, and in-country collaborative working sessions. A recent example of our work under area 2) includes building capacity on REDD+ land use planning amongst five technicians from the Democratic Republic of Congo's Ministry of Environment, Conservation, Nature and Tourism, the Observatoire Satellital des Forêts d'Afrique Centrale (OSFAC) and the École Régionale Post-universitaire d'Aménagement et de Gestion Intégrée des Forêts Tropicales (ERAIFT), through an in-country working session. Prior to the session, the GIS skills of the participants were variable; however, over the course of one week UNEP-WCMC was able to develop their skills in the use of conservation planning software, to the point where they are now able to use it for REDD+. Participants also gained an enhanced understanding of REDD+ and the significance of the DRC REDD+ strategy.

-Lucy Goodman, UNEP-WCMC

4.3 SKILLS

Summary of main skills needed to understand and engage in REDD+ Readiness discussions:

Organize and Consult

- Understand the dynamics of national/sub-national REDD+ readiness processes
- Facilitate information sharing and early dialogue with key stakeholder groups
- Effectively manage the relations among the multiple levels of management between institutions at the national level
- Adaptively manage a strategic planning process
- Explain technical concepts in simple and easy to understand terms, using intercultural communications skills for adult learners
- Mediate and facilitate decision-making processes while maintaining neutrality
- Communicate difficult jargon to multiple audiences
- Design and implement consultation and outreach strategies

Prepare the REDD+ strategy

- Lead the development of a national strategy and REDD+ framework
- Conduct an assessment of land use, forest law, policy and governance, and major drivers of deforestation
- Assess relevant development policies, particularly for those sectors that are major drivers of deforestation
- Adapt the structure of a REDD+ implementation framework to the local context
- Understand a national forest governance framework
- Contribute to the development of an institutional strategy
- Track the national context and policies related to land tenure, benefit sharing and carbon rights
- Conduct social and environmental impact assessments
- Analyze national forest governance gaps and needs
- Understand international climate change mitigation and adaptation issues
- Understand human rights, indigenous peoples and local communities' issues
- Apply organizational and planning skills through a participatory approach
- Engage a broad range of stakeholders to mainstream the development of REDD+ strategy across sectors and government agencies
- Understand conservation issues related to ecosystem health
- Support all of the above through adaptive management
- Efficiently transfer knowledge to a range of stakeholders

Develop a national forest Reference Emission Level and/or a forest Reference Level

- Contribute technical knowledge to the development of RELs/RLs scenario based on historic emissions and removals, and adjustments as appropriate
- Contribute technical knowledge to the analysis of the potential and methodological implications of selecting any of the following REDD+ activities:
  - Reducing emissions from deforestation
  - Reducing emissions from forest degradation
  - Conservation of forest carbon stocks
  - Sustainable management of forests
  - Enhancement of forest carbon stocks
- Analyze the implications of the different scales of REDD+ when developing RELs/RLs (e.g. projects, state or regional, national)
- Perform an assessment of how national circumstances could affect a reference level (e.g. national social and economic development or climatic factors)
- Apply UNFCCC and IPCC guidelines and guidance for the development of RELs/RLs

Design systems for national forest monitoring and MRV

- Apply UNFCCC and IPCC guidelines and guidance for the establishment of a MRV system and the development of GHG inventories
- Apply UNFCCC guidance, plus World Bank and other widely used standards for the development and implementation of social and environmental safeguards at a national and sub-national level
- Understand UNFCCC guidance and the relation between REDD+ and NAMAs, to be able to organize a national REDD+ MRV system according to national circumstances
- Understand the key components needed to create national arrangements/framework
- Apply social and environmental impact assessment and monitoring methods
- Involve civil society, indigenous peoples, forest dependent communities, women as well as men, and all relevant stakeholders in the feedback and implementation process
- Identify the technical capacity and resources need to developed GHG inventories and monitoring activities
- Perform spatial analysis and land use change modeling
- Perform a socioeconomic analysis of land use change

Design systems for social and environmental safeguards

- Analyze and implement protocols for conflict resolution, grievance and mediation
- Interpret and apply existing applicable international and national social and environmental safeguards to the review or design of the country REDD+ safeguards system
- Communicate existing social and environmental safeguards to non-technical audiences
- Identify synergies between existing safeguards systems and identify similarities and differences of these safeguards systems with the national policy framework
- Identify social and environmental risks from REDD+ policies and programs
- Provide legal and social expertise on human rights, indigenous peoples and local community issues, skills in risk assessment methods
- Apply UNFCCC guidance for the establishment of safeguards information systems
- Understand the trade-offs and risks of REDD+ to sustainable development
- Apply organizational and planning skills in a participatory approach
- Apply adaptive management skills to support all of the above
- Listen and communicate with fluency in the language of the group being engaged
- Manage community engagement projects
- Be able to facilitate different modes of stakeholder engagement

Design a program monitoring and evaluation framework, schedule and budget

- Apply expertise in monitoring and evaluation techniques for government programs
- Contribute experience and knowledge on planning to the establishment and maintenance of institutional arrangements, laws and procedures between government agencies and all of the stakeholders involved in national REDD+ programs
- Apply organizational and planning skills through a participatory approach
- Contribute expertise in monitoring and evaluation techniques for government programs
- Conduct an institutional assessment of transparency and bureaucracy
- Prepare technical reports for national and international audiences
- Provide expertise in financial management

4.4 KEEP IN MIND

Many countries are progressing at different rates and the results from these activities are the basis to access additional funding. REDD+ Readiness activities should align with UNFCCC decisions, but financial and technical support comes from a variety of funding sources such as multilateral agencies, bilateral agreements, international organizations, foundations and private investments (Theme 10 provides an overview of funding options).

4.4 RESOURCES AND TOOLS

FCPF Website

Forest Carbon Partnerhip Facility.

http://www.forestcarbonpartnership.org/fcp/

A Guide to FCPF Readiness Assessment Framework

http://www.forestcarbonpartnership.org/sites/fcp/files/2013/July2013/FCPC%20framework%20text%207-25-13%20ENG%20web.pdf

FCPF Dashboard and Country Process Status and Issues

Table with essential information on country FCPF process status.

http://www.forestcarbonpartnership.org/sites/fcp/files/2013/june2013/FCPF%20Readiness%20Progress_June%2015_PC15.pdf

FCPF Carbon Fund Methodological Framework

A set of 37 criteria and related indicators that will be used by Carbon Fund Participants (amongst other selection criteria) to select national or subnational Emission Reductions Programs into the Carbon Fund portfolio.

https://www.forestcarbonpartnership.org/carbon-fund-methodological-framework

FCPF REDD+ Resources

https://www.forestcarbonpartnership.org/redd-resources

The Monitoring and Measurement, Reporting and Verification (M & MRV) Functions for REDD+ Mitigation Actions (draft)

UN-REDD guiding documents, tools and approaches according to components of REDD+ Readiness Component: Develop a National Forest Reference Emission Level and/or a Forest Reference Level.

http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=6852&Itemid=53

UN-REDD guiding documents, tools and approaches according to components of REDD+ Readiness
Component: Organize and Consult

Guidelines on Stakeholder Engagement for REDD+ Readiness with a Focus on the Participation of Indigenous Peoples and Other Forest-Dependent Communities

http://www.unredd.net/index.php?option=com_docman&task=cat_view&gid=1120&Itemid=53

UN-REDD Programme Guidelines on Free, Prior and Informed Consent (FPIC)

http://www.unredd.net/index.php?option=com_docman&task=cat_view&gid=2648&Itemid=53

UN-REDD guiding documents, tools and approaches according to components of REDD+ Readiness
Component: Prepare a REDD+ Strategy

UN-REDD Programme Handbook for National Programmes and Other National Level Activities

http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=8148&Itemid=53

Social and Environmental Principles and Criteria (SEPC)

http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=6753&Itemid=53

UN-REDD guiding documents, tools and approaches according to components of REDD+ Readiness
Component: Design Systems for National Forest Monitoring and Information on Safeguards.

Participatory Governance Assessment

http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=5330&Itemid=53

Guidelines for Monitoring the Impacts of REDD+ on Biodiversity and Ecosystem Services (draft, Feb 2011)

http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=5330&Itemid=53

An Annotated Guide to Useful Resources for Monitoring the Impacts of REDD+ on Biodiversity and ecosystem Services (draft, Feb 2011)

http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=5330&Itemid=53

REDD+ Online Training

Conservation training.

https://www.conservationtraining.org/

REDD+ Partership website

http://reddpluspartnership.org/en/

UN-REDD Programme website

http://www.un-redd.org/

5. STAKEHOLDER ENGAGEMENT

5.1 GENERAL COMPETENCY STATEMENT

Those stakeholders responsible for designing and implementing REDD+ stakeholder engagement processes need to understand the roles and responsibilities of the various stakeholders in REDD+; the value of their engagement; and the key elements to achieve full, inclusive and effective participation in REDD+ planning, implementation and monitoring at the national, sub-national or project level.

5.2 KNOWLEDGE

Importance of this REDD+ theme

Robust stakeholder engagement is essential for achieving full and effective participation in all REDD+ processes and activities that require decision-making. Reliable and sustainable processes for full and effective participation lead to the ownership of decisions, projects and outcomes by stakeholders, which can lead to more effective results.

Policy milestones

This section describes policy milestones from the UNFCCC process. A growing number of other frameworks, such as bilateral agreements between countries, are also in development. Knowledge about these initiatives is also important for many stakeholders. Programs and projects should also understand and refer to relevant national and sub-national laws and policies, for example those which define the allocation of land and resource rights, participation, information transparency, and dispute resolution.

2010: COP 16, Cancun, Mexico

Cancun (2010) decision 1/CP.16, paragraphs 72 and appendix I, paragraph 2 (d) relates to social safeguards, full and effective participation of relevant stakeholders, inter alia indigenous peoples and local communities.

Paragraph 72: "requests developing country Parties, when developing and implementing their national strategies or action plans, to address, inter alia, the drivers of deforestation and forest degradation, land tenure issues, forest governance issues, gender considerations and the safeguards identified in paragraph 2 of appendix I to this decision, ensuring the full and effective participation of relevant stakeholders, inter alia indigenous peoples and local communities."

Paragraph 2: "When undertaking the activities referred to in paragraph 70 of this decision, the following safeguards should be promoted and supported: (d) the full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision."

2012: COP 18, Doha, Qatar

Doha (2012) decision 23/CP.18: decision promoting gender balance and improving the participation of women in UNFCCC negotiations and in the representation of Parties in bodies established pursuant to the Convention or the Kyoto Protocol.

Other supporting policy benchmarks:

2010. Tenth meeting of the Conference of the Parties Convention on Biological Diversity (COP10), in Nagoya, Japan

Decision X/33 on Biodiversity and Climate Change, paragraph (q): "enhance the benefits for, and avoid negative impacts on, biodiversity from reducing emissions from deforestation and forest degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries, and other sustainable land management and biodiversity conservation and sustainable-use activities, taking into account the need to ensure the full and effective participation of indigenous and local communities in relevant policy-making and implementation processes, where appropriate; and to consider land ownership and land tenure, in accordance with national legislation."

TERMS

Consultation: Consultation is the establishment of a dialogue process that will allow all stakeholders to communicate in an atmosphere of mutual respect and good faith. Together with participation, consultation forms an essential component of a consent process. Consultation should consider the decision-making processes of indigenous and forest dependent communities.

Free, Prior and Informed Consent (FPIC): There is no universally accepted definition of Free, Prior and Informed Consent and guidance on its application is still evolving.

The following descriptions are based on the elements of a common understanding of free, prior and informed consent endorsed by the United Nations Permanent Forum on Indigenous Issues (UNPFII) at its Fourth Session in 2005.

"FPIC means the seeking of a consensual agreement (1) without coercion or manipulation, (2) sought sufficiently in advance of any authorization of activities, (3) based on full and understandable information on the proposed project and likely impacts, and (4) which respects both the community's internal collective decision-making processes and leadership or representative structure" (UNPFII, 2005).

Other perspectives on Free, Prior and Informed Consent include:

"While there is no universal definition of FPIC, there is an emerging consensus of common understanding associated with the application of FPIC and the rights that form its foundation. To this effect, FPIC could be viewed as a particular expression of the right to self-determination; related rights to lands, territories, and natural resources; the right to culture; and the right to be free from racial discrimination" (CIEL, 2010).

"Free, Prior and Informed Consent is the collective right of indigenous peoples to participate in decision-making and to give or withhold their consent to activities affecting their lands, territories and resources or rights in general. Consent must be freely given, obtained prior to implementation of activities and be founded upon an understanding of the full range of issues implicated by the activity or decision in question; hence the formulation: free, prior and informed consent" (Colchester et al., 2004).

Free, Prior and Informed Consultation: Some countries and organizations, interpret FPIC to mean Free, Prior and Informed *Consultation* (FPI Consultation).

The United States understands the provisions for free, prior and informed consent contained in the UN Declaration on the Rights of Indigenous Peoples, to refer to a process of meaningful consultation:

"The United States recognizes the significance of the Declaration's provisions on free, prior and informed consent, which the United States understands to call for a process of meaningful consultation with tribal leaders, but not necessarily the agreement of those leaders, before the actions addressed in those consultations are taken" (US Department of State, 2010).

In some cases, countries may have national legislation that refers to or requires consultation with indigenous peoples or other stakeholders.

The World Bank, in its Operational Policy on Indigenous Peoples (OP 4.10) requires free, prior and informed consultation when a project affects indigenous peoples:

"When a project affects Indigenous Peoples, the World Bank's Task Team assists the borrower in carrying out free, prior, and informed consultation with affected communities about the proposed project throughout the project cycle, taking into consideration the following:

(a) 'free, prior, and informed consultation' is consultation that occurs freely and voluntarily, without any external manipulation, interference, or coercion, for which the parties consulted have prior access to information on the intent and scope of the proposed project in a culturally appropriate manner, form, and language;

(b) consultation approaches recognize existing Indigenous Peoples Organizations (IPOs), including councils of elders, headmen, and tribal leaders, and pay special attention to women, youth, and the elderly;

(c) the consultation process starts early, since decision-making among Indigenous Peoples may be an iterative process, and there is a need for adequate lead time to fully understand and incorporate concerns and recommendations of Indigenous Peoples into the project design; and

(d) a record of the consultation process is maintained as part of the project files" (World Bank OP 4.10–Indigenous Peoples).

Gender analysis: "Examines the different but interdependent roles of men and women and the relations between the sexes. It also involves an examination of the rights and opportunities of men and women, power relations, and access to and control over resources. Gender analysis identifies disparities, investigates why such disparities exist, determines whether they are detrimental, and if so, looks at how they can be remedied" (USAID).

Gender equity: "Is the process of being fair to women and men. To ensure fairness, measures must often be available to compensate for historical and social disadvantages that prevent women and men from otherwise operating on an equitable basis, or a 'level playing field.' Equity leads to equality" (USAID).

Gender: "Is a social construct that refers to relations between and among the sexes, based on their relative roles. It encompasses the economic, political, and socio-cultural attributes, constraints, and opportunities associated with being male or female. As a social construct, gender varies across cultures, is dynamic and open to change over time. Because of the variation in gender across cultures and over time, gender roles should not be assumed but investigated. Note that *gender* is not interchangeable with *women* or *sex*" (USAID).

Human rights-based approach: As described by the Office of the United Nations High Commissioner for Human Rights (2006), "a human rights-based approach is a conceptual framework for the process of human development that is normatively based on international human rights standards and operationally directed to promoting and protecting human rights."

REDD+ rights holders: "Are those whose rights are potentially affected by the REDD+ program, including holders of individual rights and indigenous peoples and others who hold collective rights" (REDD+ SES, 2012).

REDD+ stakeholders: Are defined as "...those groups that have a stake/interest/right in the forest and those that will be affected either negatively or positively by REDD+ activities. They include relevant government agencies and elected officials at various levels, formal and informal forest users, private sector entities, indigenous peoples and other forest-dependent communities" (FCPF & UN-REDD, 2011).

Stakeholder: A person, group, organization or system with an interest that affects or can be affected by a project or program.

Stakeholder analysis: Refers to the application of tools and methods to obtain information about stakeholders, stakeholder groups, relations, interest and influence among them. This information helps conveners to collaborate effectively and avoid wrong stereotypes.

Stakeholder consultation: "Refers to a particular methodology used by the conveners of multi-stakeholder processes. It allows conveners to hear stakeholders without an obligation to act on this input" (Diamond, 2013).

Stakeholder engagement: "Is an umbrella term, encompassing a range of structured activities that inform and gather interested parties to address specific complex development issues and find sustainable, mutually acceptable solutions. The term conveys the idea that multiple stakeholders will have ongoing opportunities to weigh in on defining priority sub-issues, identify problem drivers and solutions and support implementation. Multi-stakeholder engagement processes are often premised on a set of principles referencing ideals of participation equity, fairness, respect, transparency and accountability and collaboration, between conveners and participants and among participants. Rather than one-off meetings, stakeholder engagement aims to improve dialogue and decision-making at all stages of planning and implementation, particularly when accompanied by capacity building around technical and process issues" (UNDP, 2006).

Stakeholder participation: Can refer to anything "from a person physically being present at an event to someone's active involvement (e.g., speaking up, offering time and labor, etc.) at stakeholder events or activities" (Diamond, 2013).

Vulnerable groups: "Are those with high exposure to external stresses and shocks (including climate change); and with high sensitivity and low adaptive capacity to adjust in response to actual or expected changes due to their lack of secure access to the assets on which secure livelihoods are built (socio-political, cultural, human, financial, natural and physical). Forest dependency may be an important factor affecting vulnerability particularly where the REDD+ program itself may change access to forest resources. In many situations marginalization exacerbates vulnerability, e.g. marginalization by gender" (REDD+SES, 2012).

Other relevant terms

- Full and effective participation
- Indigenous peoples
- Forest dependent communities
- Safeguards
- Grievance mechanism
- Conflict resolution
- Representation
- Decision-making Procedural rights
- Substantive rights

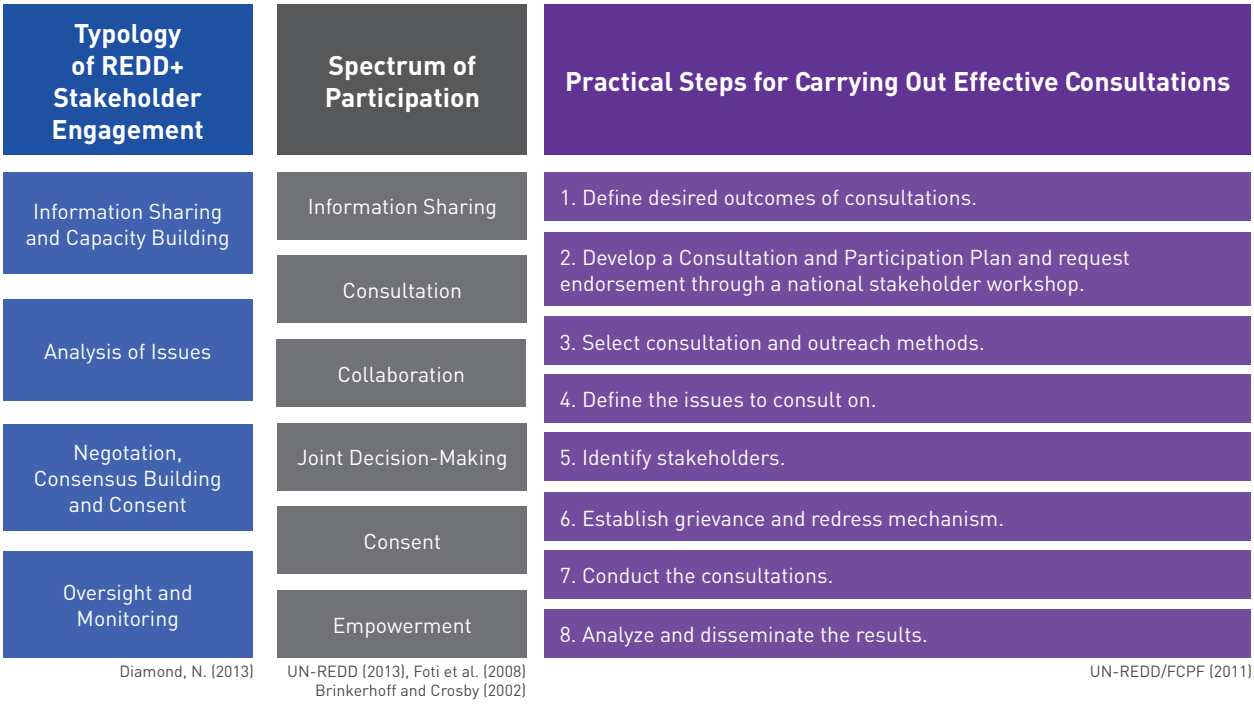


Figure 8. Overview of REDD+ stakeholder engagement approaches

Elements of REDD+ stakeholder engagement

According to Diamond (2013), a typology of REDD+ stakeholder engagement could be organized based on convener objectives and levels of power sharing in the following categories (see Figure 8):

Information sharing and capacity building

This type of REDD+ stakeholder engagement consists of the dissemination of objective information to multiple stakeholder groups and promoting the dialogue and exchange around capacity building experiences. In general, a great part of the REDD+ stakeholder engagement processes starts with this type of engagement since the terminology and concepts related to REDD+ are new and negotiations to define REDD+ are still ongoing. It is worth noting that regardless of the education level of the audience, REDD+ capacity building is often challenging due to the complexity and multidisciplinary nature of the subject.

Analysis of issues

This type of REDD+ stakeholder engagement consists of gathering information from relevant stakeholders to map and understand their stake, interest and rights in the forest as well as whether REDD+ brings positive or negative social and environmental impacts to their territories. Analysis of issues also helps to identify relevant groups of stakeholders involved, their relations, interests and decision-making structures at different scales (national, regional, local). This information is used to facilitate decision-making through participatory processes. Incorporate traditional and local knowledge into the analysis of REDD+ issues, such as drivers of deforestation, benefit sharing, community monitoring and community decision-making.

Negotiation, consensus building and consent

This type of REDD+ stakeholder engagement consists of convening multiple stakeholder groups to consider information, generate

feedback and new ideas, interact with other stakeholders and directly participate in decision-making. Inclusiveness is critical to the legitimacy and sustainability of consensus and consent.

Oversight and monitoring

This type of engagement requires stakeholders to oversee and monitor a process, strategy, program or policy implementation; oversight and monitoring requires convening and organizing multi-stakeholder oversight bodies to plan and effectively budget the real cost of stakeholder engagement throughout the whole process and to develop indicators to track performance and report progress. It also includes identifying and improving effective mechanisms compatible with the development of Safeguard Information Systems (SIS) for the oversight of benefit distribution, grievance resolution and impact monitoring and communications on the progress of the stakeholder engagement process at multiple levels.

Engagement requires participation, but participation does not necessarily mean that stakeholders feel ownership of the processes, results and implementation of policies, plans and programs. Full, inclusive and effective participation has a spectrum that ranges from information sharing to empowerment. UN-REDD (2013), Foti et al. (2008) and Brinkerhoff and Crosby (2002) describe elements of the spectrum of participation illustrated in Figure 8 as:

Information sharing

Mostly a one-way flow of information with the objective to keep actors informed, provide transparency, and build legitimacy.

Consultation

Two-way flow of information and the exchange of views responding back to stakeholders about how their recommendations were addressed (including if they were not, why not).

Collaboration

Collaboration moves beyond collecting feedback to involving external actors but retaining decision-making authority and control.

Joint decision-making

Shared control over a decision made, often useful when the external actor's knowledge, capacity, and experience are critical for achieving policy objectives.

Consent

Freely given decision from the community based on full, objective information. A decision made by the community that will determine how and if an activity or action will be carried out.

Empowerment

Transfers control over decision-making, resources, and activities from the initiator to other stakeholders.

Some of the factors that define the success of an effective REDD+ stakeholder engagement process are:

Government support

Any national or regional REDD+ stakeholder engagement process should be recognized and supported by the relevant level of government. Government leadership is necessary to set up the overall plan and guidelines of the stakeholder engagement process. Readiness and planning needs to be government-led but not all stakeholder engagement needs to be government-led.

Capacity building

Good decision-making requires familiarity with the issues. Information sharing and capacity building on REDD+ is as continuous and iterative as stakeholder engagement.

Ensuring that the basic aspects of REDD+ are understood among all stakeholders participating in a stakeholder engagement process is

necessary for effective decision-making. All stakeholders need the information and training required to support participation in decision-making. Assumptions that information is too technical or complex for particular groups to understand must be avoided, but special efforts may be needed to ensure that all groups receive information in ways that are culturally appropriate and understandable by the stakeholder group. This may require additional time and effort, such as translating documents and information sessions into indigenous peoples' native languages.

Representation

Is the representation from a stakeholder group legitimate? Were representatives selected in a transparent and valid way? Do they represent the interests of the entire group or community, or are they a member of an elite or special interest group? Another challenge can be ensuring that the representation is effective. Is the feedback and input of the community sought out and brought to the consultation or decision-making process? Is information from meetings or decision-making processes communicated back to the stakeholder group? Is there adequate funding provided to enable representatives to attend meetings and convene meetings to communicate information about the process or project?

Timelines

There are often a range of external time pressures on governments and project/program developers. This pressure may encourage governments, or project developers to forego full stakeholder engagement processes. Executing the stakeholder engagement process generally adds time to the project/program development process and can run the risk of adding delays to implementation.

Inclusive decision-making

Stakeholder engagement is a key component to reduce the risk of making decisions without the full and effective participation of all the interested and impacted parties. Local decision-making processes must be understood and respected by project implementers. It can be challenging to determine if and how the voices of all groups in a community are included in decision-making. Efforts should be made to ensure that men and women participate effectively in such processes.

Financial aspects

The stakeholder engagement process is the key cross cutting issue that links all the technical and social aspects in REDD+ and sets it into the national, sub-national and local contexts. Comprehensive implementation of a stakeholder engagement process is often limited by short-term financial concerns. Budgets submitted for proposals and projects often do not include sufficient funds to design and carry out a comprehensive and long-term stakeholder engagement and related capacity building programs. When funds are available, they are often inadequate for the complex processes required for full and effective participation—especially when stakeholders include populations in remote or rural areas, such as indigenous peoples and other local communities. It is important to keep in mind that stakeholder engagement has a cost throughout the entire process, and it evolves along with the REDD+ process itself. A good stakeholder engagement platform is the main mechanism to guide all related decision-making aspects of REDD+.

STAKEHOLDER ENGAGEMENT—ESSENTIAL FOR MORE EFFECTIVE AND SUSTAINABLE REDD+ IMPLEMENTATION IN WEST AND CENTRAL AFRICA

Stakeholder engagement is integral to the development of an effective strategy for REDD+ implementation in any country—not the least in countries of West and Central Africa. Most R-PPs aim at ensuring that all stakeholder groups at all levels have a better understanding of REDD+, better definition of expected roles and responsibilities, etc. Stakeholder engagement emphasizes increased awareness raising, integration of REDD+ initiatives with safeguards measures and broad involvement in implementation to help ensure effective communication and informed decision-making.

Critical to the process of engagement is the active involvement and support of local level institutions and stakeholders such as traditional authorities, land owners, land users, community institutions and community members. This is because they live closest to forest resources and thus have a critical role to play in conservation in the light of their rich knowledge and experience in natural resource management as well as the fact that forest resources often serve as the primary, if not the only source of their livelihoods. Additionally, benefit sharing, which is one of the key issues for REDD+ requires very extensive consultation and participation of national stakeholders at all levels in the planning, decision-making and implementation of these arrangements. There is therefore the need to engage all stakeholders significantly affected by, involved in implementation of, or otherwise interested in REDD+.

IUCN invested resources into multi-stakeholder engagement processes by enhancing the capacities of civil society organizations, local level institutions and networks through awareness raising workshops and training and supporting existing multi stakeholder platforms.

-Adeleke Adewale, IUCN

5.3 SKILLS

An overview of key skills needed to understand and design a REDD+ stakeholder engagement process:

Information sharing and capacity building

- Convene and lead multi-stakeholder groups to address complex issues
- Facilitate dialogue and exchange of opinions
- Maintain neutrality in decision-making spaces with appropriate mediation and facilitation skills
- Communicate difficult jargon to multiple audiences
- Address an audience fluently in the appropriate language
- Provide all relevant information and materials in appropriate language, formats and literacy levels according to the target audience
- Analyze capacity building needs of the audience to be engaged
- Facilitate and promote multi-country capacity building
- Design and implement a cost effective capacity building plan and strategy
- Measure and monitor the impact of information sharing
- Promote the equal representation of women in meetings, workshops and trainings
- Adaptively plan logistics according to the audience's availability and mobility
- Include vulnerable groups and relevant rights holders throughout the whole process
- Use intercultural communications skills to support information sharing by applying experience and techniques to explain technical concepts in simple and easy to understand terms
- Develop skills in leadership, negotiation, facilitation and advocacy

Analysis of issues

- Conduct social impact assessment of a stakeholder engagement strategy
- Analyze stakeholder groups, categories, relations and networks
- Conduct stakeholder analysis based on land use
- Conduct gender analysis for integrating gender into REDD+ activities
- Analyze the impact of REDD+ on land ownership and rights
- Apply participatory analytical tools (e.g. participatory governance assessment)
- Conduct a needs assessment of the information and resources needed prior to the implementation of the stakeholder engagement process
- Maintain neutrality in discussions with appropriate mediation and facilitation skills
- Facilitate discussions of multi-stakeholder groups
- Facilitate participatory planning to establish the stakeholder engagement process
- Analyze the cultural, socio-economic and political context that stakeholders are working in and design or adapt the stakeholder engagement approach accordingly
- Analyze the status of consensus building around procedural rights

Negotiation, consensus building and consent

- Convene and lead multi-stakeholder groups to address complex issues
- Mediate and facilitate effective communication and dialogue in decision-making spaces
- Apply organizational and planning skills to design and implement an effective, participatory approach
- Increase inclusiveness through stakeholder analysis and include gender sensitive stakeholder analysis
- Include representatives from relevant sectors beyond forestry and environment (e.g. agriculture, energy, mining)
- Harmonize requirement and standards of donors and multilateral financing mechanisms
- Apply social science research methods and capacity to contribute in the design and implementation of:
  - stakeholder mapping
  - processes seeking and obtaining consent
  - consent agreements
  - strategies and plans for communication and information sharing
  - gender analysis, participatory approaches to applied research and analysis, monitoring and evaluation, reporting (i.e., CB MRV, participation in SIS, etc.)
- Respect peoples' right not to engage

Oversight and monitoring

- Identify existing and improve reporting procedures for stakeholder outreach
- Standardize reporting indicators for stakeholder engagement and connect all information from these processes to the safeguards information systems
- Convene and organize multi-stakeholder oversight bodies
- Allow civil society to elect representatives for oversight bodies
- Synchronize engagement methodologies with engagement objectives
- Effectively plan and budget the real cost of stakeholder engagement throughout the whole process and develop indicators to track performance and report progress
- Identify and improve effective mechanisms for monitoring performance of stakeholder engagement
- Identify and improve effective mechanisms for responding to feedback and address complaints
- Develop standard practices for evaluating engagement work at multiple scales (e.g. national, sub-national, local)
- Design effective mechanisms to review participatory processes and guarantee conditions and terms are being upheld
- Develop a framework, structure, steps and governance of a feasible grievance mechanism
- Implement grievance mechanisms and conflict resolution protocols
- Identify channels to document and communicate about the progress of the stakeholder engagement process
- Identify, develop and implement information disclosure protocols

5.4 KEEP IN MIND

Stakeholder engagement is a cross-cutting component. Its iterative nature requires long-term planning monitoring and evaluation to ensure continuous engagement and participation of stakeholders. As a UNFCCC safeguard it aims to ensure that rights of stakeholders are respected and that their needs and priorities are understood and incorporated into all phases of REDD+ (Readiness, Implementation and Results-based phases).

5.5 RESOURCES AND TOOLS

UN-REDD Draft Guidelines on Stakeholder Engagement (2011)

Guidelines on Stakeholder Engagement in REDD+ Readiness with a focus on the participation of indigenous peoples and other forest-dependent communities from FCPF and the UN-REDD Programme.

http://www.un-redd.org/Stakeholder_Engagement/Guidelines_On_Stakeholder_Engagement/tabid/55619/Default.aspx

UN-REDD Programme Operational Guidance: Engagement of Indigenous Peoples and other Forest Dependent Communities (2009)

http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=455&Itemid=53

Global Gender and Climate Change Training Manual

2009 Training manual on gender and climate change from IUCN, UNDP, Global Gender and Climate Alliance

http://data.iucn.org/dbtw-wpd/edocs/2009-012.pdf

Training manual on Free, Prior and Informed Consent (FPIC) in REDD+ for Indigenous Peoples

2012 training manual from Asia Indigenous Peoples Pact and International Work Group for Indigenous Affairs.

http://www.forestpeoples.org/sites/fpp/files/publication/2012/10/fpic-manual-web21.pdf

REDD+ Stakeholder Engagement Assessment Methodological Framework

From Conservation International.

http://www.conservation.org/Documents/CI_REDDplus-Stakeholder-Engagement-Analysis-Methodology.pdf

Methods for Assessing and Evaluating Social Impacts of Program-Level REDD+

This report from USAID-FCMC summarizes and analyses various methods for conducting these assessments and evaluations and provides guidance for program staff and stakeholders to design and implement REDD+ programs that are socially sound.

http://www.fcmcglobal.org/documents/LISA_REDD_Methods_Review.pdf

Enhancing Stakeholder Participation in National Forest Programmes: A Training Manual

Stakeholder Participation in Program Design. From FAO.

http://www.fao.org/docrep/014/i1858e/i1858e00.pdf

Network Perspectives in the Evaluation of Development Interventions: More than a Metaphor

Network Analysis.

http://mande.co.uk/docs/nape.pdf

Stakeholder Analysis and Natural Resource Management

From Carleton University: Ottawa.

http://www1.worldbank.org/publicsector/politicaleconomy/November3Seminar/Stakehlder%20Readings/SA-Chevalier.pdf

Good Practices in Participatory Mapping: A Review Prepared for the International Fund for Agricultural Development (IFAD)

http://www.ifad.org/pub/map/pm_web.pdf

Readiness to Engage: Stakeholder Engagement Experiences for REDD+

From USAID FCMC-Forest Carbon, Markets and Communities Program.

http://www.fcmcglobal.org/documents/Stakeholder_Engagement.pdf

World Bank Operational Policy 4.10–Indigenous Peoples

World Bank Operational Policies establish the parameters for the conduct of World Bank operations.

http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/EXTPOLICIES/EXTOPMANUAL/0,,contentMDK:20553653~menuPK:4564185~pagePK:64709096~piPK:64709108~theSitePK:502184,00.htmlEXTOPMANUAL/0,,menuPK:64701763~pagePK:64719906~piPK:64710996~theSitePK:502184,00.html

Announcement of US Support for the United Nations Declaration on the Rights of Indigenous Peoples

2010 announcement from President Obama on United States support for the United Nations Declaration on the Rights of Indigenous Peoples.

http://www.state.gov/s/tribalconsultation/declaration/

6. PERSPECTIVES ON FREE, PRIOR AND INFORMED CONSENT (FPIC)

6.1 GENERAL COMPETENCY STATEMENT

Any stakeholder engaged in REDD+ must understand the evolving discussions and perspectives on the concept and application of Free, Prior and Informed Consent (FPIC) and how interpretations of FPIC vary.

6.2 KNOWLEDGE

Importance of this REDD+ theme

The concept of Free, Prior and Informed Consent (FPIC) has received much attention as a possible way to satisfy some of the REDD+ social safeguards requirements in the Cancun Agreements. However, UNFCCC decisions do not explicitly refer to, or require FPIC. National laws, international institutions and organizations have varying interpretations of FPIC and its application. Countries and project implementers that are applying elements of FPIC in REDD+ do so in light of evolving guidance that is based on international instruments like International Labour Organization (ILO) Convention No. 169, the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP), the Convention on Biological Diversity (CBD), initiatives like UN-REDD and REDD+ SES.

Policy milestones

While FPIC is not explicitly required under the UNFCCC, many elements of FPIC are recognized by a number of international agreements and instruments. These have contributed to the evolving discussions and interpretations of FPIC in the context of REDD+:

1989: International Labour Organization Convention No. 169

This is the major binding international convention regarding indigenous peoples, and a precursor of the UNDRIP. ILO 169 has been ratified by 22 countries, most of them in Latin America.

1992: Convention on Biological Diversity, Article 8(j)

The CBD included an article recognizing that indigenous traditional knowledge may only be used with prior approval and requires national governments to protect indigenous cultures and peoples. Article 8(j) states:

- "Each contracting Party shall, as far as possible and as appropriate: subject to national legislation, respect, preserve and maintain knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity and promote their wider application with the approval and involvement of the holders of such knowledge, innovations and practices and encourage the equitable sharing of the benefits arising from the utilization of such knowledge innovations and practices."

2007: United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) Articles 10, 11, 19, 29, 30, 32

UNDRIP is a non-legally binding document adopted by the United Nations General Assembly in 2007 with the support of 143 countries. UNDRIP sets out the individual and collective rights of indigenous peoples, as well as their rights to culture, identity, language, employment, health, education and other issues. It also "emphasizes the rights of indigenous peoples to maintain and strengthen their own institutions, cultures and traditions, and to pursue their development in keeping with their own needs and aspirations." FPIC is referenced in six of the Articles within UNDRIP.

2010: Tenth meeting of the Conference of the Parties to the Convention on Biological Diversity (CBD COP 10), in Nagoya, Japan

Decision X/33 on Biodiversity and Climate Change, paragraph (q): "enhance the benefits for, and avoid negative impacts on, biodiversity from reducing emissions from deforestation and forest degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries, and other sustainable land management and biodiversity conservation and sustainable-use activities, taking into account the need to ensure the full and effective participation of indigenous and local communities in relevant policy-making and implementation processes, where appropriate; and to consider land ownership and land tenure, in accordance with national legislation."

TERMS

Consultation: Consultation is the establishment of a dialogue process that will allow all stakeholders to communicate in an atmosphere of mutual respect and good faith. Together with participation, consultation forms an essential component of a consent process. Consultation should consider the decision-making processes of indigenous and forest-dependent communities.

Customary rights: "To lands and resources refers to patterns of long-standing community land and resource usage in accordance with indigenous peoples' and local communities' customary laws, values, customs, and traditions, including seasonal or cyclical use, rather than formal legal title to land and resources issued by the State" (World Bank OP 4.10–Indigenous Peoples).

Free, Prior and Informed Consent (FPIC): There is no universally accepted definition of Free, Prior and Informed Consent and guidance on its application is still evolving.

The following descriptions are based on the elements of a common understanding of free, prior and informed consent endorsed by the UNPFII at its Fourth Session in 2005.

"FPIC means the seeking of a consensual agreement (1) without coercion or manipulation, (2) sought sufficiently in advance of any authorization of activities, (3) based on full and understandable information on the proposed project and likely impacts, and (4) which respects both the community's internal collective decision-making processes and leadership or representative structure" (UNPFII, 2005).

Other perspectives on Free, Prior and Informed Consent include:

"While there is no universal definition of FPIC, there is an emerging consensus of common understanding associated with the application of FPIC and the rights that form its foundation. To this effect, FPIC could be viewed as a particular

expression of the right to self-determination; related rights to lands, territories, and natural resources; the right to culture; and the right to be free from racial discrimination" (CIEL, 2010).

"Free, Prior and Informed Consent is the collective right of indigenous peoples to participate in decision-making and to give or withhold their consent to activities affecting their lands, territories and resources or rights in general. Consent must be freely given, obtained prior to implementation of activities and be founded upon an understanding of the full range of issues implicated by the activity or decision in question; hence the formulation: free, prior and informed consent" (Colchester et al., 2004).

Free, Prior and Informed Consultation: Some countries and organizations, interpret FPIC to mean Free, Prior and Informed *Consultation* (FPI Consultation).

The United States understands the provisions for free, prior and informed consent contained in the UN Declaration on the Rights of Indigenous Peoples, to refer to a process of meaningful consultation:

"The United States recognizes the significance of the Declaration's provisions on free, prior and informed consent, which the United States understands to call for a process of meaningful consultation with tribal leaders, but not necessarily the agreement of those leaders, before the actions addressed in those consultations are taken" (US Department of State, 2010).

In some cases, countries may have national legislation that refers to or requires consultation with indigenous peoples or other stakeholders.

The World Bank, in its Operational Policy on Indigenous Peoples (OP 4.10) requires free, prior and informed consultation when a project affects indigenous peoples:

"When a project affects Indigenous Peoples, the World Bank's Task Team assists the borrower in carrying out free, prior, and informed consultation with affected communities about the proposed project throughout the project cycle, taking into consideration the following:

(a) 'free, prior, and informed consultation' is consultation that occurs freely and voluntarily, without any external manipulation, interference, or coercion, for which the parties consulted have prior access to information on the intent and scope of the proposed project in a culturally appropriate manner, form, and language;

(b) consultation approaches recognize existing Indigenous Peoples Organizations (IPOs), including councils of elders, headmen, and tribal leaders, and pay special attention to women, youth, and the elderly;

(c) the consultation process starts early, since decision-making among Indigenous Peoples may be an iterative process, and there is a need for adequate lead time to fully understand and incorporate concerns and recommendations of Indigenous Peoples into the project design; and

(d) a record of the consultation process is maintained as part of the project files" (World Bank OP 4.10–Indigenous Peoples).

Human rights: "Human rights are rights inherent to all human beings, whatever our nationality, place of residence, sex, national or ethnic origin, color, religion, language, or any other status. We are all equally entitled to our human rights without discrimination. These rights are all interrelated, interdependent and indivisible. Universal human rights are often expressed and guaranteed by law, in the forms of treaties, customary international law, general principles and other sources of international law. International human rights law lays down obligations of governments to act in certain ways or to refrain from certain acts, in order to promote and protect human rights and fundamental freedoms of individuals or groups" (OHCHR, 2012).

Human Rights-Based Approach: As described by the OHCHR (2006), a human rights-based approach "is a conceptual framework for the process of human development that is normatively based on international human rights standards and operationally directed to promoting and protecting human rights."

Indigenous peoples: There is no universal definition for indigenous peoples. The commonly accepted understanding of this term is a working definition by Jose R. Martinez Cobo (1986/7):

"Indigenous communities, peoples and nations are those which, having a historical continuity with pre-invasion and pre-colonial societies that developed on their territories, consider themselves distinct from other sectors of the societies now prevailing on those territories, or parts of them. They form at present non-dominant sectors of society and are determined to preserve, develop and transmit to future generations their ancestral territories, and their ethnic identity, as the basis of their continued existence as peoples, in accordance with their own cultural patterns, social institutions and legal system.

This historical continuity may consist of the continuation, for an extended period reaching into the present of one or more of the following factors:

- Occupation of ancestral lands, or at least of part of them
- Common ancestry with the original occupants of these lands
- Culture in general, or in specific manifestations (such as religion, living under a tribal system, membership of an indigenous community, dress, means of livelihood, lifestyle, etc.)
- Language (whether used as the only language, as mother tongue, as the habitual means of communication at home or in the family, or as the main, preferred, habitual, general or normal language)
- Residence in certain parts of the country, or in certain regions of the world
- Other relevant factors

On an individual basis, an indigenous person is one who belongs to these indigenous populations through self-identification as indigenous (group consciousness) and is recognized and accepted by these populations as one of its members (acceptance by the group). This preserves for these communities the sovereign right and power to decide who belongs to them, without external interference."

Local communities: As defined by the CBD (2011), local community is a very ambiguous term:

"It can refer to a group of people which have a legal personality and collective legal rights and this is considered a community in the strict sense. However, many States refuse to accept collective rights, in general and some except [*sic*] is [*sic*] only in relation to the right of self-determination.

Alternatively, a 'local community' can refer to a group of individuals with shared interests (but not collective rights) represented by a non-governmental organization (NGO).

Wherever collective rights exist, the collective should be given legal recognition. For example indigenous peoples who are often denied their right to collective identity are forced to act through NGOs, which are social rather than community organizations.

The issue of cultural identity remains multidimensional and complex issue. Self-identification is the most appropriate way to establish who may be indigenous and local and/or traditional communities. In international law, it is clear that a "definition" is not a prerequisite for protection and that groups such as minorities have been guaranteed rights under international law without establishing a definition."

REDD+ rights holders: "Are those whose rights are potentially affected by the REDD+ program, including holders of individual rights and indigenous peoples and others who hold collective rights" (REDD+ SES, 2012).

Traditional knowledge: "Traditional knowledge refers to the knowledge, innovations and practices of indigenous and local communities around the world. Developed from experience gained over the centuries and adapted to the local culture and environment, traditional knowledge is transmitted orally from generation to generation. It tends to be collectively owned and takes the form of stories, songs, folklore, proverbs, cultural values, beliefs, rituals, community laws, local language, and agricultural practices, including the development of plant species and animal breeds. Traditional knowledge is mainly of a practical nature, particularly in such fields as agriculture, fisheries, health, horticulture, and forestry" (CBD, 1992).

Other relevant terms

- Duty bearer
- Procedural rights
- Substantive rights
- Collective rights

Elements of Free Prior and Informed Consent

The following descriptions are based on the elements of a common understanding of free, prior and informed consent endorsed by the United Nations Permanent Forum on Indigenous Issues (UNPFII) at its Fourth Session in 2005. The UNPFII is an advisory body to the Economic and Social Council (ECOSOC), with a mandate to discuss indigenous issues related to economic and social development, culture, the environment, education, health and human rights. Figure 9 is a graphic representation of the relationship of these elements:

- **Free** implies free from coercion, intimidation, manipulation, threat or bribery.
- **Prior** implies that consent has been sought sufficiently in advance of any authorization or commencement of activities and that respect is shown for the time requirements of indigenous consultation/consensus processes.
- **Informed** implies that information is provided that covers the nature, scope, purpose, duration and locality of the project or activity and areas that will be affected; the economic, social, cultural and environmental impacts; the actors that will be involved; and the procedures that the project or activity may entail.
- **Consent** implies the ability to give or withhold consent to a project that will impact indigenous peoples' lands, territories, resources, and livelihoods.

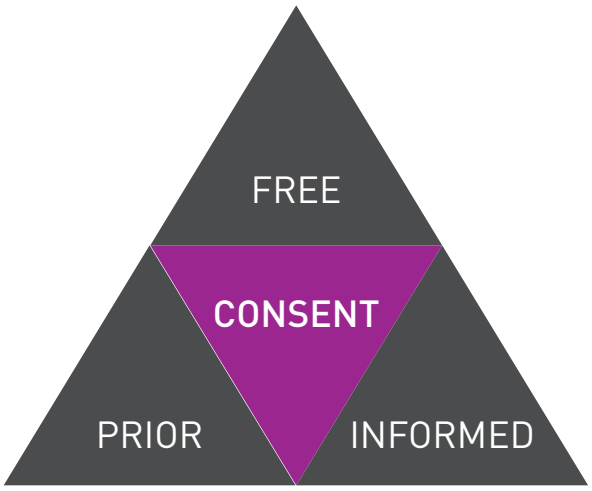


Figure 9. The four elements of FPIC

How Free, Prior and Informed Consent is being discussed in the context of REDD+ (Mackenzie, 2013):

- **Indigenous peoples and local communities:** "The right to FPIC extends as a collective right for indigenous peoples. For non-indigenous communities in representative democracies, decision-making is the responsibility of publicly elected representatives and official bodies and laws on planning and other relevant matters apply. In many countries, however, representative democratic and governance processes generally are weak or non-existent. Extending the right to FPIC to local communities in these countries, therefore, would be a potentially sensible safeguard, particularly during the design phase."
- **Representation of vulnerable groups:** "Generally speaking, representation under FPIC should defer to a community or people's own decision-making structures. One issue that

may arise is that of representation in indigenous groups, as under customary arrangements women and young people may be seriously disadvantaged and have little or no voice. The FCPF/UN-REDD Guidelines on Stakeholder Engagement now recognize the need to ensure "appropriate representation'."

- **FPIC as a safeguard:** "To some proponents, FPIC is considered to be a very powerful and useful instrument since there is an implicit veto that can effectively be applied if people perceive that an aspect of REDD+ threatens their rights or cultural identity. In this view, no other safeguards need to be specified. This same feature worries some proponents of REDD+: the FPIC principle could be used to block projects and programs, and at the very least, could substantially delay their progress."
- **FPIC as a process:** "For REDD+, it is increasingly realized that FPIC will be an ongoing process rather than a single event and that sufficient time needs to be allocated for the careful management of awareness raising and engagement with communities, local authorities and other key stakeholders."

TRAINING EXPERIENCES: PUTTING FREE, PRIOR AND INFORMED CONSENT INTO PRACTICE IN REDD+ INITIATIVES

RECOFTC has actively supported the development of community forestry institutions, policies and programs in the Asia-Pacific region. A Training Manual: "Putting Free, Prior, and Informed Consent into Practice in REDD+ Initiatives" was developed as an early response to meet this capacity building need. It provides a broad framework for training others on the value of FPIC and its relevance in the REDD+ process. The manual is organized into several sections based on five learning blocks, providing a quick and easy way for trainers to access relevant reference materials.

- Learning block 1 provides sessions that will assist the trainer to explain the design and content of the course that you are delivering.
- Learning block 2 unpacks the term Free, Prior, and Informed Consent and looks at the implication of the practice of seeking FPIC.
- Learning block 3 highlights key values that support the fundamental principles of FPIC.
- Learning block 4 seeks to outline broad steps that could form the backbone of a process to seek FPIC.
- Learning block 5 contains a variety of optional sessions that users can slot into different points in their learning process to assess the status of participants' knowledge, perceptions, and questions about FPIC.

The training course is for those who are expected to be actively involved with REDD+ implementation, especially in relation to ensuring participation of all affected stakeholders. Professionally, their involvement in REDD+ can relate to policy development, implementation, and monitoring. Participation from different stakeholder groups is encouraged, including government, civil society, NGO, and academia.

-Ronnakorn Triraganon, RECOFTC

6.3 SKILLS

Below is an overview of the skills needed to engage in the design and implementation of a process for FPIC for REDD+. Since some countries and institutions require or apply free, prior and informed consultation, it is important to analyze the supporting laws or policies for FPIC or for consultation and to ensure that all stakeholders agree on and understand what type of process will be conducted and what is expected to be achieved.

FPIC scoping

- Analyze the legal framework for FPIC in the relevant country, including the supporting laws and policies for FPIC which already exist
- Analyze rights holders, governance structures and engagement strategies in the context of the proposed REDD+ activity
- Identify the possible structures of representation
- Analyze the legal status of land and resources under discussion
- Analyze the customary rights and use of the land and resources impacted by REDD+
- Conduct social impact assessment of the proposed REDD+ policies and activities that will impact the stakeholder group
- Conduct a needs assessment of the information related to the REDD+ activity and resources needed prior to beginning an FPIC process
- Apply organizational and planning skills is required for a participatory approach
- Support all of the above with adaptive management skills
- Communicate fluently in the language in which the audience needs to be addressed
- Manage community engagement projects
- Apply knowledge of human rights, indigenous peoples and local communities' issues

FPIC process

- Support information sharing using intercultural communications skills and experience with techniques to explain technical concepts in simple and easy to understand terms
- Apply experience in mediation and facilitation to maintain neutrality during FPIC discussions
- Facilitate discussions with multi stakeholder groups
- Facilitate participatory planning to establish the consultation process required for seeking FPIC
- Communicate complex terminology to multiple audiences
- Use communication skills and methods to disseminate information effectively
- Apply decision-making mapping skills and methods to document the FPIC process
- Convene multi-stakeholder groups including multilateral agencies, donors, independent observers and government officials

FPIC accountability
• Conduct rapid assessments of existing formal and informal grievance mechanisms • Apply participatory monitoring methods for verifying the FPIC process • Design effective mechanisms to review agreements and guarantee that conditions and terms are being upheld • Develop methods to address complaints • Develop a framework, structure, steps and governance of a feasible grievance mechanism • Implement grievance mechanisms and conflict resolution protocols • Identify channels to document and communicate on the progress of the FPIC process • Identify, develop and implement information disclosure protocols • Ensure continuous effective public outreach on the available grievance and accountability mechanisms

6.4 KEEP IN MIND

FPIC is not explicitly required under REDD+. Guidance on the concept of FPIC is still evolving, but elements of FPIC are recognized and/or required by international instruments, including ILO 169, UNDRIP[1], UN conventions—including the CBD and implementing mechanisms including UN-REDD—and voluntary standards such as the Climate, Community and Biodiversity Standards and REDD+ SES.

It is important to keep in mind that the application of FPIC is influenced by national legislation and local context. While there is no universal definition of FPIC, increasingly multilateral, bilateral and private donors are requiring the application of elements of FPIC. Some countries and institutions interpret and apply FPIC as Free, Prior and Informed Consultation.

It is important that all stakeholders, including government, indigenous people, communities and others who are impacted—agree on how FPIC will be implemented in the specific national and local context. It is also important to establish a clear mechanism for discussion and resolution of issues that may arise in the application of this process.

[1] COP 16 decision 1/CP.16, appendix I, paragraph 2 (c): "Respect for the knowledge and rights of indigenous peoples and members of local communities, 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"

6.5 RESOURCES AND TOOLS

Free, Prior and Informed Consent: Making FPIC Work for Forests and Peoples
From The Forests Dialogue

http://tfd.yale.edu/publication/free-prior-and-informed-consent-making-fpic-work-forests-and-peoples

Free, Prior, and Informed Consent in REDD+: Principles and Approaches for Policy and Project Development
RECOFTC, February 2011.

http://www.recoftc.org/site/resources/Free-Prior-and-Informed-Consent-in-REDD-.php

Putting Free, Prior and Informed Consent into Practice in REDD+ Initiatives: a Training Manual
RECOFTC 2012.

http://www.recoftc.org/site/uploads/content/pdf/FPIC%20Training%20Manual%20Full%20Version_239.pdf

P

United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP)
(2007)

http://www.un.org/esa/socdev/unpfii/documents/DRIPS_en.pdf

P

United Nations Permanent Forum on Indigenous Issues (UNPFII)
http://www.un.org/esa/socdev/unpfii/index.html

Training Manual on Free, Prior and Informed Consent (FPIC) in REDD+ for Indigenous Peoples
Asia Indigenous Peoples Pact and International Work Group for Indigenous Affairs.

http://ccmin.aippnet.org/index.php/training-manual-on-free-prior-and-informed-consent-fpic-in-redd-for-indigenous-peoples

Indigenous and Tribal Peoples' Rights in Practice: a Guide to ILO Convention No. 169
2009. International Labour Office.

http://www.ilo.org/wcmsp5/groups/public/---ed_norm/---normes/documents/publication/wcms_106474.pdf

UN Resource Kit on Indigenous Peoples Issues
Prepared by the Secretariat of the United Nations Permanent Forum on Indigenous Issues/DSPD/DESA in cooperation with the International Labour Organization, the United Nations Children's Fund, the United Nations Development Programme, the United Nations Population Fund and the Secretariat of the Convention on Biological Diversity.

http://www.un.org/esa/socdev/unpfii/documents/resource_kit_indigenous_2008.pdf

Guidelines on Free, Prior and Informed Consent

UN-REDD, 2013.

http://www.unredd.net/index.php?option=com_docman&task=cat_view&gid=2648&Itemid=53

FPIC and UN-REDD: Legal and Practical Considerations

CIEL report on FPIC for UN-REDD.

http://www.unredd.net/index.php?option=com_docman&task=doc_details&gid=4230&Itemid=53

World Bank Operational Policy 4.10–Indigenous Peoples

World Bank Operational Policies establish the parameters for the conduct of World Bank operations.

http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/EXTPOLICIES/EXTOPMANUAL/0,,contentMDK:20553653~menuPK:4564185~pagePK:64709096~piPK:64709108~theSitePK:502184,00.htmlEXTOPMANUAL/0,,menuPK:64701763~pagePK:64719906~piPK:64710996~theSitePK:502184,00.html

Announcement of US Support for the United Nations Declaration on the Rights of Indigenous Peoples

2010 announcement from President Obama on United States support for the United Nations Declaration on the Rights of Indigenous Peoples.

http://www.state.gov/s/tribalconsultation/declaration/

7. REDD+ SOCIAL AND ENVIRONMENTAL SAFEGUARDS

7.1 GENERAL COMPETENCY STATEMENT

A stakeholder understands and applies the seven broad safeguard principles from the UNFCCC Cancun Agreements for the implementation of REDD+ and is familiar with the leading social and environmental mechanisms that apply to REDD+.

7.2 KNOWLEDGE

Importance of this REDD+ theme

REDD+ could dramatically change land use patterns and carries important risks and benefits for the people whose livelihoods directly depend on the forest, and for biodiversity and the local environment. Safeguards and standards are designed to mitigate these risks, and in some cases they seek to make REDD+ generate positive social and environmental impacts. Under the UNFCCC, REDD+ countries are requested to develop systems for providing information on how safeguards of the Cancun Agreement are being addressed and respected in the implementation of REDD+ activities.

Policy benchmarks

This section focuses on policy benchmarks being developed under the UNFCCC process. A growing number of other frameworks, such as bilateral agreements between countries, are also emerging. Programs and projects should also take into account the relevant national and sub-national laws and policies, for example those which define the allocation of land and resource rights, participation, information transparency, and dispute resolution.

2010: COP 16, Cancun, Mexico

The Cancun Agreements (2010) paragraphs 69, 71(d), 72, 76, 80 and appendix I in the UNFCCC decision 1/CP.16 relates to social and environmental safeguards.

- Paragraph 69 affirms that the implementation of the activities referred to in paragraph 70 below should be carried out in accordance with appendix I to this decision, and that the safeguards referred to in paragraph 2 of appendix I to this decision should be promoted and supported.
- Paragraph 71(d) requests developing country Parties aiming to undertake the activities referred to in paragraph 70 above, in the context of the provision of adequate and predictable support, including financial resources and technical and technological support to developing country Parties, in accordance with national circumstances and respective capabilities, to develop the following elements:
  - (d) A system for providing information on how the safeguards referred to in appendix I to this decision are being addressed and respected throughout the implementation of the activities referred to in paragraph 70 above, while respecting sovereignty;
- Paragraph 72 also requests developing country Parties, when developing and implementing their national strategies or action plans, to address, inter alia, the drivers of deforestation and forest degradation, land tenure issues, forest governance issues, gender considerations and the

safeguards identified in paragraph 2 of appendix I to this decision, ensuring the full and effective participation of relevant stakeholders, inter alia indigenous peoples and local communities.

- Appendix 1, 2. The following safeguards should be promoted and supported:
  - (a) That actions complement or are consistent with the objectives of national forest programs and relevant international conventions and agreements;
  - (b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;
  - (c) Respect for the knowledge and rights of indigenous peoples and members of local communities, 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;
  - (d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;
  - (e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision 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;
  - (f) Actions to address the risks of reversals;
  - (g) Actions to reduce displacement of emissions.

2011: COP 17, Durban, South Africa

Durban (2011) UNFCCC decision 12/ CP.17: Guidance on systems for providing information on how safeguards are addressed and respected.

1. Notes that the implementation of the safeguards referred to in appendix I to decision 1/ CP.16, and information on how these safeguards are being addressed and respected, should support national strategies or action plans and be included in, where appropriate, all phases of implementation referred to in decision 1/CP.16, paragraph 73, of the activities referred to in paragraph 70 of the same decision;
2. Agrees that systems for providing information on how the safeguards referred to in appendix I to decision 1/CP.16 are addressed and respected should, taking into account national circumstances and respective capabilities, and recognizing national sovereignty and legislation, and relevant international obligations and agreements, and respecting gender considerations:
   - (a) Be consistent with guidance [in the Cancun agreement];
   - (b) Provide transparent and consistent information that is accessible by all relevant stakeholders and updated on a regular basis;
   - (c) Be transparent and flexible to allow for improvements over time;
   - (d) Provide information on how all of the safeguards [in Cancun agreement] are being addressed and respected;
   - (e) Be country-driven and implemented at the national level;
   - (f) Build upon existing systems, as appropriate;

3. Agrees also that developing country Parties undertaking the activities referred to in decision 1/CP.16, paragraph 70, should provide a summary of information on how all of the safeguards referred to in decision 1/CP.16, appendix I, are being addressed and respected throughout the implementation of the activities.

2013: COP 19, Warsaw, Poland

A decision on the timing and frequency of presentations of information on safeguards indicates that REDD+ countries should start providing summaries of how they are addressing and respecting safeguards in their national communication or communication channel, after they begin implementing REDD+ activities. This decision also indicates that frequency of the presentation of this information should be consistent with the submission of national communications.

The decision on finance for REDD+ indicates that information on how the safeguards are being addressed and respected should be presented by a country before it can receive results-based payments for REDD+.

Other supporting policy benchmarks:

2010. Tenth meeting of the Conference of the Parties Convention on Biological Diversity (COP10), in Nagoya, Japan

Decision X/33 on Biodiversity and Climate Change, paragraphs m, q:

- (m) Consider the achievement of multiple benefits, including ecological, social, cultural and economic benefits, between ecosystem-based approaches for climate change mitigation and adaptation activities;
- (q) Enhance the benefits for, and avoid negative impacts on, biodiversity from reducing emissions from deforestation and forest degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries, and other sustainable land management and biodiversity conservation and sustainable-use activities, taking into account the need to ensure the full and effective participation of indigenous and local communities in relevant policy-making and implementation processes, where appropriate; and to consider land ownership and land tenure, in accordance with national legislation.

2012: 11th meeting of the Conference of the Parties Convention on Biological Diversity (COP 11), in Hyderabad, India

Decision XI/19 on biodiversity and climate change related issues: advice on the application of relevant safeguards for biodiversity with regard to policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries.

TERMS

Safeguard: A mechanism, such as a policy or process, to prevent or mitigate identified risks and promote benefits. "The UNFCCC REDD+ safeguards and some policies and standards, use safeguards to require not only the avoidance of risks, but also the achievement of social and environmental benefits" (Mackenzie, 2013).

Safeguard Information System: A Safeguard Information System (SIS) is a transparent, consistent, comprehensive and effective systematic reporting system that informs how the UNFCCC REDD+ safeguards are being addressed and respected. An SIS should be developed in a way that takes into account national circumstances and capabilities, national sovereignty and legislation, relevant international obligations and agreements, and gender considerations. (Based on language contained in UNFCCC decision 12/CP.17)

Standards: "Consist of principles, criteria and indicators which define the issues of concern and conditions to be met to achieve high social and environmental performance and a process for assessment" (REDD+ SES, 2012).

Carbon rights: "Carbon rights refer to the claims on the benefit streams from carbon pools, for example, the benefit from a specific parcel of forest. Where a market exists for GHG emissions reductions carbon rights may have a financial value. Carbon rights may also define the management responsibilities associated with a specific area of forest. Issues concerning carbon rights include how the rights are defined, how they work in places where land ownership is unclear, and whether legal institutions are strong enough to protect the rights" (CIFOR, 2008).

Co-benefits: "The benefits arising from REDD schemes (other than reducing GHG emissions), such as alleviating poverty, protecting the environment, enhancing biodiversity, improving forest governance and protecting human rights" (CIFOR, 2008).

Gender: "Is a social construct that refers to relations between and among the sexes, based on their relative roles. It encompasses the economic, political, and socio-cultural attributes, constraints, and opportunities associated with being male or female. As a social construct, gender varies across cultures, is dynamic and open to change over time. Because of the variation in gender across cultures and over time, gender roles should not be assumed but investigated. Note that *gender* is not interchangeable with *women* or *sex*" (USAID, 2010).

Other relevant terms

- Property rights
- Procedural rights
- Grievance mechanism
- Vulnerable groups
- Benefit sharing
- FPIC

Elements of REDD+ Social and Environmental Safeguards

The UNFCCC REDD+ social and environmental safeguards established in the Cancun Agreements in 2010 are the most widely supported safeguards internationally and any REDD+ initiative should take these into account.

The seven UNFCCC safeguards address four main aspects: Good governance, prevent or mitigate negative social and environmental impacts, enhance non-carbon benefits, ensure greenhouse gas emissions integrity. These are shown in Table 5.

Effective information systems are essential for a successful REDD+ mechanism. The requirements laid out by the UNFCCC decisions require REDD+ programs to apply a systematic approach to providing information on how the safeguards are being addressed and respected through REDD+ implementation. According to Peskett and Todd (2012), all SIS are likely to include the following components:

- Indicators provide the parameters for deciding what kind of information needs to be collected.
- Methodologies for collecting information help determine the type and way in which information needs to be collected.
- Framework for provision of information helps in defining how information should be stored and shared. This component will also help define the format of reporting, scales to report at, audiences to address and the frequency required to disseminate information.

An SIS should be built on existing country systems that collect and provide social, environmen-

Table 5: Main aspects addressed in the Cancun Agreements Decision 1/CP.16 Appendix 1 on Social and Environmental Safeguards

Decision 1/CP.16 Appendix I	Aspect Addressed
(a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements; (b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty; (d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;	Governance
(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, 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; (e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision 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;	Social and Environmental Impacts
(e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of this decision 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;	Non-carbon Benefits
(f) Actions to address the risks of reversals; (g) Actions to reduce displacement of emissions.	Greenhouse gas emissions integrity

tal and governance information and additional aspects should be adapted for REDD+ if existing systems are not sufficient. A number of safeguard mechanisms are being developed that contribute to the architecture of SIS. Mackenzie (2013) reviewed existing REDD+ social safeguards and standards and organized them in four main groups (Table 6).

The three REDD+ safeguards and standards initiatives that are most closely aligned with the UNFCCC are those of FCPF, UN-REDD and REDD+ SES.

Forest Carbon Partnership Facility (FCPF)

The FCPF has created a framework and processes for REDD+ readiness that help countries get ready for future systems of financial incentives for REDD+. As part of the REDD+ Readiness preparation process, REDD+ country participants must undertake a Strategic Environmental and Social Assessment (SESA) process and then produce an Environmental and Social Management Framework (ESMF) to address potential negative outcomes.

The FCPF Carbon Fund Methodological Framework also contains a number of safeguards provisions, including requiring that Emission

Reduction Programs must meet the World Bank social and environmental safeguards and promote and support the safeguards included in UNFCCC guidance related to REDD+.

World Bank Safeguard Policies and UNFCCC REDD+ Safeguards: https://www.forestcarbonpartnership.org/sites/fcp/files/2013/june2013/FMT%20Note%20CF-2013-3_FCPF%20WB%20Safeguard%20Policies%20and%20UNFCCC%20REDD%2B%20Safeguards_FINAL.pdf

Strategic Environmental Social Assessment (SESA) and Environmental and Social Management Framework (ESMF) Process Flowchart: http://www.forestcarbonpartnership.org/sites/forestcarbonpartnership.org/files/Documents/PDF/Jun2010/2g_FCPF_FMT_Note_2010_16_SESA_Mainstreaming.pdf

http://www.forestcarbonpartnership.org/sites/forestcarbonpartnership.org/files/Documents/PDF/Apr2012/SESA-ESMF%20Process%20Flowchart%20v8%20rev.pdf

Forest Carbon Partnership Facility Carbon Fund Methodological Framework: http://forestcarbonpartnership.org/sites/fcp/files/2014/January/FCPF%20Carbon%20Fund%20Meth%20Framework%20-%20Final%20Dec%2020%202013%20posted%20January%202014.pdf

UN-REDD Programme

UN-REDD has developed Social and Environmental Principles and Criteria (SEPC) as a guiding framework to support addressing social and environmental issues in UN-REDD national programs and other UN-REDD Programme funded activities, and supporting countries in developing their national approaches to REDD+ safeguards in line with the UNFCCC. The Social and Environmental Principles and Criteria covers the full range of REDD+ safeguards issues including governance, rights, positive and negative social and environmental impacts. For more information on UN-REDD's tools and resources for social and environmental safeguards:

Social and Environmental Principles and Criteria (SEPC): http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=6754&Itemid=53

Participatory Governance Assessment (PGA): http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=5330&Itemid=53

Benefits and Risks Tool-BeRT: http://www.unredd.net/index.php?option=com_docman&task=doc_details&gid=6352&Itemid=53

REDD+ Social and Environmental Standards (REDD+ SES)

REDD+ SES provides support for the development of a country-led, multi-stakeholder safeguards information system. REDD+ SES is designed to be used by national or sub-national (jurisdictional e.g. state or provincial) REDD+ programs, showing how safeguards relevant to social and environmental performance are being addressed and respected throughout REDD+ design and implementation. It aims to build stakeholder support, nationally and internationally, and also supports adaptive management to feed back into the design of REDD+ activities. REDD+ SES consists of principles, criteria and indicators that define the issues of concern and the required levels of social and environmental performance:

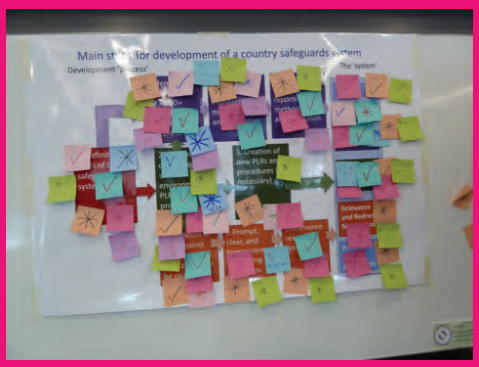
Principles provide the key objectives that define high social and environmental performance of REDD+ programs.
Criteria define the conditions to be met related to processes, impacts and policies in order to deliver the principles.
Indicators define quantitative or qualitative information needed to show progress achieving a criterion.
REDD+ Social and Environmental Standards: http://www.redd-standards.org/

Table 6. Safeguards instruments contributing to REDD+

Approaches and Initiatives	Safeguards Approaches
Multilateral Approaches	• Forest Carbon Partnership Facility (FCPF) • Forest Investment Program (FIP) • Global Environmental Facility (GEF) • UN-REDD Program
Bilateral Approaches	• Norway • Australia • Germany
Non Governmental Organization Initiatives	• Climate Community and Biodiversity Alliance (CCBA) • REDD+ Social and Environmental Standards-REDD+ SES • Brazilian and Indonesia Civil Society Initiatives
Other relevant initiatives outside REDD+ that may offer valuable lessons	• Forest Stewardship Council (FSC) • Fair trade Certification • Convention on Biological Diversity (CBD) • WWF meta standard • UNFCCC Clean Development Mechanism

EXPLORING ADVANCES IN SAFEGUARDS, STANDARDS AND COUNTRY SAFEGUARDS SYSTEMS

FCMC works to build capacity of USAID and its partners on forestry and climate change issues (REDD+). FCMC promotes the social and environmental soundness of REDD+ programming and implementation, through work on social and environmental safeguards, standards, country safeguard systems, and related issues, such as stakeholder engagement and social and environmental impact assessment. At a 2012 southeast Asian training workshop for USAID and its partners, safeguards, standards, and a model of country safeguard systems were discussed. Participants from eight countries assessed the status of the elements of country safeguard systems in their own countries (see photo). FCMC has produced reviews on social safeguards and standards, stakeholder engagement and social assessment methods, and supported a national safeguards workshop in Honduras. Work continues in 2013-2014. A review of biodiversity standards and indicators will be available in 2014. FCMC is also supporting Colombia on national safeguards system development and Peru on a nested approach to national safeguards and standards, and piloting approaches to country-level social assessment of REDD+ policies and programs. Two upcoming workshops in Latin America and Africa will address safeguards and related social and environmental soundness issues. For more information, see: www.fcmcglobal.org.



Bangkok Workshop—Model of Country Safeguard Systems, with different color notes for each country. NOTE: √ indicates already done; * is a priority to address; X is not important or not urgent.

-Paula Williams, FCMC

SAFEGUARDS

7.3 SKILLS

An overview of the skills needed to engage in the design and implementation of safeguards approaches for REDD+:

Good governance

- Provide leadership and convene multiple stakeholder groups
- Mediate and facilitate effective communication and dialogue in decision-making spaces
- Organize and plan the design and implementation of an effective, participatory approach
- Increase inclusiveness through stakeholder analysis, including gender-sensitive stakeholder analysis
- Convene and build relationships and networking among governments, non-government organizations, and multiple stakeholders
- Communicate about policy in the languages of different stakeholders, which includes the use of media communications
- Apply leadership skills to promote the institutional arrangements needed for the implementation of a REDD+ readiness strategy
- Adapt and integrate sub-national and national safeguard initiatives
- Engage multiple stakeholders during the policy making process
- Apply adaptive management skills to support all of the above
- Fluency in the language in which the audience needs to be addressed
- Managing community engagement projects
- Apply knowledge of human rights, indigenous peoples and local communities' issues
- Provide indicators and parameters to determine what kind of information needs to be collected in reference to governance

Social and environmental impacts

- Operationalize the main elements of REDD+ safeguard initiatives and standards
- Adapt and operationalize the main principles of the REDD+ SES framework
- Adapt and operationalize the main elements of UN-REDD principles and criteria
- Adapt and operationalize the main principles of FCPF SESA and ESMF
- Analyze social and environmental impacts of REDD+ activities
- Apply risk assessment methods
- Apply knowledge and experience in social science research methods
- Identify the potential risks of REDD+ strategies/policies
- Apply knowledge of human rights, indigenous peoples and local communities' issues
- Provide indicators and parameters to determine what kind of information needs to be collected in reference to social and environmental impacts

Non-carbon benefits

- Analyze environmental and socio-economic impacts of REDD+ at the appropriate scale of implementation
- Understanding of conservation issues related to ecosystem health
- Provide indicators and parameters to determine what kind of information needs to be collected in reference to non-carbon benefits

Greenhouse gas emissions integrity
• Provide indicators and parameters to determine what kind of information needs to be collected to demonstrate the climate effectiveness of REDD+ activities • Carry out the analysis and institutional coordination to address the displacement of deforestation from one area to another (leakage) according to the national circumstances
Safeguard Information Systems
• Analyze and implement protocols for conflict resolution, grievances and mediation • Harmonize and identify synergies among safeguard instruments according to the country context • Identify social and environmental risks from REDD+ policies and programs • Apply legal and social expertise on human rights, indigenous peoples and local communities issues, including risk assessment methods • Provide indicators and parameters to determine what kind of information needs to be collected in reference to governance • Provide indicators and parameters to determine what kind of information needs to be collected in reference to social and environmental impacts • Provide indicators and parameters to determine what kind of information needs to be collected in reference to non-carbon benefits • Provide indicators and parameters to determine what kind of information needs to be collected in reference to greenhouse gas emissions integrity • Define methodologies for collecting information • Define framework for providing/reporting information

7.4 KEEP IN MIND

General safeguards have been created to avoid or mitigate risks and "do no harm." This approach is consistent with the view that the main goal of REDD+ is climate change mitigation and that other positive impacts are beyond the scope of REDD+. Nevertheless, REDD+ safeguards as defined under the UNFCCC and most REDD+ safeguards mechanisms, are going beyond "do no harm" to support a proactive approach of "do good" by promoting net social and environmental benefits.

7.5 RESOURCES AND TOOLS

REDD+ Safeguards in National Policy Discourse and Pilot Projects

Chapter from "Analysing REDD+: Challenges and Choices," a 2012 CIFOR review of approaches to safeguards during the development of REDD+ policies and projects.

http://www.cifor.org/online-library/browse/view-publication/publication/3831.html

Developing Social and Environmental Safeguards for REDD+: A Guide for a Bottom-up Approach

A guide for developing social and environmental safeguards for REDD+.

http://www.forest-trends.org/documents/files/doc_2573.PDF

Safeguards and Multiple Benefits in a REDD+ Mechanism

From IISD, an exploration of the relationship between safeguards and multiple benefits of REDD+.

http://www.iisd.org/publications/pub.aspx?pno=1479

Social and Biodiversity Impact Assessment (SBIA) Manual for REDD+ Projects: Part 1 – Core Guidance for Project Proponents

From Climate, Community &Biodiversity Alliance, Forest Trends, Fauna & Flora International and Rainforest Alliance, guidelines for assessing the social and environmental impacts of REDD+ projects through a participatory process.

http://www.forest-trends.org/documents/files/doc_2981.pdf

UN-REDD Programme Social and Environmental Principles and Criteria, Version 3

Draft for consultation, September 2011.

http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=5993&Itemid=53

World Bank Safeguard Policies and UNFCCC REDD+ Safeguards

FCPF Analysis of the links between World Bank Safeguard Policies and UNFCCC REDD+ Safeguards.

http://www.forestcarbonpartnership.org/sites/fcp/files/2013/june2013/FMT%20Note%20CF-2013-3_FCPF%20WB%20Safeguard%20Policies%20and%20UNFCCC%20REDD%2B%20Safeguards_FINAL.pdf

Decoding REDD: Effective REDD+ Safeguards, Lessons from Forest Certification, An Asia-Pacific Perspective

Lessons from Forest Certification from RECOFT and TNC.

http://www.recoftc.org/site/resources/Decoding-REDD-Effective-REDD-Safeguards-Lessons-from-Forest-Certification.php

Safeguards in REDD+ and Forest Carbon Standards: A Review of Social, Environmental and Procedural Concepts and Application

This 2013 paper from Climate Focus is the third in a series of analytical papers that compare main design features of forest carbon standards and REDD+ initiatives.

http://www.climatefocus.com/documents/files/safeguards.pdf

REDD+ Social Safeguards and Standards Review

A 2013 review and analysis of existing REDD+ Social Safeguards and Standards from USAID-FCMC.

http://www.fcmcglobal.org/documents/Safeguards_Paper.pdf

FCPF Carbon Fund Methodological Framework

A set of 37 criteria and related indicators that will be used by Carbon Fund Participants (amongst other selection criteria) to select national or subnational Emission Reductions Programs into the Carbon Fund portfolio.

https://www.forestcarbonpartnership.org/carbon-fund-methodological-framework

8. MEASUREMENT, REPORTING AND VERIFICATION (MRV)

8.1 GENERAL COMPETENCY STATEMENT

A stakeholder should understand the reasons why MRV is a central part of a REDD+ program and should understand main elements of an MRV system. The stakeholder should also understand how MRV relates to RELs/RLs.

8.2 KNOWLEDGE

Importance of this REDD+ topic

The MRV system provides the data needed to quantify emissions reductions and removals relative to the RELs/RLs, and includes a process for reporting and verifying the emissions reductions or removals. Because REDD+ is designed as a results-based compensation scheme, a credible MRV system is basic to the success of REDD+ at any scale.

MRV systems focus on emissions reductions and removals, but some countries may choose to integrate other variables, such as social and environmental performance, into the MRV system.

Policy milestones

This section describes policy milestones from the UNFCCC process. A growing number of other frameworks, such as bilateral agreements between countries, are also in development and knowledge about these initiatives may be important for stakeholders.

2007: COP 13, Bali, Indonesia

The COP in paragraphs 1(b) (i) and (ii) of decision 1/CP.13 (Bali Action Plan) refers to the 'measurable, reportable and verifiable' commitments or actions. MRV was introduced first for NAMAs.

2009: COP 15, Copenhagen, Denmark

The COP in decision 4/CP.15 paragraph 1 requested developing countries to:

- Identify drivers of deforestation and forest degradation
- Identify activities that result in reduced emissions and increased removals, and stabilization of forest carbon stocks
- The use the most recent IPCC guidance as a basis for estimating emissions

2010: COP 16, Cancun, Mexico

The COP through decision 1/CP.16 paragraph 71, requested developing country Parties, in accordance with national circumstances and respective capabilities, to develop the following elements:

- A national forest reference emission level and/or forest reference level
- A robust and transparent national forest monitoring system for the monitoring; and reporting

2013: COP 19, Warsaw, Poland

A decision on national forest monitoring systems for REDD+ describes the features of these systems, including that they should provide information that is suitable for MRV.

A separate decision on MRV states that the results of REDD+ activities should be measured against forest RELs/RLs and expressed in tons of carbon dioxide equivalent per year (tCO_2/yr). The information used to calculate this should be presented in a technical annex to a country's biennial update report. The decision provides guidelines for the contents of the technical annex, as well as a process for analysis of the results by a technical team.

TERMS

Activity data: "Data on the magnitude of a human activity resulting in emissions or removals taking place during a given period of time. Data on areas (location and extension) of land converted from primary forest to agricultural lands or other kind of land uses are examples of activity data" (Hewson et al., 2013).

Emissions factor: "A coefficient that quantifies the emissions or removals of a gas per unit activity. Emission factors are often based on a sample of measurement data, averaged to develop a representative rate of emission for a given activity level under a given set of operating conditions. The change in tons of carbon (carbon/ha) in an area of land is an example of emission factor" (Hewson et al., 2013).

GHG inventory: A type of emissions inventory used to understand the sources and trends of human activities that contribute to greenhouse gas emissions in the atmosphere. A GHG inventory for REDD+ should support the construction of a national GHG inventory, which includes GHG emissions and removals from energy; industrial processes; solvents and other product use; agriculture; land-use change and forestry; and waste sectors.

Measurement: "Processes of data collection over time. For REDD+ this includes forest carbon inventories and land use change analysis. Possible data sources are field measurements, field observations, detection through remote sensing and interviews" (UN-REDD, 2009).

Monitoring: "A process to address the need for periodic information on the results obtained through national policies and measures" (UN-REDD, 2012).

National arrangements: "Legal, institutional and planning frameworks that should encompass all relevant elements comprising a fully operational MRV system that adheres to the IPCC principles and assists countries towards developing appropriate GHG inventories on REDD+ activities" (Hewson et al., 2013).

Reporting: "The process of formal reporting of assessment results to the UNFCCC, according to predetermined formats and according to established standards, especially the IPCC guidelines and guidance. It builds on the principles of transparency, consistency, comparability, completeness and accuracy." (UN-REDD, 2009) "The process entails calculating net emissions balance (emissions and removals) using data from the forest carbon inventory and the land use change analysis and using UNFCCC reporting formats." (Kleinn, 2011) Frameworks for REDD+ outside of the UNFCCC also require reporting.

Verification: "The formal review of reports to ensure the validity of the information that is presented. Verification also implies the collection

of activities and procedures that can be followed during the planning and development, or after completion of an inventory, that can help establish its reliability for the intended applications of that inventory" (Hewson et al., 2013).

Uncertainty: "Lack of knowledge of the true value of a variable that can be described as a probability density function characterizing the range and likelihood of possible values. Uncertainty depends on the analyst's state of knowledge, which in turn depends on the quality and quantity of applicable data as well as knowledge of underlying processes and inference methods" (Hewson et al., 2013).

Other relevant terms

- Above-ground biomass
- Accuracy
- Below-ground live biomass
- Carbon pools
- Comparability
- Completeness
- Consistency
- Land cover
- Land use
- Litter
- Removal
- Sink
- Soil organic carbon
- Reporting
- Tiers
- Transparency

Technical elements

Figure 10 represents the main technical elements that make up an MRV system. MRV systems will be established taking into consideration national circumstances and based on UNFCCC guidance. Such a system should be responsible for measuring land use changes due to REDD+ activities, carrying out a national forest inventory (which includes the estimation of carbon stocks and carbon stock changes), and reports its results according to international protocols and principles, including verification and monitoring over time (UN-REDD, 2012).

The national arrangements

To create REDD+ MRV systems, formal arrangements must be made to organize and coordinate among national institutions. Institutional arrangements will be necessary to develop reports and to coordinate the verification and monitoring process. For this, the institutions and stakeholders that will participate in the MRV system must be identified and their roles must be defined. Aspects of national arrangements include the establishment and maintenance of legal and procedural arrangements between the government agencies and other entities involved, the creation of technical capacities and all arrangements necessary to prepare a GHG inventory (Hewson et al., 2013).

Measurement

The MRV system is responsible for reviewing and improving RELs/RLs. Therefore, forest carbon inventories must be designed and implemented to collect the information needed to estimate emission factors and to carry out land use change analysis (activity data). This information will result in the development of GHG inventories. To develop greenhouse gas inventories, it will be necessary to apply IPCC methodological guidelines and guidance to ensure the transparency, completeness, comparability, consistency and accuracy of their emissions and removals estimates (Hewson et al., 2013).

Reporting and verification

The results of REDD+ activities must be reported for the scope of REDD+ being applied in a country. This report may therefore include the amount of GHG emissions reduced by avoiding deforestation and forest degradation, the amount of GHG removals resulting from forest carbon stock enhancement activities, and the amount of carbon stocks maintained through forest conservation activities. These reports may also describe specific activities, provide information on land use changes (e.g. forest areas affected), methodologies employed, emission factors used, impact on drivers of deforestation, and the application of quality assurance and quality control (QA/QC) procedures. For international purposes, the reports should be prepared based on UNFCCC requirements, but other protocols may apply such as those based

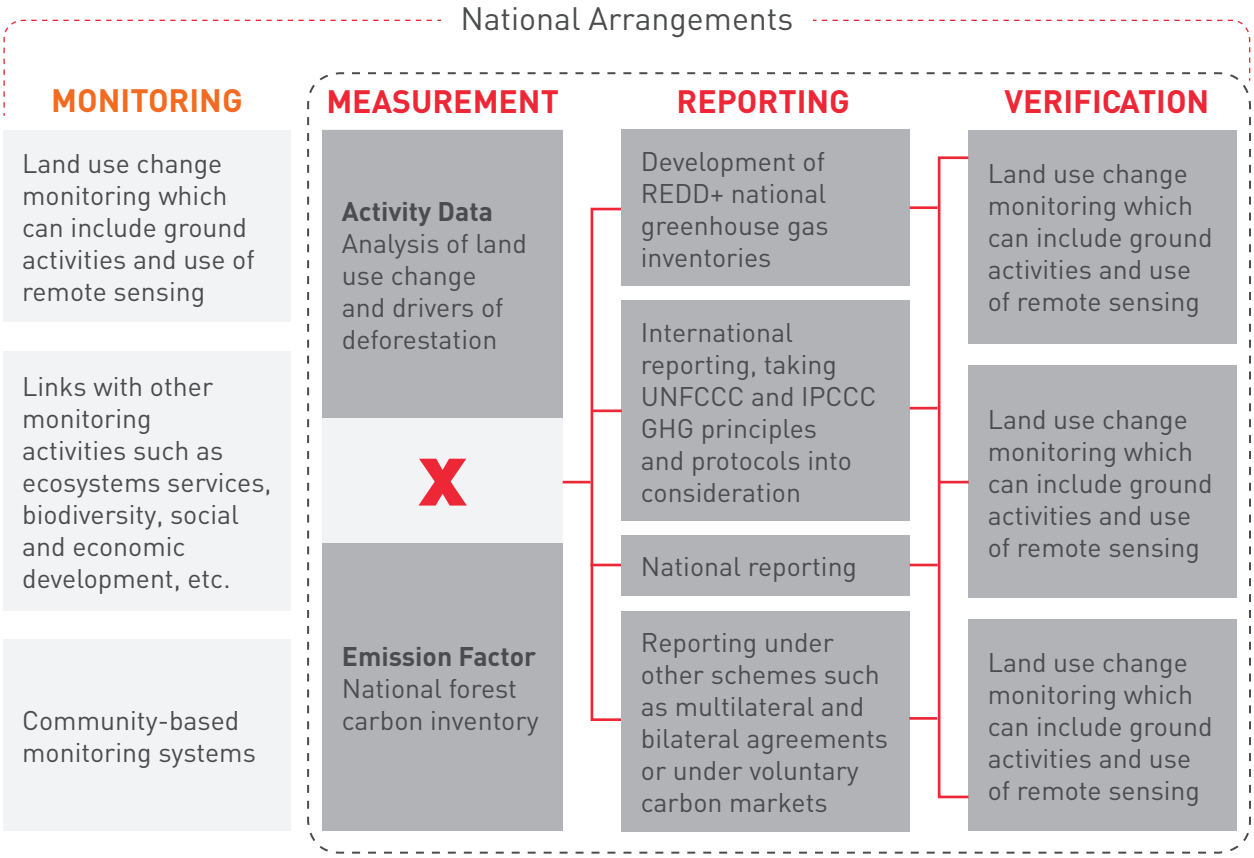


Figure 10. Representation of the key elements that make up an MRV system for REDD+

on multilateral or bilateral agreements or under voluntary carbon markets (GOFC-GOLD, 2012; UN-REDD, 2012; Hewson et al., 2013). In the case of the UNFCCC, this report should be linked to national communications and to NAMAs reports.

To ensure the accuracy and reliability of the information reported and the procedures applied during implementing the MRV system, a verification process is applied. This verification can be done by national and/or international institutions and it can serve internal and external purposes. Internal reporting may be used to assess the success of national policies and external reporting would be done to comply with international agreements such those under the UNFCCC (UN-REDD, 2012; Hewson et al., 2013).

Monitoring

To assess the ongoing impact of REDD+ as a mechanism for climate change mitigation, it is necessary to implement a monitoring system. A monitoring system tracks greenhouse emissions and removals, and the systems can also include the monitoring of other factors such as forest health, biological diversity, forest productivity, the socio-economic functions of forests and legal and policy frameworks. To establish a monitoring system, appropriate indicators must be identified and both remote sensing and field-based techniques can be used.

According to UN-REDD (Teobaldelli et al., 2010), monitoring should include:

- **Location:** land unit (ha), land use categories, carbon pools;

- **Quantification:** carbon density (carbon ha-1) and carbon stock (stratified by ecoregions, forest type, carbon pools);
- **Changes:** spatial, temporal, quantitative variation of carbon stocks over time

Community-based monitoring

MRV systems can integrate the capacities and knowledge of local communities and indigenous peoples to help during monitoring activities. Local communities can play an important role to monitor land use change and forest degradation on the ground. Several examples have shown that local communities can play a key role in monitoring carbon stock changes, illegal extraction rates, production of timber and non-timber products and other variables such as biodiversity and social impacts. Communities will need to be trained and local monitoring systems may need to be established (Skutsch et al., 2009; Wan, 20012; Hewson et al., 2013).

SEEING THE FOREST FOR THE TREES: CAPACITY BUILDING FOR NATIONAL REDD+ MRV SYSTEMS

Many countries with high deforestation lack national institutions with the technical capacity to monitor forests and participate effectively in international REDD+ markets. The FCMC Program has a variety of ongoing capacity-building activities for the development of robust MRV systems that are critical for forest and land use greenhouse gas emissions inventories at national and international scales. FCMC's MRV activities include the development of an MRV Manual, online training courses on GHG inventories in the AFOLU sector, and a training workshop series on a variety of MRV themes for government agencies from Mexico, Guatemala, Peru, Colombia, Ecuador and other Latin American countries. FCMC is also supporting the Colombian government in developing reference emissions levels which are critical for measuring emissions reductions, and the development of community-based MRV tools and processes. In Peru, FCMC is supporting the Ministry of the Environment's technical capacity to monitor deforestation using remote sensing imagery and generate maps of deforestation, which are essential for the national REDD+ process. FCMC's overall goals for MRV are to create effective, reliable and transparent national MRV systems that engage national, local and community institutions. For more information, see: www.fcmcglobal.org.

A workshop on community-based monitoring of forests held in July 2013 in Ecuador by FCMC and SilvaCarbon as part of a regional capacity building workshop series for national MRV systems.

-Rishi Das, FCMC

8.3 SKILLS

An overview of the skills needed to engage in the design and implementation of and MRV system for REDD+:`

Policy and technical guidance

- Assess the level of stakeholder understanding of UNFCCC and IPCC guidelines and guidance for the establishment of MRV systems and the national GHG inventories
- Assess of the level of understanding in relevant national agencies of the relationship between REDD+ and NAMAs, and broader low emission development planning processes
- Create a system to collect technical information from multiple institutions (academia, government agencies, private sector, communities, etc.)

National arrangements

- Define roles and functions of different stakeholders in the MRV systems
- Design plans to establish and maintain institutional, legal and procedural arrangements between government agencies and all the stakeholders involved in national REDD+ programs. This will require:
  - An understanding of the key elements needed to create the national arrangements/framework. This includes the legal frameworks and procedures, funding, selection of personnel, technical development of capacities, sectoral agreements among institutions and organizations at national and sub-national scales, and functions and planning and administration issues
- Establish institutional communication and coordination protocols and technical links with institutions responsible for the development of reference levels
- Provide capacity building activities to ensure that the staff of the institutions involved and other stakeholders have the needed skills:
  - GHG inventories and related monitoring activities
  - Preparation of reports for domestic and international audiences
  - Data base management
  - Community based monitoring
  - Preparation of documentation and activities needed for the verification process

Forest carbon inventory (emission factors)

- Design and implement a national forest carbon inventory
- Identify the most appropriate field methodologies and tools for estimating carbon stocks. This will require:
  - Understanding of the two methods to estimate carbon changes according to IPCC guidelines and guidance: stock-difference and gain-loss and understanding the national capacities and data available for use with these methods
- Design and execute sampling, analysis and error estimation for a forest biomass inventory
- Estimate the emission factors and determine which of the pools will be measured based on UNFCCC guidelines

Reporting

• Design and carry out a REDD+ national GHG inventory that provides GHG emissions and removals data that are transparent, complete and consistent with the established RELs/RLs
• Develop databases for the compilation of information
• Ensure quality assurance and quality control of all the information and procedures for the GHG inventory
• Scale up and integrate the measurements, data and analyses from project to sub-national and to national scales, as relevant
• Integrate the reporting on REDD+ in national communications for UNFCCC and other purposes
• This requires:
  • Understanding of the UNFCCC requirements for National GHG Inventories and National Communications
  • Understanding of the concepts and procedures for GHG accounting provided by the IPCC regarding the estimation of activity data and emission factors, including methods for estimating emissions and removals
  • Understanding of the five UNFCCC principles for estimations and reporting: transparency, consistency, comparability, completeness and accuracy
  • Understanding of other protocols that may apply under non-UNFCCC frameworks such as country bilateral agreements or the voluntary carbon markets and future domestic carbon markets
  • Knowledge about the use of available software that can be used to prepare GHG inventories

Verification
• Prepare all the documentation and arrange the process necessary to carry out internal and external verification that will allow review of the results, assessment of uncertainties, and analysis to link to RELs/RLs • Understand and follow verification requirements under the UNFCCC or other REDD+ frameworks (e.g. FCPF or voluntary markets)
Monitoring and community based-monitoring
• Define which variables and indicators will be monitored (land use changes, carbon stock changes, etc.) • Design and apply monitoring protocols based on national circumstances and other relevant international procedures • Identify and assess the potential participation and roles of local communities as part of MRV systems and build needed capacities • Design community-based monitoring systems

8.4 KEEP IN MIND

The MRV system should address the needs of a range of stakeholders that could include national and regional governments, the private sector, local communities and indigenous peoples, and the international community. Guidance and modalities for national MRV are under negotiation within the UNFCCC

policy process, so it is important to keep up to date on developments. The MRV requirements of specific accounting standards should also be considered. For example, if a country aims to gain funding from the FCPF Carbon Fund, it will need to ensure it meets the FCPF Carbon Fund Methodology Framework's criteria and indicators on measurement, monitoring and reporting. MRV systems should provide information that supports the establishment and updating of reference levels for REDD+. Some countries may choose to expand MRV systems for GHG emissions to also manage the information needed for compliance with social and environmental safeguards, and for monitoring economic development and governance.

To put MRV systems in place, countries and the stakeholders involved will need to address a series of issues that include a lack of national capacities and funding sources, lack of legal and institutional frameworks, difficulties regarding inter-institutional coordination at national and local levels, the integration of REDD+ policies and MRV systems with the development of NAMAs and the lack of data. It will be also important to consider best practices to ensure the participation of local communities and indigenous peoples in community-based monitoring.

8.5 RESOURCES AND TOOLS

Analysing REDD+: Challenges and choices

Third book from CIFOR on REDD+. Chapter 5: Measuring REDD+ performance, analyzes more advanced aspects of MRV and monitoring, such as safeguards and reference levels.

http://www.cifor.org/online-library/browse/view-publication/publication/3805.html

REDD-plus COOK BOOK—How to Measure and Monitor Forest Carbon

A tool from the Forestry and Forest Products Research Institute that helps to develop methods and plans for national forest inventories. It provides basic knowledge and technologies on forest carbon monitoring methods.

http://www.ffpri.affrc.go.jp/redd-rdc/en/reference/cookbook.html

Guyana REDD+ Monitoring Reporting and Verification System (MRVS) Interim Measures Report

A case study from the Guyana Forestry Commission on developing forest monitoring systems.

http://www.regjeringen.no/upload/MD/2011/vedlegg/klima/klima_skogprosjektet/Guyana/GuyanaMRVS_InterimMeasuresReport_Year2.pdf

GOFC-GOLD, 2012

A sourcebook of methods and procedures for monitoring and reporting anthropogenic greenhouse gas emissions and removals associated with deforestation, gains and losses of carbon stocks in remaining forests, and forestation. A complete tool that describes capacity building needs and procedures to MRV GHG emissions and removals linked to REDD+ activities.

http://www.gofcgold.wur.nl/redd/sourcebook/GOFC-GOLD_Sourcebook.pdf

Deforestation Drivers and Community Assessment: Tien Hoang and Dong Nai Thuong communes

A case study from IIED on how to analyze driver of deforestation at regional levels.

http://www.snvworld.org/sites/www.snvworld.org/files/publications/deforestation_drivers_1.pdf

IPCC Guidelines and Guidance Documents for National GHG Inventories

IPCC tool for the development of methodological guidelines and guidance that, over the years, have become the cornerstone for all work on GHG inventories.

http://www.ipcc-nggip.iges.or.jp/public/index.html

Low Carbon Development Strategies: A Primer on Framing Nationally Appropriate Mitigation Actions (NAMAs) in Developing Countries

This document provides basic principles and proposes some possible elements of a national NAMA preparation process.

http://www.uneprisoe.org/~/media/Sites/Uneprisoe/Publications%20(Pdfs)/LowCarbonDevelopmentStrategies_NAMAprimer.ashx

REDD+ Measurement, Reporting and Verification (MRV) Manual Version 1.1

A comprehensive manual that explains the main elements of an MRV system such as remote sensing, forest inventories, GHG inventories, monitoring techniques, community-based monitoring and institutional arrangements.

http://www.fcmcglobal.org/mrvmanual.html

SNV Pro-Poor REDD+ Participatory Forest Monitoring

A brief that provides a summary of guidelines on how to integrate local communities in forest monitoring.

http://www.snvworld.org/sites/www.snvworld.org/files/publications/pfm_hr_print_final_rev_2.pdf

National Forest Monitoring Systems: Monitoring and Measurement, Reporting and Verification (M & MRV) in the Context of REDD+ Activities

A UN-REDD document that describes the elements of National Forest Monitoring Systems as they relate to REDD+ under the United Nations Framework Convention on Climate Change (UNFCCC), and describes the UN-REDD Programme approach to Monitoring and Measurement, Reporting and Verification (M & MRV) requirements.

http://www.un-redd.org/UNREDDProgramme/InternationalSupport/MeasurementReportingandVerification/tabid/1050/language/en-US/Default.aspx

Standard Operating Procedures for Terrestrial Carbon Measurement: Version 2012

A field guide from Winrock International that describes standard field measurement approaches to assist in quantifying the amount of carbon stored within the various organic pools found within a landscape.

http://www.winrock.org/sites/default/files/publications/attachments/Winrock_Terrestrial_Carbon_Field_SOP_Manual_2012_Version.pdf

FCPF Carbon Fund Methodological Framework

A set of 37 criteria and related indicators that will be used by Carbon Fund Participants (amongst other selection criteria) to select national or subnational Emission Reductions Programs into the Carbon Fund portfolio.

https://www.forestcarbonpartnership.org/carbon-fund-methodological-framework

9. REFERENCE LEVELS (RLs) AND REFERENCE EMISSION LEVELS (RELs)

9.1 GENERAL COMPETENCY STATEMENT

A stakeholder should understand the purpose of reference levels (RLs) and reference emission levels (RELs), the difference between them and the basic steps involved in their development.

9.2 KNOWLEDGE

Importance of this REDD+ theme

RLs and RELs benchmark the amount of emissions reductions or removals (measured in tCO_2eq/yr) due to REDD+ activities. They are essential for assessing the performance of REDD+ activities and the corresponding compensation.

Policy milestones

This section describes policy milestones from the UNFCCC process. A growing number of other frameworks, such as bilateral agreements between countries, are also in development and knowledge about these initiatives may be important for stakeholders.

2007: COP 13, Bali, Indonesia

In COP 13, decision 2/CP.13, paragraph 7, the COP invites Parties to submit their views on how to address outstanding methodological issues on demonstration of reductions in emissions, including reference emissions levels.

2009: COP 15, Copenhagen, Denmark

In COP 15, decision 4/CP.15 paragraph 7, the COP recognizes that developing country Parties, in establishing forest RELs/RLs, should do so transparently taking into account historic data, and adjust for national circumstances in accordance with relevant decisions of the conference of the Parties.

2010: COP 16, Cancun, Mexico

In COP 16, decision 1/CP.16 paragraph 71(b) the COP requests developing country Parties, in accordance with national circumstances and respective capabilities, to develop the following elements:

- "A national forest reference emission level and/or forest reference level or, if appropriate, as an interim measure, sub-national forest reference emission levels and/or forest reference levels, in accordance with national circumstances, and with provisions contained in decision 4/CP.15, and with any further elaboration of those provisions adopted by the Conference of the Parties"

2011: COP 17, Durban, South Africa

In COP 17, decision 12/CP.17 the parties provided guidance on systems for providing information on safeguards and modalities and guidelines relating to forest RELs/RLs:

- "Agrees that RELs/RLs expressed in tCO_2eq/yr are benchmarks for assessing each country's performance in implementing the activities referred to in decision 1/CP.16
- Invites Parties to submit information and rationale on the development of their RELs/RLs, including details of national circumstances that were considered, in accordance with the

guidelines contained in the annex to this decision and any future decision by the Conference of the Parties; the information should be guided by the most recent Intergovernmental Panel on Climate Change guidance and guidelines adopted by the COP and should include: information used including historical data, in a comprehensive and transparent way, list of pools and gases, and activities, and the definition of forest used

- Agrees that a step-wise approach to national forest reference emission level and/or forest reference level development may be useful
- Acknowledges that sub-national RELs/RLs may be elaborated as an interim measure, while transitioning to a national REL/RL, and that interim RELs/RLs of a Party may cover less than its entire national territory of forest area"

2013: COP 19, Warsaw Poland

A decision on the technical assessment of RELs/RLs indicates that RELs/RLs will be subject to a technical assessment process and provides guidelines and procedures for this process. This process is described as a 'facilitative, non-intrusive, exchange of information'. The decision describes the scope, procedures, composition of the assessment team, and timing of assessments.

TERMS

Activity data: "Data on the magnitude of a human activity resulting in emissions or removals taking place during a given period of time. Data on areas (location and extension) of land converted from primary forest to agricultural lands or other kind of land uses are examples of activity data" (Hewson et al., 2013).

Adjusted reference levels/reference emissions levels: "A reference level adjusted from projections of historical data when warranted by national circumstances that affect the country's forest emissions and removals" (Meridian Institute, 2011a). The concept of compensation baselines can be an example.

Emission factor: "A coefficient that quantifies the emissions or removals of a gas per unit activity. Emission factors are often based on a sample of measurement data, averaged to develop a representative rate of emission for a given activity level under a given set of operating conditions" (Hewson et al., 2013). The change in tons of carbon (carbon/ha) in an area of land is an example of emission factor.

Historical baseline: "The rate of deforestation and degradation (DD) and the resulting CO_2e emissions over the past x years" (Angelsen, 2008).

Reference emission levels (RELs): "Are generally used in the context of REDD+ to benchmark the amount of emissions from deforestation and forest degradation from a geographical area (REDD only)" (Meridian Institute, 2011b).

Reference levels (RLs): "Are generally used in the context of REDD+ to benchmark the amount of emissions from deforestation and forest degradation as well as the amount of removals from sustainable management of forests and enhancement of forest carbon stocks in a geographical area" (Meridian Institute, 2011b). Under the UNFCCC, the conservation of carbon stock should be also considered.

Other relevant terms

- Adjusted reference levels/reference emissions levels
- Business-as-usual baselines
- Crediting level
- Compensation baseline

Elements to consider for the establishment of RELs/RLs

To establish RELs/RLs it is important to understand the international and national policies and technical guidance on the establishment of RELs/RLs. The UNFCCC is the main international body that provides general modalities and guidelines to establish RELs/RLs indicating that the creation of RELs/RLs must be based on IPCC guidelines and guidance for greenhouse gases inventories. Countries may establish their RELs/RLs at a sub-national level during an interim period (Walker et al., 2013; Meridian Institute, 2011; Chagas et al., 2012.) Figure 11 shows a set of general steps that should be taken during the process of preparing a national or sub-national REL/RL; the description of the competencies related to this step are shown in Section 8.3, which define the skills.

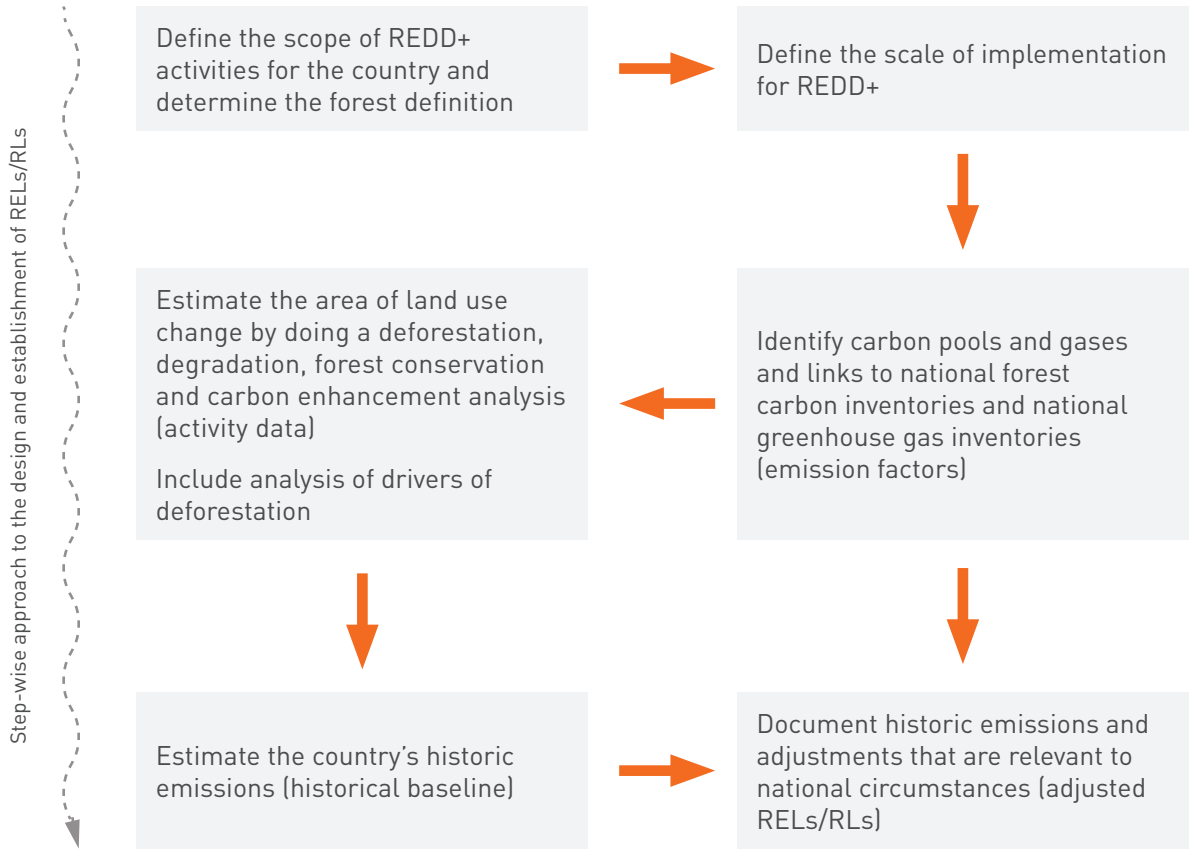


Figure 11. General steps for the establishment of REDD+ RELs/RLs (based on Walker et al., 2013; Meridian Institute 2011; Chagas et al ., 2012)

Winrock International (Harris et al., 2012) developed a useful tool that suggests the following elements:

- Determine the scope of activities: deforestation, degradation (forest management, fuel collection, timber harvesting, carbon enhancements)
- Finalize a forest definition and carry out an analysis that should explain why this definition was used
- Determine the scale: national or sub-national
- Determine which pools/gases to include: aboveground biomass, belowground biomass, dead wood, litter, soil organic carbon, harvested wood products, carbon, methane, and nitrous oxide
- Link a national forest inventory to REDD+: in case countries already have one or are designing one
- Adjust for national circumstances: analysis includes socio-economic factors and emissions and current and new national policies
- Whether a location analysis should be included: to identify areas in the country or jurisdiction where emissions are expected to occur

An approach can also be taken for countries with limited data and information that will facilitate the improvement of RELs/RLs in the future. Herold et al. (2012) have proposed a step-wise framework that is represented in Figure 12. This approach suggests that countries can start by collecting the information that is available, make assessments based on the information collected, analyze drivers of deforestation, make adjustments and repeat the process over the time, as a country has increased its capacity to develop more precise RELs/RLs.

COSTA RICA'S REFERENCE EMISSION LEVEL

Costa Rica's forest REL/RL includes all five REDD+ activities as decided at the COP in Cancun (1/CP.16). Depending on availability, data collection for these activities will occur for the historical reference period 1982-2010. The goal is to gain knowledge on how anthropogenic activities that influence CO_2 emissions and absorptions have developed in the past and how country-level policies and measures have been effective in reducing emissions, conserving and enhancing carbon stocks and fostering sustainable management of forests. An extended historical reference period (28 years) has been defined in order to have sufficient information to comply with multiple methodological frameworks. For example, Costa Rica's forest REL/RL requires compliance with UNFCCC decisions, IPCC guidelines, FCPF's methodological framework, VCS-JNR requirements and the upcoming national carbon accounting system under the C-neutrality program. Data collection in the period 1982-2010 will be every four years using satellite imagery and geographic information systems. These will provide activity data. Emission factors will be estimated from the national forest inventory (to be concluded in December 2013). An important component of the forest REL/RL is the environmental services payments program that started in 1997 and has resulted in significant emission reductions. The projection of the forest REL/RL will be based on current knowledge on how drivers of deforestation and degradation change in the future, predictability of funds for REDD+ actions, new forest policy that may come into act following the implementation of the REDD+ strategy and relevant national circumstances.

-Javier Fernández , FONAFIFO

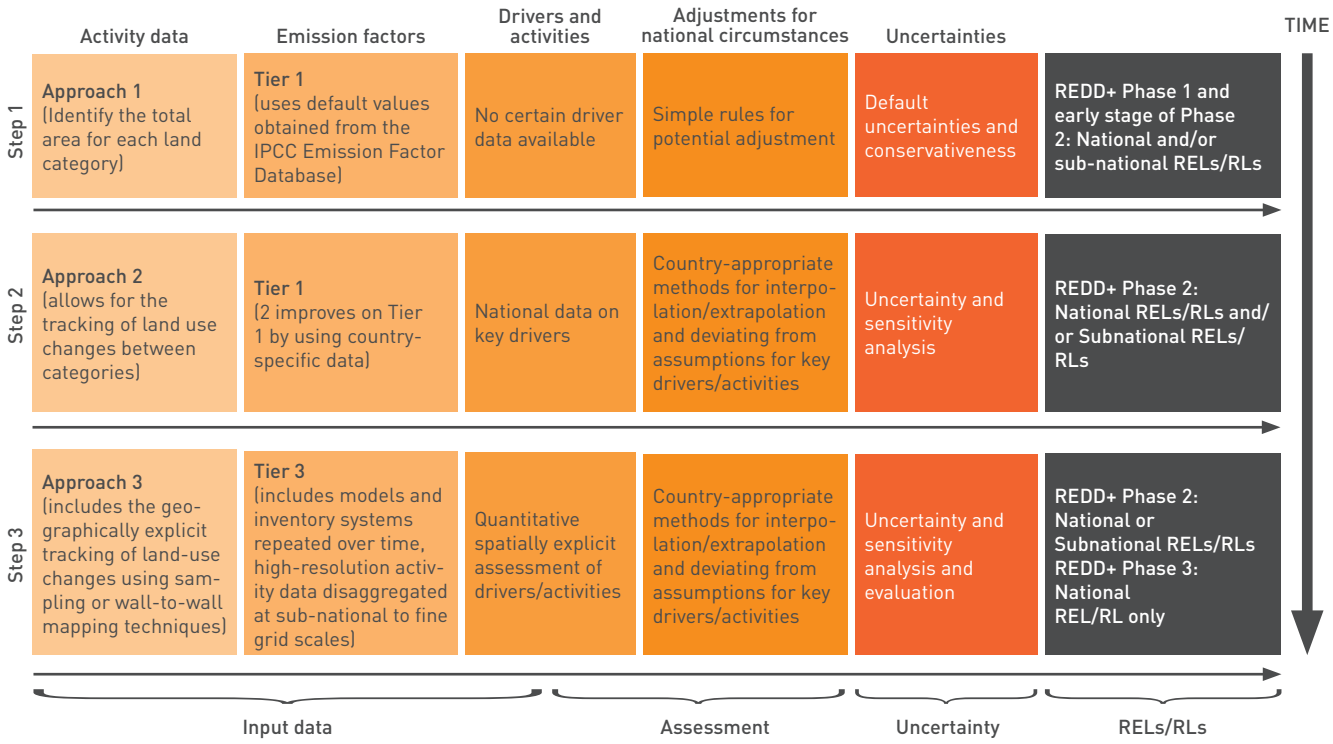


Figure 12. Framework for a step-wise approach for developing forest RELs/RLs on a national and/or sub-national level in accordance with the three REDD+ phases (from Herold et al ., 2012)

9.3 SKILLS

An overview of the skills needed to engage in the establishment of RELs/RLs:

Policy and technical guidance
• Track the UNFCCC process and the results of the COPs • Understand UNFCCC and IPCC guidelines and guidance for the construction of RELs/RLs, including an understanding of guidelines and guidance for the development of GHG inventories
Frameworks for the design and establishment of RELs/RLs
• Implement the step-wise approach to the development of RELs/RLs at national and sub-national levels • Have familiarity with the different methodologies available to analyze and design RELs/RLs

Defining scope of REDD+ activities in a country and determining the forest definition

• Carry out a national process that will establish the national forest definition and its implication for REDD+ activities
• Analyze the potential methodological and political implications of selecting any of the next REDD+ activities:
  • Reducing emissions from deforestation
  • Reducing emissions from forest degradation
  • Conservation of forest carbon stocks
  • Sustainable management of forests
  • Enhancement of forest carbon stocks
• Perform economic analysis needed to understand the impacts of the REDD+ activities described above (e.g. analysis on opportunity costs and models)

Defining the scale for the implementation REDD+
• Analyze the scale for developing the reference RELs/RLs. The UNFCCC allows the development of sub-national reference level as an interim step, then to move later to a national scale • Analyze the implications of the different scales of REDD+ when developing RELs/RLs (e.g. projects, states or regions, national) • Understand the complexities of integrating RELs/RLs across scales and scaling-up from the sub-national to the national level; ability to propose or carry out a sensible integration
Identification of the carbon pools and gases (emission factors)
• Identify the carbon pools and gases that will be considered when developing RELs/RLs and adequately justifying the potential non-inclusion of certain pools • Design and carry out a national forest carbon inventory, which includes the capacity to design and execute sampling, analysis and error estimation • Prepare protocols to link the forest carbon inventory procedures and results with the REDD+ national MRV systems • Understand the concepts and procedures for GHG accounting provided by the IPCC regarding the estimation of activity data and emission factors, including methods for estimating emissions and removals
Estimation of the area of land use change (activity data)
• Classify land uses based on UNFCCC and IPCC principles, based on the national forest definition • Analyze the different remote sensing options that can be used to carry out a land use change analysis • Evaluate agents and drivers of deforestation and forest degradation, and drivers of forest conservation, forest management and forest carbon enhancement • Assess the uncertainties of the analysis based on the application of different methodologies and technologies

Estimation of a country's historic emissions (historical baseline)
• Determine the appropriate historical period to assess • Analyze remote sensing data from two or more periods to determine forest cover and forest cover changes (deforestation, forest conservation, etc.) • Assess the uncertainties of the analysis based on the application of different methodologies and technologies • Estimate historic emissions and present this in a transparent manner based on the information that is available
Projecting historic emissions and making adjustments based on national circumstances (adjusted RELs/RLs)
• Analyze the effects of REDD+ policy and implementation actions (e.g. establishment of new protected areas, financial incentive to reduce to improve forest management) on GHG emissions • Carry out land use change analysis and analysis of the drivers of deforestation, forest degradation and other land uses changes • Develop RELs/RLs based on historic emissions and removals • Translate national policy statements, priorities, and infrastructure development proposals into emissions scenarios • Carry out the analysis, institutional coordination and discussion on adjustments for national circumstances • Assess the uncertainties of the analysis based on the application of different methodologies and technologies

**Note:* It is important to coordinate these activities with the institutions in charge of the implementation of the MRV systems.

9.4 KEEP IN MIND

RLs/RELs are specific to national and sub-national circumstances. In addition to the policies and guidance being developed under the UNFCCC, other frameworks are also in use, such as the FCPF Carbon Fund Methodological Framework and the standards developed for voluntary carbon markets.

To prepare REDD+ RELs/RLs it is important to consider the national development objectives and to understand the REDD+ activities that will be implemented. It will be important to: determine the scope of activities (deforestation, degradation, carbon stock enhancement; forest conservation and forest management); determine the forest definition to be used; determine the scale (national or sub-national); determine which pools/gases to include; coordinate with national forest inventories; adjust the REL/RL to national circumstances (Harris et al., 2012).

9.5 RESOURCES AND TOOLS

Reference Levels: Concepts, Functions, and Application in REDD+ and Forest Carbon Standards

This 2013 Climate Focus report describes how different results-based initiatives deal with REL/RL design problems, provides an overview of the options for constructing RELs/RLs, and compares the options for RELs/RLs under different carbon project standards.

http://www.climatefocus.com/documents/files/reference_levels_concepts_functions_and_application_in_redd_and_forest_carbon_standards.pdf

Decision Support Tool for Developing Reference Levels for REDD+

A 2012 tool from Winrock International that helps to decision-making regarding the construction of RELs/RLs based on the scope, scale, forest definition and particular national circumstances.

http://www.leafasia.org/library/decision-support-tool-developing-reference-levels-redd

A Step-Wise Framework for Setting REDD+ Forest Reference Emission Levels and Forest Reference Levels. CIFOR Infobrief No. 52

A 2012 policy brief from CIFOR that summarizes the construction of RELs/RLs following a stepwise approach and highlights the activities that countries should prioritize during the development of RELs/RLs.

http://www.cifor.org/publications/pdf_files/Infobrief/3788-infobrief.pdf

Reference Levels and Payments for REDD+ Lessons from the recent Guyana–Norway Agreement

This 2012 report from WWF discusses the various definitions proposed for RELs/RLs and assesses the pros and cons of several proposals for RLs.

http://wwf.panda.org/what_we_do/footprint/forest_climate2/publications/?205874/

Roadmap for the Establishment of Reference Levels and National Forest Monitoring System

This 2012 document from Kenya's National REDD+ Programme presents a case study on Kenya's proposed road map for the establishment of reference levels and national forest monitoring system.

http://www.forestryandwildlife.go.ke/wp-content/uploads/2012/10/Roadmap-for-Establishing-REDD+-RL-and-NFMS.pdf

Meridian Institute 2011a. "Modalities for REDD+ Reference Levels: Technical and Procedural Issues" and Meridian Institute 2011b. "Guidelines for REDD+ Reference Levels: Principles and Recommendations"

These two reports from the Meridian Institute present an assessment of technical and procedural issues of modalities for RELs/RLs and presents guidelines for the preparation of REDD+ RLs aimed at informing the preparation of RLs under the UNFCCC.

http://www.REDD-OAR.org

REDD+ Measurement, Reporting and Verification (MRV) Manual, Version 1.1

A comprehensive manual that explains the main elements of an MRV system such as remote sensing, forest inventories, GHG inventories, monitoring techniques, community-based monitoring and institutional arrangements.

http://www.fcmcglobal.org/mrvmanual.html

Review of Methodologies for the Establishment of Reference Emission Levels and Reference Levels for REDD in Vietnam Final Report

A 2010 case study that analyses technical and methodological issues for the construction of RL in Vietnam.

http://www.unredd.net/index.php?option=com_docman&task=doc_view&gid=7654&tmpl=component&format=raw&Itemid=53

Technical Guidance on Development of a REDD+ Reference Level

A document that provide technical information on how countries can set up RELs/RLs.

http://www.leafasia.org/tools/technical-guidance-development-redd-reference-level

FCPF Carbon Fund Methodological Framework

A set of 37 criteria and related indicators that will be used by Carbon Fund Participants (amongst other selection criteria) to select national or subnational Emission Reductions Programs into the Carbon Fund portfolio.

https://www.forestcarbonpartnership.org/carbon-fund-methodological-framework

10. REDD+ FUNDING AND FINANCE

10.1 GENERAL COMPETENCY STATEMENT

A stakeholder should understand the cost of REDD+ implementation, including the readiness process, and should understand the opportunities for funding REDD+ activities through the UNFCCC and other sources.

10.2 KNOWLEDGE

Importance of this REDD+ topic

REDD+ is designed to be a compensation scheme that provides economic incentives for reducing or removing greenhouse gas emissions. Without a functioning and effective financing mechanism for REDD+, it will fail to be a large-scale mechanism for mitigating climate change. Accurate estimation of the operational and transaction costs of REDD+, and equitable benefit distribution schemes are all essential to the sustainability of REDD+ activities.

Policy milestones

This section describes policy milestones from the UNFCCC process. A growing number of other frameworks, such as bilateral agreements between countries, are also in development and knowledge about these initiatives may be important for stakeholders.

2007: COP 13, Bali, Indonesia

In decision 2/CP.13, the COP invites parties and requests the secretariat to mobilize resources for demonstration activities that address the drivers of deforestation. It also asks the SBSTA to carry out a program of work on methodological issues.

2009: COP 15, Copenhagen, Denmark

In decision 4/CP.15, the COP requested the secretariat to enhance the coordination of REDD+ activities, subject to availability of supplementary funding. These resources were commonly called "fast-start" finance pledges.

2010: COP 16, Cancun, Mexico

In decision 1/CP.16, the COP requested developing country Parties "in the context of the provision of adequate and predictable support, including financial resources and technical and technological support to developing country Parties, in accordance with national circumstances and respective capabilities" to develop REDD+ actions such as national strategies, national forest REL/RL, a robust and transparent national forest monitoring system and a system for providing information on how safeguards are being addressed and respected.

The COP also decided to establish the Green Climate Fund (GCF) "to be designated as an operating entity of the financial mechanism of the Convention." However, the sources of funding for REDD+ were not defined.

2011: COP 17, Durban, South Africa

In decision 12/CP.17, the COP agreed "that results-based finance provided to developing country Parties that is new, additional and predictable may come from a wide variety of sources, public and private, bilateral and multilateral, including alternative sources";

The COP considered that, in the light of the experience gained from current and future demonstration activities, appropriate market-based approaches could be developed by the Conference of the Parties to support results-based actions by developing country Parties.

2013: COP 19, Warsaw, Poland

A decision on results-based finance for REDD+ establishes an information hub as a means to publish information on REDD+ activities. This hub will include information on the results of a country's REDD+ activities (in tCO_2e), as well as the REL/RL, information on how safeguards are being addressed and respected, a link to the national REDD+ strategy, and information on the national forest monitoring system. It will also indicate the number of tCO_2e that have been paid for and the entity paying for these results.

TERMS

Benefit sharing: The distribution of direct and indirect net gains (monetary and non-monetary benefits) from the implementation of REDD+ (Luttrell et al., 2012). The potential benefits associated with REDD+ activities are not just financial or monetary, other benefits could include positive social and environmental impacts such as ecosystem services protection and provision, the improvement of forest governance, and others. National and sub-national REDD+ strategies should include the development of benefit sharing schemes that ensure that benefits will reach all stakeholder equitably.

Carbon market: "A popular (but misleading) term for a trading system through which countries may buy or sell units of greenhouse-gas emissions in an effort to meet their national limits on emissions, either under the Kyoto Protocol or under other agreements, such as that among member states of the European Union. The term comes from the fact that carbon dioxide is the predominant greenhouse gas, and other gases are measured in units called 'carbon dioxide equivalents'" (UNFCCC Glossary).

Carbon credit: A tradable greenhouse gas emissions reduction expressed in tons of carbon dioxide equivalent (tCO_2e).

Certified emission reductions (CER): "A Kyoto Protocol unit equal to 1 metric ton of CO_2 equivalent. CERs are issued for emission reductions from CDM project activities. Two special types of CERs called temporary certified emission reduction (tCERs) and long-term certified emission reductions (lCERs) are issued for emission removals from afforestation and reforestation CDM projects" (UNFCCC Glossary).

International public funding: Sources of funding provided by countries through their development agencies (e.g. USAID or NORAD), through country bilateral agreements and/or through multilateral institutions such the United Nations agencies (e.g. UN-REDD, FAO, UNDP). Other examples are regional international funds such as the Congo Basin Forest Fund (CBFF).

Regulatory or compliance carbon markets: Marketplaces through which regulated entities obtain

and surrender emissions permits (allowances) or offsets in order to meet predetermined regulatory targets. In the case of cap and-trade programs, participants—often including both emitters and financial intermediaries—are allowed to trade allowances in order to make a profit from unused allowances or to meet regulatory requirements (Peters-Stanley et al., 2012). Examples of carbon emission trading systems are the clean development mechanism under the Kyoto Protocol of the UNFCCC, the European Union Emissions Trading System (EU ETS) or the state based emissions trading scheme in California.

Voluntary carbon markets: Refers to sale and purchase of carbon credits that are not immediately used to meet a compliance obligation (Peters-Stanley et al., 2012).

Other relevant terms

- Carbon offsets or allowances
- Emissions Reduction Purchase Agreement (ERPA)
- Over the Counter (OTC)
- Voluntary (or Verified) Emissions Reductions (VERS)

Technical elements

The key technical elements of REDD+ finance include international and national policies, estimation of the costs of REDD+ activities, sources of financing, and benefit sharing mechanisms.

International and national policies

Parties to the UNFCCC currently agree that REDD+ can be financed with funds coming from different sources, including public and private. The arrangements for REDD+ financing from the GCF are still unclear. REDD+ countries are developing national REDD+ policies which may include mechanisms for REDD+ finance. The R-PP documents from the FCPF provide examples of how national governments are developing REDD+ finance policies.

Estimating the cost of REDD+

A clear understanding of the costs associated with REDD+ readiness and REDD+ implementation is a necessary first step for designing a REDD+ system. For example, key activities that will need funding during the readiness process include: capacity building activities, the design of REDD+ policies, the creation of MRV systems and safeguards information systems, benefit distribution mechanisms, the establishment of RLs/RELs and stakeholder engagement and consultation process, and all of the institutional arrangements needed to put these activities in place. Luttrell et al. (2012), define the following three cost categories for REDD+:

- **Opportunity costs:** the net benefits forgone by not converting forests to other land uses (Börner et al., 2010).
- **Transaction costs:** the costs of performing a transaction involving a REDD+ payment, including the payments to external parties, such as market regulators or payment system administrators to determine that the REDD+ program has achieved emission reductions (Pagiola and Bosquet, 2009).
- **Implementation costs:** the costs "directly associated with the actions leading to reduced deforestation, and hence to reduced emissions" (Pagiola and Bosquet, 2009).

Financing sources

It is important to understand the financial options offered by countries and institutions that provide funds to support REDD+ and to understand how the mechanisms for mobilizing the funds work. REDD+ financing sources are generally climate change mitigation mechanisms, but funding for REDD+ related activities could potentially come from the agricultural sector or schemes for payment for ecosystem services. Figure 12 shows different financing sources for REDD+.

Figure 12. Financing sources for REDD+

- **International public funding:** international public financing sources that support readiness processes and the design of REDD+ policies. This includes funds pledged by countries under the context of the UNFCCC or the GEF . International funds are channeled in two forms:
  - **Multilateral funds:** The most important agencies providing funding sources to countries are the FCPF and UN-REDD and the FIP. Regional options include the CBFF, the Amazon Fund and the Indonesia Climate Change Trust.
  - **Bilateral funds:** Countries can also negotiate bilateral agreements to channel funds. Examples of this include the separate agreements signed by Norway with Brazil, Indonesia or Guyana. These funds are often channeled through Official Development Assistance (ODA) agencies of developed countries.

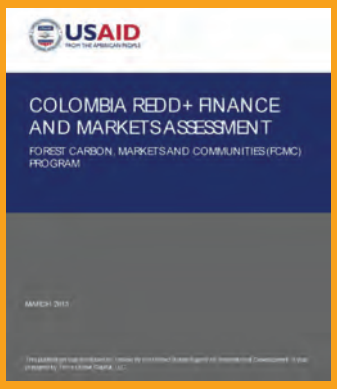
- **National funding:** REDD+ country governments are also dedicating part of their domestic public funding to analyze and create national REDD+ strategies or programs, through the work done in different ministries and climate change agencies. Private sources in developing countries are also a sector to consider, as these may support the development of forest carbon projects, the functioning of payment for ecosystem services schemes and the implementation of sustainable forest management projects (Streck and Parker, 2012).
- **International private financing sources:** Two forms of private funding have also been important for REDD+ activities. Charitable foundations have supported a variety of initiatives, often through donations made to NGOs. Private companies have also been a significant source of funding for REDD+. These include companies that are voluntarily offsetting their emissions and others that invest in carbon projects with the expectation of a financial return through the sale of offsets.
- **Forest carbon markets:** as mentioned above, there are two types of forest carbon markets:
  - Regulatory or compliance carbon markets, regulated by international frameworks such as the UNFCCC. No such global market currently exists for REDD+.
  - The voluntary carbon market, where forest carbon projects are developed to meet accepted voluntary standards (see a list of this standards in 10.4 Relevant Resources and Tools).

Benefit sharing

REDD+ will be implemented by multiple stakeholders, including national and sub-national governments, and private actors, as well as the people whose livelihoods are directly derived from forests and the surrounding areas. The creation of transparent and equitable benefit sharing mechanisms is essential for the success of REDD+. Benefit sharing mechanisms require institutional arrangements and a process to define the roles and responsibilities, based on the type of benefits to distribute and the scale of the REDD+ activities (national or sub-national) (PriceWaterhouseCoopers, 2012). When estab-

lishing a REDD+ benefit sharing mechanism it will also be important to have clarity on property rights of land and forest carbon, and to clearly identify beneficiaries and to distinguish among the different benefits they could receive (Bruce et al., 2012).

$ SUPPORTING REDD+ FINANCE AND CARBON MARKETS



FCMC contributes to the international architecture of REDD+ finance and builds capacity on REDD+ within USAID, its partners, and developing countries. For example, FCMC is helping USAID's Development Credit Authority (DCA) understand legal and technical aspects of REDD+ carbon credit transactions. By gaining knowledge of REDD+, DCA has been able to tailor its existing loan guarantee products to REDD+, thereby enabling it to offer new loan guarantee products that guarantee debt finance for REDD+ projects. FCMC is assisting the FCPF's Carbon Fund develop a methodological framework to be be applied to large scale REDD+ programs the Carbon Fund will purchase emission reductions from. Piloting large scale REDD+ accounting and transactions will generate lessons learned for any future market mechanisms that may be agreed under the UNFCCC. FCMC has analyzed the readiness of Colombia to participate in carbon market transactions. This analysis and advice will help the government prioritize further steps that could help attract finance for REDD+ activities in Colombia. FCMC is also supporting the REDD Desk develop new content on REDD+ markets and standards to support information dissemination more broadly. For more information, see: www.fcmcglobal.org.

-Robert O'Sullivan, FCMC

10.3 SKILLS

Summary of skills needed to understand and implement activities related to REDD+ finance:

Policy and technical guidance
• Understanding of UNFCCC policy negotiations regarding the creation of a financing mechanism for REDD+ • Understanding of the policies that lead to regional and national programs to fund REDD+
The cost of REDD+
• Identify the different activities related to the establishment and implementation of REDD+ at national, sub-national and project scales, and be able to estimate the associated costs • Estimate REDD+ related costs, especially a) opportunity, b) transaction and c) implementation costs. This includes knowledge of the methods, tools and analytical skills to carry out such analysis

Financing sources
• Analyze the different funding sources and the mechanisms for mobilizing these funds to determine advantages and disadvantages for the stakeholders involved • Strategically analyze how sources of funding can be accessed, used and distributed • Identify potential synergies between other environmental funding mechanisms and REDD+ • Analyze the opportunities for REDD+ funding through voluntary markets and certification programs • Conduct an assessment of potential private sector sources of funding for REDD+
Mechanism for benefit sharing
• Analyze and define the roles and responsibilities of different stakeholder participating in REDD+ and how benefits will reach these stakeholders • Carry out analyses of property rights and land tenure and establish a process to clarify uncertainties and secure rights • Design effective, transparent and equitable benefit sharing mechanisms, including an analysis of existing national or sub-national benefit sharing mechanisms and the lessons learned/applicability to REDD+

10.4 KEEP IN MIND

Under the UNFCCC, a financing mechanism for REDD+ remains under negotiation. It is expected that in the future, funding will come from multiple sources that could include public funds and carbon markets. Parties to the UNFCCC have agreed that REDD+ will be established in three phases (see Theme 4. REDD+ Readiness Process). In early REDD+ activities, funding to support national readiness phases will primarily come from public funds (e.g. multilateral initiatives like FCPF/UN-REDD), or bilateral agreements between developed and developing countries. Later funding of the performance-payment for emissions reductions from REDD+ may come from public sources or from private sources through compliance markets. Market mechanisms have not been defined and may include compliance markets but may also include other markets or mechanisms.

10.5 RESOURCES AND TOOLS

Community Guidelines for Accessing Forestry Voluntary Carbon Markets

2012 document from the FAO Regional Office for Asia and the Pacific that helps local communities in the Asia-Pacific region to access the forestry voluntary carbon markets.

http://www.fao.org/docrep/016/i3033e/i3033e.pdf

Assessing Options for Effective Mechanisms to Share Benefits: Insights for REDD+ Initiatives

The 2012 document from PriceWaterhouseCoopers provides practical guidance on how to identify and work with beneficiaries when rights are unclear.

http://www.profor.info/knowledge/making-benefit-sharing-arrangements-work-forest-dependent-communities

Finance and Carbon Markets Lexicon

This 2012 document from FCMC contains a list of relevant vocabulary, definitions, reference sources, and acronyms that are used in the public and private sector for REDD+ finance.

http://www.fcmcglobal.org/documents/FinanceandCarbonMarketsLexiconFinal40clean.pdf

Estimating Cost Elements of REDD+ in Tanzania

LTS International Analysis of the opportunity, implementation, transaction and institutional costs of REDD+ based on the experience of three REDD+ projects in Tanzania.

http://www.un-redd.org/Newsletter33/Tanzania_Cost_Elements/tabid/106654/Default.aspx

Engaging the Private Sector in the Potential Generation of Carbon Credits from REDD+; An Analysis of Issues

This 2010 study, prepared by Climate Focus for DFID, analyzes the role of the private sector and its potential for the generation of emissions reductions from REDD+. It considers two options to design REDD+ markets and four options for reducing investment risk and raising upfront finance.

http://www.climatefocus.com/documents/engaging_the_private_sector

The Financial Costs of REDD: Evidence from Brazil and Indonesia

This 2009 IUCN study reviews the financial costs of REDD from the perspective of an institutional investor seeking cost-effective abatement options and analyzes factors that determine the costs of REDD+.

http://data.iucn.org/dbtw-wpd/edocs/2009-047.pdf

Developing Dimension: State of the Voluntary Carbon Markets 2012

This 2012 report from Forest Trends analyzes the state of voluntary carbon market. This is the sixth annual report and provides information on trading volumes, credit prices, project types, locations, and the motivations of buyers voluntarily purchasing carbon offsets.

http://www.forest-trends.org/publication_details.php?publicationID=3164

PROFOR Assessing Options for Benefit Sharing Tool

The Options Assessment Framework is an Excel tool to help policy makers assess their country's readiness for REDD+ benefit sharing mechanisms.

http://www.profor.info/node/2111

Financing REDD+: Institutions, Lessons and Target Areas for the Next Decade

The 2012 SNV report analyzes current financial options for REDD+ and provides recommendations for further steps.

http://www.snvworld.org/sites/www.snvworld.org/files/publications/financing_report_020113.pdf

Estimating the Opportunity Costs of REDD+: A Training Manual

A tool from the World Bank Institute that helps to apply skills to estimate opportunity cost of REDD+. It includes a training manual.

http://theredddesk.org/resources/estimating-opportunity-costs-redd-training-manual

Emerging Compliance Markets for REDD+: an Assessment of Supply and Demand

In response to the increasing relevance of compliance markets for REDD+, FCMC commissioned this study that analyzes the current trends in these market-based REDD+ mechanisms and their impact on international finance architecture and REDD+ project implementation.

http://www.fcmcglobal.org/documents/Emerging_Compliance.pdf

SECTION 3: CASE STUDIES ON REDD+ CAPACITY BUILDING PROGRAMS

RECOFTC'S CLIMATE CAPACITY BUILDING PROGRAM

Overview

RECOFTC has successfully implemented a number of REDD+ and climate change projects through its People, Forest and Climate Change (PFCC) thematic area since 2008, and produced high quality resource materials for training and awareness raising for a range of stakeholders in English and the national languages of its focal countries. RECOFTC has also been engaged in action research and developing REDD+ knowledge dissemination platforms through its wide network of partner organizations in the Asia-Pacific region. RECOFTC is also an active member of national climate change and REDD+ observer and working groups and contributes to the UNFCCC REDD+ process.

Geographic scope of REDD+ engagement

The Asia-Pacific region, with small-scale engagement in East Africa

Type of services provided

- REDD+ training at both national and local level, including 'training of trainers'
- REDD+ research, policy analysis and knowledge sharing
- REDD+ action learning
- REDD+ study tours

General typology of target audiences

- National government
- Local government
- International NGOs
- National NGOs
- Civil society organizations
- Academic institutions
- Forest-dependent communities
- Local forest managers
- Journalists
- Students

CASE STUDY–'GRASSROOTS CAPACITY BUILDING FOR REDD+'

Background of the REDD+ training program

The international debate around REDD+ has generated vast amounts of information in a short time. So far, most discussions have involved policy makers, international organizations, and academics. Rarely has clear, thorough, and relevant information about the initiative reached forest stakeholders at the local level.

Grassroots forest stakeholders deserve to have a say in decisions that may affect their relationship with forests, their homes, and their livelihoods.

To be able to participate with their full potential in the planning and implementation of REDD+ projects, these stakeholders must have full, clear, and culturally appropriate information about REDD+ processes. Through this project, RECOFTC identifies their knowledge gaps and thoroughly and effectively shares vital information.

Thematic areas of capacity building

- The basics of climate change
- The basics of REDD+
- Social safeguards in REDD+

Scale of REDD+ capacity building

Started in August 2009, this NORAD-supported project has developed a strong network with 15 in-country project implementing partners in four project countries, built their capacity, and has effectively used the cascading approach of training and capacity building for REDD+ at the national, sub-national and community level. Following such an approach, the project has raised awareness among more than 30,000 grassroots stakeholders and built the capacity of more than 500 trainers and government officials at national and sub-national level on climate change and REDD+.

Typology of target audiences trained

- Forest-dependent households
- Local forest managers
- Local government and forestry officials
- Civil society groups that work on forest management
- NGOs
- Students
- Journalists
- Local politicians

Capacity building and awareness-raising methodology

To best target trainings and materials, RECOFTC first conducts a capacity building needs assessment (CBNA) within each country. Based on the knowledge gaps identified in these assessments, they created specialized materials, manuals, and training courses in local languages. RECOFTC also works with local radio, television, and newspapers to raise awareness of REDD+ and climate change. Before and after trainings, surveys are concucted to closely monitor and evaluate participants' progress and retention, as well as the usefulness of the materials in different contexts.

On-the-ground case studies help to inform training and capacity building approaches. Throughout the entire process RECOFTC collaborates with national and regional partner organizations and national governments to ensure that the work directly responds to local needs in each country.

In addition, RECOFTC shares relevant materials and lessons among all four country projects and at the regional level, adapting them to local contexts and languages.

Results and impact

The project has resulted in 30,000 grassroots stakeholders gaining a basic understanding of climate change and REDD+ and how the implementation of REDD+ may impact their lives. It has also resulted

in the training and building of capacity of community trainers and over 15 partner organizations and other key stakeholders, resulting in a pool of more than 500 trained resource persons in four project countries. These organizations and individuals are applying their gained capacity and skills in various different ways, such as mainstreaming climate change and REDD+ content into forestry extension worker curricula or being able to apply the gained knowledge in other (REDD+) projects.

Independent evaluations of training programs conducted in Nepal and Lao PDR have reported that more than 80% of the training participants have applied their new knowledge and skills after being involved in training or awareness raising activities.

In addition the project has led or contributed to six publications on REDD+ in Asia Pacific. These publications include a training manual for community level facilitators in English and in the national languages of the four project countries. The project has also developed a guide to climate change and forests for grassroots stakeholders translated into four regional languages. These materials have been used by multiple external organizations both in Asia-Pacific and worldwide to support their grassroots level awareness-raising and capacity building efforts.

Challenges

Managing grassroots stakeholder expectations when discussing carbon trading continues to remain a challenge in REDD+, and requires a careful balance of messaging to ensure participants are fully informed but realize the uncertainties in REDD+. Linked to this is another challenge about the "right" kind of message; How much "technical" and how much "social" knowledge should be brought to training participants?

With a greater focus on the social and environmental safeguards of REDD+ in the international discourse, there is an increasing awareness as well as demand from stakeholders to build their knowledge and skills on basic rights such as FPIC in REDD+ projects. This demand is likely to grow in the future.

In view of the complexity of REDD+, with all its technical terms, it is always a challenge to find appropriate terms and contexts to convey these concepts to grassroots stakeholders. It is therefore important that REDD+ knowledge sharing material and tools are contextualized to the local situation and cultural settings, so that participants are able to relate the context of REDD+ knowledge to their own experiences and surroundings. Developing a glossary of REDD+ and climate change terminologies in national languages is one of the initiatives this project has undertaken to address this issue.

Recommendations for REDD+ capacity building

Design of REDD+ capacity building activities

- If you are looking to expand the scale of your capacity building program quickly, consider the use of a 'training of trainer' structure in the project design, whereby a team of national training facilitators are trained in the capacity building methodology. This process can be even more effective if these facilitators are able to provide further training to other trainers, so that the number of trainers grows exponentially. This has implications for the design of training materials and formats, so that they target trainers and not the training participants directly.

- If broad REDD+ awareness is an objective of the capacity building, try to incorporate capacity building with local journalists, as they can be a very effective tool to spread key messages and information quickly.
- For community-level awareness raising activities, select an accessible and politically/religious/class neutral location. For example, a public school may be a good venue on a non-school day.
- For community-level awareness raising, planning for the provision of childcare services can greatly enhance female participation, both in terms of attendance in their ability to actively contribute to the process.

Implementation of REDD+ capacity building activities

- Conducting the national, sub-national, and local level activities in national and local languages is very important for the full understanding of the content. If there is an opportunity of conducting grassroots awareness raising in the language of ethnic minorities or other marginalized groups it will be highly appreciated by the participants.
- Feeding monitoring results back into awareness raising materials and activity planning is important to improve the quality and contextualization of the awareness raising program.

Partnerships and collaboration

- A critical factor in the success of the grassroots project has been the ability to partner with national organizations in each target country. These organizations often already have strong networks with target communities, and are able to navigate often complex government approval processes. This also improves the sustainability of the project, as it is within the mandate of these organizations to carry out capacity building activities regarding natural resource management issues, and they may be able to continue applying the project methodology using alternative funding resources after the project has ended.
- For community-level awareness raising activities, the hiring of one or more facilitators from the target community can enhance the level of interest from the participants and contextualize the messages to make them locally relevant.
- Experience from this project suggests that it is an advantage to work together with government organizations as it improves the prospects of sustainability of the project intervention. However, in order to bring in civil society perspectives, the concerns of grassroots stakeholders and innovative approaches to training programs, it is equally important to work together with CSO and NGO partner organizations as well.

Effective information sharing and raising awareness

- One of the key lessons from the project has been the absolute importance of making best efforts to relate information into the local context, and communicate according to local customs and formats. For example it was found that street theatre worked well in Nepal in engaging the audience and effectively raising awareness. A variety of tools, such as posters, role plays, games, puppet shows, songs, videos, radio, and street plays are highly efficient for use during the trainings and as a follow-up to increase the retention of knowledge.
- Sharing information and experiences nationally, regionally, and globally is a very important aspect of the project. On one hand material developed in one country can be adjusted and contextualized for

a different country, not having to start from scratch. And on the other hand, exchange of materials, tools and experience among different projects enables synergies and joint learning.

Full and effective participation

- When planning trainings and awareness raising activities it is recommended that a time and location/venue is chosen which enables marginal and vulnerable groups of society, such as women, ethnic minorities and children to participate as well. Perhaps a child care facility could be organized, allowing women with small children to join and enjoy uninterrupted sessions. Furthermore, organizing grassroots awareness raising activities during the wet or harvesting season is not ideal.
- Further, it is always important to consider local sociocultural settings, norms and values while setting targets with respect to the participation of women in training and capacity building programs.

Empowerment and sustainability

- Through the 'training of trainers' cascading approach and the combination of government and civil society organizations as implementing partners, the project builds in-country capacity to continue planning and delivering climate change and REDD+ training and capacity building events at grassroots level beyond the project lifetime. This is further supported by the establishment of networks between in-country project implementing partners.
- The project is promoting the integration of needs assessments, training material and methodologies within wider REDD+ readiness processes, including government-led national REDD+ planning, multilateral programs and bilateral or NGO led projects. This integration will help ensure that the grassroots capacity building approach is mainstreamed into government led REDD+ readiness processes and continues beyond the project lifetime.
- The project also aims to empower grassroots communities and build their capacity to effectively communicate their aspirations and concerns to policymakers and thus participate in rapidly evolving REDD+ processes.

Management of financial aspects

- The project works with in-country partner organizations, where terms and conditions are clearly explained in the contract document, including timelines for project deliverables, and technical and financial reporting by the partner organizations. Regional and country project teams make sure that partner organizations send their financial reports on time, and as per the suggested template, along with the originals of all bills and receipts. Annual audit statements are submitted to the donor.
- Participants in awareness raising activities are given a moderate financial stipend to cover food and accommodation, though this rate is not inflated, as to avoid participants attending for purely financial reasons.

CATIE'S CLIMATE CAPACITY BUILDING PROGRAM

Overview

The Tropical Agricultural Research and Higher Education Center (CATIE) is a leading international non-profit research and academic institution created in 1973 to improve the livelihoods of rural people in Latin America and the Caribbean through the integrated management of agriculture and natural resources. CATIE fulfills its mission "to contribute to rural poverty reduction in tropical America by promoting competitive and sustainable agriculture and natural resource management" through higher education, research and technical cooperation and the development of hands-on projects throughout Latin America. Strategic research lines at CATIE are governed by a Board of Directors and a Governing Council of Ministers representing 14 member countries. These lines of work combine activities integrating research, education, training, and outreach to develop and strengthen institutions through the implementation of projects that generate impacts through the support of scientific knowledge and field experience that are directly linked to the project beneficiaries.

The Climate Change and Watershed Management Program at CATIE has close to ten years of experience in climate change adaptation and mitigation. Key thematic areas engaging REDD+ include technical approaches for implementing community-based MRV, developing and strengthening community forestry initiatives, recovery of degraded lands and increasing ecological connectivity through the promotion of agroforestry systems, as well as designing and implementing low carbon agricultural techniques in cattle ranching, coffee plantations, and cacao cultivation, among other fields. Other working themes include strengthening participation processes of indigenous and local communities in REDD+ initiatives. CATIE also supports the development and implementation of national, regional, and international climate change policies. One example of this is that CATIE specialists have supported the Central American Commission for the Environment and Development (CCAD) for the development of the Mesoamerican Regional Climate Change and the Regional Agro-environmental and Health Strategy. CATIE studies climate change and its impacts in a broad and integrative manner engaging a diversity of actors and land use types, working from the local to the regional scales, through funding provided by a diverse financial support pool.

Strategic alliances are key to CATIE's effectiveness, enabling broad dissemination of scientific knowledge and on-the-ground experience to meet the pressing needs of member countries in agriculture and natural resource management. Partners include numerous public and private institutions: universities, research and development centers, conservation organizations, nonprofits, government entities, cooperatives, small and medium enterprises and corporations.

Geographic scope

CATIE prioritizes its efforts in working and supporting countries that are members to CATIE (particularly in Mexico, Belize, Guatemala, Honduras, El Salvador, Belize, Nicaragua, Costa Rica, Panama, Colombia, and Brazil).

Types of services provided

- Contribution to public policy at local, national, regional scales
- Training leaders capable of solving problems in a complex and changing world
- Poverty reduction in rural areas

- Generation and dissemination of scientific and local knowledge
- Local attention to global issues, such as food security, climate change, biodiversity, and sustainable land management

General typology of target audiences

CATIE works closely in cooperation with local, national, regional and international organizations and institutions in the public, private, non-governmental, and academic sectors.

CASE STUDY ON REDD+ CAPACITY BUILDING

Background of the REDD+ training program

The emergence of REDD+ has generated great interest as a possible means of increasing support for countries in the Latin American region. REDD+ initiatives may bring associated benefits such as the opportunity to strengthen institutional structures, provide policy foundations and improve benefit-sharing mechanisms that could improve the livelihoods of local and indigenous peoples. At the same time, REDD+ has sparked concern about possible adverse impacts, particularly on indigenous and community rights and livelihoods, including restrictions on land and resource rights, increased centralization of forest management, inequitable benefit-sharing and the lack of participation and FPIC.

CATIE recognizes the importance of capacity-building as a key foundation for understanding and securing the opportunities that REDD+ may provide and address its risks, contributing to more equitable and sustainable REDD+ initiatives. The CATIE REDD+ capacity building program seeks to:

- Promote the understanding of climate change, its impacts, mitigation and adaptation, including REDD+, and the potential benefits and risks of REDD+ initiatives
- Build capacity in REDD+ to strengthen regional, national and local institutions leading REDD+ initiatives and processes
- Engage and promote the participation of relevant stakeholders fully and effectively in development of REDD+ programs/strategies at multiple levels (local, sub-national, national, regional and international level)
- Provide the technical support to key stakeholders to develop and manage activities that will contribute to the reduction of emissions from deforestation and degradation
- Build capacities to monitor results of REDD+ activities, as part of MRV systems of REDD+
- Seek to encourage South-South exchange of information on REDD+

Part of CATIE's interest is to link and strengthen relevant stakeholders' capacities to initiatives taking place in the region. One of these initiatives is the Regional REDD+ Program under the direction of the CCAD, an environmental branch of SICA, being currently implemented Belize, Guatemala, Honduras, El Salvador, Nicaragua, Costa Rica, Panamá and Dominican Republic. This program seeks to promote the dialogue between different sectors, the development of national REDD+ strategies and the implementation of compensation instruments that can be adapted to the specific reality of each country while integrating the needs of local and indigenous peoples and local communities under a gender-based approach.

Thematic areas of capacity building

CATIE is currently working in the following thematic training areas:

1. **Forest governance and REDD+**

   REDD+ is a potentially significant financial mechanism for shifting the incentives from deforestation and land use change to forest conservation and sustainability. Even though REDD+ is not primarily a governance reform, it will affect or be affected by forest governance. It can improve forest governance or be undermined by its failures and, therefore, it depends on good forest governance if it is to be efficient, effective and equitable. REDD+ could potentially provide an interesting opportunity also to analyze and explore opportunities to improve forest governance in different countries.

   For the last two years, CATIE has been implementing four regional "training for trainers" courses in Forest Governance and REDD+ with funding support from GIZ. Participants from over 15 countries across the Latin America region and the Caribbean have received this training, providing the opportunity to consolidate a network of more than 200 professionals from different sectors including government, NGOs and academic institutions and indigenous organizations. These strategic training efforts also offer the opportunity to reinforce the capacities of professionals who play an important role in promoting dialogue and effective coordination with key stakeholders to design and implement actions to strengthen REDD+ initiatives in their own countries. In this respect, a strategic criterion to select participants is their ability to replicate events in their own countries using the tools offered during the course.

2. **Promoting indigenous participation in REDD+ initiatives**

   In the face of global climate change and its emerging challenges, it is essential that decision-makers base policies and actions on the best available knowledge including scientific and traditional knowledge that will provide a crucial foundation for the mitigation actions and community-based adaptation strategies that will influence local livelihoods, security and well-being.

   Indigenous peoples and local communities are key actors in the movement to make REDD+ effective, efficient and fair, especially in Latin America, where their distribution of these communities coincides with many important forest landscapes. International and national agreements and policies acknowledge the importance of respecting the rights of these people on their land and culture. However, the effective participation of indigenous peoples in debates and decisions related to climate change and land use depends especially on their capacities to understand the basic technical and socioeconomic issues associated with REDD+ as well as its significance in relation to their territories and culture.

   The Climate Change and Watersheds Program at CATIE identified the need to design an innovative process to empower indigenous peoples and local communities by promoting their ownership of the training process and the content of the modules.

   A training for trainers' course targeted at indigenous peoples and local communities was designed to provide, exchange and disseminate information and consolidate discussion platforms on climate change and REDD+ ensuring that they would be legitimate and empowered trainers and disseminators of information on REDD+ to local communities. By this means, CATIE aimed to empower indigenous peoples at the community levels that are called to participate effectively in the REDD+ consultation processes.

CATIE, in collaboration with the Bribri-Cabecar Indigenous Network (RIBCA) and with the financial support of Climate Works Foundation, implemented a pilot initiative to develop a training of trainers program for the Talamanca region in Costa Rica. The training program integrated technical and scientific elements with cultural and cosmogony elements contextualized to the Talamanca indigenous region. The participatory training program was designed to form cultural mediators to strengthen capacities of local indigenous leaders who in turn would be able to manage, integrate and link local and scientific knowledge with the indigenous cosmogony perspective on climate change and forest ecosystems. The identification of legitimate cultural mediators has also been especially important given the role they are meant to play in the dissemination of capacities and information to local communities and possibly in the actual consultation process. In this respect, cultural mediators were identified and formally nominated by RIBCA.

This approach allowed promotion of: ownership of training process and contents, better understanding of climate change REDD+ issues, the integration of local knowledge, and the discussion of these issues among local communities. A total of 20 indigenous participants received the training. Participatory approaches were used to define and obtain information on key themes. Indigenous leaders from the RIBCA shared this initial local experience with the National Financing Forestry Fund (FONAFIFO), a government entity responsible for the implementation of the National REDD+ Strategy in Costa Rica. Based on this experience, the government wants to implement a national training program in indigenous territories and the RIBCA has contacted CATIE to accompany them in this process.

3. MRV and REDD+

Monitoring systems that allow for credible MRV of REDD+ activities are among the most critical elements for the successful implementation of any REDD+ initiative. CATIE is currently supporting countries to develop cost-effective, robust and compatible national monitoring and MRV systems, providing tools, methodologies, training and knowledge sharing that help countries to strengthen their technical and institutional capacity for effective MRV systems that are integrated to the Regional Central American REDD+ Program.

For the last year, CATIE has been implementing a regional certified course on Monitoring of Forest Resources funded by the German GIZ. This is a one-year course that is divided into four modules with a mix of virtual and live presentations. A total of 24 participants have been participating in the course. They represent the technical GIZ offices and government/academic institutions responsible for the implementation of the national MRV system from Belize, Guatemala, Honduras, El Salvador, Nicaragua, Costa Rica and Panamá. The course combines lectures and specific assignments linked to the establishment of MRV systems as well as virtual forums to provide follow-up support to the participants. The advantage of this course is that it provides the bases for a standardized process to implement MRV systems in countries of the Central American region.

Scale of REDD+ capacity building

- Local, national and regional level

Typology of target audiences trained

- Indigenous peoples and local communities
- NGOs
- Academic sector

- Decision makers in public (government institutions) sector
- Field technicians

Capacity building and raising awareness methodology

- The methodology will vary according to the main target audience. Identify key organizations and leaders that might be interested in developing training events. In the case of indigenous peoples and local communities, it is particularly important to establish an open, participatory and inclusive process that follows the principles of FPIC to generate a stronger sense of ownership, participation and interest to move processes onward on their own (i.e. once the training initiative has ended). Start by identifying and engaging traditional authorities and leaders respecting local and traditional governance structures. Legitimacy of the trainers might be especially important in effective ownership by indigenous peoples and local communities.
- Define the modality (course, seminar, workshop) and tools according to the target audience: indigenous/local communities, technical experts, policy/national decision makers. Seek strategic alliances with partners to share funds/tools and/or develop materials/tools jointly.
- Define jointly the content of the training event with partners that will be involved throughout the planning and implementation process. Identify a team of instructors and facilitators. Integrating external and internal facilitators helps to engage local stakeholders in the training process.
- Define a work plan and establish clarity on specific roles and responsibilities.
- Maintain close communication with the coordinating team responsible for the implementation of the training event and regularly inform organizations/traditional authorities about the planning/implementation progress.
- Evaluate the training event and establish a following-up process after the training event ends. In some cases, it might be useful to establish a virtual network for information sharing and experiences.

Challenges

- High turn-over rate within government institutions: staff change often and new staff require capacity building. Institutions need to develop a strategy to ensure that once a person has been trained, that this person trains someone else to ensure that the skills remain within the institution.
- Often people have the skills but they lack the motivation or the resources to implement activities.
- Very difficult to document impact if there is not an adequate follow-up process with the participants after the training activities. This often requires time and additional resources.

IUCN'S CLIMATE CAPACITY BUILDING PROGRAM

Overview

IUCN is the world's oldest and largest global environmental organization. The organization's mission is to influence, encourage and assist societies throughout the world to conserve the integrity and diversity of nature and to ensure that any use of natural resources is equitable and ecologically sustainable.

IUCN has offices in more than 45 countries and runs hundreds of projects around the world. IUCN has member organizations in more than 160 countries and a network of 10,000 voluntary scientists and experts throughout the world. IUCN has been working in Africa for several decades and officially opened its offices in the continent in the 1980s, pioneering a number of conservation initiatives. The IUCN East and Southern Africa Regional Office (ESARO) works across 22 countries in the Horn of Africa, East Africa, Southern Africa and the Western Indian Ocean, while the West and Central Africa Program works in 26 countries, 17 in West Africa and 9 in Central Africa.

REDD+ thematic areas of work

Areas of IUCN expertise in REDD+ include:

- Advocating for forest governance reform processes that helps to clarify, and secure rights of forest dependent communities, facilitate the equitable sharing of benefits and promote sustainable forest management
- Enhancing multi stakeholder processes to ensure that REDD+ works for forest communities
- Processes for mainstreaming gender into REDD+
- Mapping of forest landscape restoration potentials as a way of enhancing national carbon stocks
- The Pro-Poor Approach–Understanding forest dependency for REDD+ i.e. linking forests, livelihoods and REDD+
- Indigenous peoples, forest communities and REDD+

Geographical areas of REDD+ engagement

REDD+ has been a major focus of IUCN's Forest and Climate Change Programme at all levels (Headquarters, regional, and national) and is also planned as a major focus for the 2013-2016 intersectional program. There are currently a number of REDD+ related projects undertaken in the African region—more specifically in the West and Central African Programme. Some of the projects are:

- DANIDA supported Pro-Poor REDD project being implemented in Cameroon, Ghana and Uganda
- BMU supported mapping of forest landscape restoration potential in Ghana
- The CBFF supported REDD+ project in Cameroon
- The CARPE supported REDD+ project in Central Africa
- The Responsive Forest Governance Initiative

Type of services provided

Some of the services provided include a) building the capacity of forest communities on good forest governance, b) communication and awareness raising, c) multi stakeholder dialogues and participatory approach, d) mainstreaming gender into REDD+, e) research in decentralization, f) training and development of tools, etc.

General Typology of Target Audiences

Forest dependent communities and indigenous peoples (including vulnerable groups e.g. women, youth, etc); national decision makers both within and beyond the forest sector; broader civil society that actively advocates for forest, land-use and rural poverty issues; and the private sector.

CASE STUDY ON REDD+ CAPACITY BUILDING

Background of the REDD+ training program

While the REDD+ process provides the opportunity to clarify challenges with tenure rights and access to forest resources, challenges remain with gender disparities in access to productive resources, especially land. This means that resource constrained groups, such as the landless poor, women and migrants, may not benefit under REDD+ because they have limited or no land rights. Due to these governance issues, it becomes urgent to: bring on board local women, empower them and build their capacities; ensure that women are involved in all REDD+ related activities; and contribute to the formulation of gender sensitive REDD+ national strategies and pilot projects.

Unfortunately, global deliberations about the development of REDD+ have not fully considered the gender dimension, and only a few pilot projects have taken actions to begin to incorporate gender perspectives. In Ghana, as well as other countries, gender equality and women's rights issues have been largely marginalized from the REDD+ R-PP. There was, therefore, the need for specific gender provisions in REDD+ mechanisms; however, this will not be achieved if current REDD+ projects are not engaged in incorporating a gender perspective and generating necessary data to highlight good practices and produce guidelines for other projects. Governments and other REDD+ implementing agencies need support in doing this.

Against this background, the IUCN in collaboration with the Women's Environment and Development Organization (WEDO), and Participatory Development Associates (PDA) jointly facilitated a training workshop for multiple stakeholders including women's organizations, gender experts and policy level people working in forestry and environment on "Mainstreaming Gender Considerations into the REDD+ process in Ghana". The outcome of the participatory stakeholder training workshop formed the basis for the development of a "Road Map" to support mainstreaming gender into the REDD+ processes in Ghana.

Thematic areas of capacity building

The capacity building covered the following broad areas - policy and legal frameworks, governance and institutional arrangements, addressing multiple benefits and benefit sharing, drivers of deforestation and safeguards and gender differences/considerations in the use, management and control of resources.

Scale of REDD+ capacity building

The trainings were designed as participatory forums characterized by presentations, videos and group work, demonstration activities, and plenary discussions. The training brought together multiple stakeholders including women's organizations, gender experts and policy level people working in forestry and environment, with the following objectives:

- Understand the ecological function of forests in relation to the carbon cycle
- Comprehend the state of the forests in the world and in Ghana and acknowledge women's role in the

forest sector in Ghana
- Understand climate change and its differentiated impacts on women and men
- Comprehend REDD+ and its relation with climate change
- Comprehend gender and identify gender considerations in REDD+
- Understand the REDD+ process in Ghana and identify women's role/involvement in relation to REDD+ in Ghana

Typology of target audiences trained

The target audience included representatives from women's and gender-based environmental and natural resource-related organizations across the various ecological zones of the country, as well as gender experts, traditional authorities (Queen Mothers) and community representatives, and policy level representatives from government, civil society and development partners.

Capacity building and raising awareness methodology

The capacity building was carried out in the form of an intensive stakeholder engagement workshop.

The first three days were devoted to the stepwise training of participants to enhance their understanding of climate science and climate change, its differentiated impacts on women and men, the ecological function of forests in relation to the carbon cycle, What REDD+ is and the gender considerations needed for a successful regime, amongst others. This training was targeted at grassroots participants or local level institutions involved in gender related issues, forestry and environment.

This training was then followed by a two day workshop for policy level stakeholders which included the participation of representatives from government, civil society, and the media. This provided a platform for interaction and cross-fertilization of knowledge and issues between the grass-roots level participants and policy level stakeholders. They were sensitized on the importance of acknowledging gender considerations in REDD+ owing to the fact that men and women relate differently to forest resources and brainstormed on the way forward for ensuring gender mainstreaming in Ghana's REDD+ process. The outcome of discussions from the training served as a baseline for discussions by the policy makers, which lead to the development of a Road map for mainstreaming gender into the REDD+ process in Ghana.

Results and impact

Participatory group work and demonstrations were essential elements of the training process. A summary of results from the training shows that gender differentiation was applied regarding access to and control of forest resources. The training highlighted the difference between men and women and that men are likely to go to deep areas of the forest, reserve areas and sacred groves, while women go to the edge of the forest, the productive areas for wild fruits and deep areas for herbal medicines.

Men and women play different roles in planting, protecting or caring for seedlings and small trees, as well as participate in plantations on public lands. Men are more likely to be involved in extracting timber for commercial purposes, engage in illegal mining activities, hunting, sand mining and palm wine tapping. Women typically gather forest products for firewood and charcoal, fencing, food for the family, fodder for livestock, and for the raw materials to produce natural medicines, all of which help to increase family income.

CONSERVATION INTERNATIONAL'S CLIMATE CAPACITY BUILDING PROGRAM

Overview

Conservation International is a non-profit organization founded in 1987 with program offices and partners in over 30 countries. CI's mission is "Building upon a strong foundation of science, partnership and field demonstration, CI empowers societies to responsibly and sustainably care for nature, our global biodiversity, for the well-being of humanity."

CI's efforts to build capacity in climate change and forest carbon began in October 2007 with a focus on CI country program staff. The first intensive, five-day Forest Carbon Project Development training was held in Quito, Ecuador for CI global field staff working on reforestation and REDD projects. Also in 2007, CI's Indigenous and Traditional Peoples Program (ITPP)—now part of the Social Policy and Practice Department (SPP)—conducted the first pan-African dialogue and training on climate change and REDD+ for indigenous peoples' organizations. As a result of these initial activities, a joint program was developed to deliver information on forest-based climate change mitigation, adaptation, and policy to indigenous peoples and community groups in the regions where CI works.

In 2009, CI's Climate Change Initiatives (CCI) program significantly increased the number of site-level and national-level forest carbon training events. CI's training efforts also spurred the formation of a partnership between international conservation NGOs to deliver a series of trainings in geographies of mutual interest to stimulate policy development and field action for REDD. In addition to CI, partners included TNC, WWF, CCBA, and Rainforest Alliance.

The trainings with indigenous peoples and community groups also resulted in new or expanded partnerships with indigenous peoples and local community organizations, including the Indigenous Peoples of Africa Coordinating Committee (IPACC), the Union of Associations for Gorilla Conservation and Community Development in Eastern DRC (UGADEC), Consejo Indígena Centroamericano (CICA) and Consejo Indigena Mesoamericano (CIMA). The collaboration between ITPP and CCI created the opportunity for a number of indigenous and community leaders to participate in both the overview trainings and the forest carbon technical trainings.

In 2009, the training agenda expanded to include a new training concept, as both ITPP and CCI strived to respond to the acute need and demand from participants for increased training at the community level. In order to enable the effective and informed participation of forest-dependent communities and indigenous peoples in programs and projects related to natural resource access and climate change, ITPP led the development of a Training of Trainers (ToT) course entitled *Climate Change and the Role of Forests*. This ToT course aims to increase the number of skilled trainers able to inform a community-level audience on topics related to REDD+ and forest carbon, and could be integrated into larger outreach strategies related to REDD+ Readiness and community decision-making on forest use.

As a result, CI has developed and delivered climate and forest-carbon related trainings and dialogue workshops in 14 countries for over 1,000 participants. Currently, the CI training program delivers four main types of events, including a training course on forest carbon project development, a national-level REDD+ Readiness Workshop, an introductory-level training for indigenous people and local community leaders, and the ToT course.

These capacity building activities have provided communities, partners and national governments key information and tools for effective participation in climate change planning and action at various levels, while providing opportunities to build networks among people and organizations working to advance REDD+ initiatives.

CASE STUDY ON REDD+ CAPACITY BUILDING FOR LOCAL STAKEHOLDERS

Recognizing that while local leaders and organizations are better placed to deliver information and training to local communities, they also require tools that are appropriate for community audiences and skills in training design and delivery, CI developed a training course and toolkit in 2009, to expand the knowledge of indigenous peoples and local communities on issues related to climate change. The goal of the course and toolkit is to build skilled teams of local trainers and expand the local capacities to effectively deliver trainings to communities and other local stakeholders through methodologies appropriate for community audiences on topics related to climate change and REDD+.

The *Climate Change and the Role of Forests* ToT course materials consist of three manuals: a community manual with technical content, a trainer's guide to teaching the course material, and a manual on training design and facilitation skills. The toolkit that accompanies the course includes posters illustrating the main concepts, vocabulary cards and suggested activities.

The "Community Manual" includes information for the five technical sessions and is intended for distribution to participants at community trainings or for other stakeholders in need of basic information on these topics. Technical sessions explain the basics of climate change, the carbon cycle and the role of forests, international climate policy, ecosystems services and payment for ecosystem services (PES) schemes, and REDD+.

The "Training Guide" has all the training instructions, tips and activities provided for each technical session to guide the new trainer in delivering the technical material to local audiences.

The "Training Design and Facilitation Skills Manual" has three sessions with guidance on training design, facilitation and implementation. This section can be delivered as a short training on its own, or can accompany other ToT courses.

The ToT materials have been translated from the original English into seven languages (Spanish, French, Mandarin, Indonesian, Khmer, Malagasy, and Portuguese). The toolkit and methodology has supported CI's REDD+ Readiness processes for effective stakeholder engagement, particularly with indigenous peoples and other forest-dependent communities in more than 12 countries. It is available on CI's website as an open source material to all government, non-profit or community groups interested in using the toolkit and materials. It is currently in use by country and regional governments, IPOs, local NGOs, and CI's country programs and partners.

Challenges

Building REDD+ training skills at the national and local level

The basic concepts of climate change and REDD+ are relatively new and not widely understood, especially by local stakeholder groups. Yet, stakeholders at all levels are being asked to make policies, decisions and plans for REDD+ Readiness that can have far reaching impacts and that require informed participation and decision-making. Local knowledge and priorities about forest

forest use rights and development planning must also be understood by decision-makers, project implementers and local stakeholders, making shared learning and information exchange an important component of any REDD+ capacity building program. The lack of skilled trainers who also have the required knowledge about climate change concepts and REDD+ is a serious challenge to building an informed and skilled set of stakeholder groups in any country. The ToT approach aims to address this problem, recognizing that local trainers are much better able to deliver information set within the local context and conforming to local needs than trainers coming from outside the country.

Financial resources

Obtaining sufficient financial resources to develop a comprehensive capacity building program for all levels of stakeholders remains a significant challenge. Project funding increasingly includes capacity building, especially for indigenous peoples and local communities, among its objectives. But it can be difficult to include adequate funding to cover the cost of a long-term REDD+ capacity building strategy that recognizes the need for continual training delivery and covers the cost of workshops, materials and ongoing grants for stakeholder trainings. Lack of financial resources is especially challenging for local stakeholder groups in areas where transportation is costly and the areas under discussion for a REDD+ activity may be large and include multiple communities and other local stakeholder groups.

Results

Training of Trainers Program Impact Assessment

Because capacity building is a key element for full and effective stakeholder engagement, it is essential to understand if the training materials and courses are producing the learning required to support stakeholder engagement and informed decision-making about REDD+. SPP is currently testing a tool to evaluate the impacts of the training courses and the effectiveness of the training materials and ToT approach. The capacity impact assessment tool is intended to support local trainers to define indicators to monitor the impact of ToT capacity building activities conducted by their project or program and develop an accountability framework to assess the impact of REDD+ capacity building using the ToT materials and approach. SPP plans to build a database with sufficient data from training delivery in multiple countries to provide robust information on the impacts of ToT training courses. This will inform further capacity building efforts in countries as well the evaluation and adaptation of the ToT materials for product development.

Stakeholder Engagement Analysis

The Stakeholder Engagement Analysis (SEA) methodology is designed to analyze a country's current situation of REDD+ stakeholder engagement at different scales. The process is based on a participatory analysis and reflective dialogue approach continually validated by a multi-stakeholder steering committee that represents key stakeholder groups. The information gathered during the analysis is the result of a shared learning dialogue where constructive feedback describes the existing stakeholder engagement progress, identifies gaps and recommends priorities for joint action and key criteria to build a sustainable and reliable participatory process. The final result of the application of this methodology will provide the initial inputs to move toward building an action plan for stakeholder engagement and then to define the process for measuring and monitoring the ongoing effectiveness of a Stakeholder Engagement Action Plan.

General Recommendations for REDD+ Capacity Building

Design of REDD+ capacity building activities

- Identify the target audience for the training activity, course and/or materials and the overall goals and learning objectives the training will address for the audience.
- The training course and materials should be developed in a format that is appropriate for the educational level, skills and experience of the target audience. Understand the needs and priorities of the target audience.
- The training course should address the needs of the target audience, not only the needs of the project developer.

Implementation of REDD+ capacity building activities

- REDD+ requires a comprehensive and continuous capacity building program that addresses the training needs of all stakeholder groups. The program should provide for increasing the knowledge and skills of stakeholder groups to prepare them to meet the demands of both planning and decision-making and ongoing management of the project roles and responsibilities.
- A basic overview course and information sharing activities should be repeated periodically, as people's responsibilities can change or new actors become involved in REDD+ projects and processes.
- Investing in a ToT approach, especially at the local level, can create skilled trainers available to implement a continuous training program.

Partnerships and Collaboration

- When training courses and materials are developed for general use for a specific stakeholder group across different countries or regions, partnerships should be formed within country organizations that have a mandate or role to design and deliver REDD+ capacity building to the target audience.
- Training is more effective when delivered by skilled local trainers who understand the local context and are familiar with the stakeholder group's needs and customs.
- Collaborating with indigenous peoples' organizations, local NGOs, forest management agencies and others can increase the effectiveness of the REDD+ capacity building activities.

Effective information sharing and awareness raising

- Understanding some basic questions about information and awareness needs will contribute to effective program design:
  - What information is needed?
  - Who needs it?
  - Why does the group need the information?
  - When is it needed?
  - What is the most appropriate delivery method for the group?
- Raising awareness, sharing information, building knowledge, and developing the skills required to use the information and knowledge to take action are all different steps in a capacity building process that require different types of capacity building activities.

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Full and effective participation

- Capacity building programs provide the foundation of effective participation and informed consent.
- Understanding the role of the stakeholder group in REDD+ planning and implementation and how decisions, programs and projects may impact their interests will help guide the content of the capacity building program.
- Vulnerable groups or populations without legal status may not have access to capacity building activities. Efforts should be made to provide information sharing and training opportunities for these groups as well. Any stakeholder group that is impacted by decisions or projects related to REDD+ or that can impact the results of the decisions or project needs to be informed and understand the issues.
- Groups within a community may need more flexible approaches to training. For example, women may not be free to attend training sessions until late in the day—after daily tasks are completed.
- Different types of information, knowledge and skills are required by all stakeholder groups. Training courses should address the needs of the target audience in the context of their own needs and priorities, but capacity building activities should also highlight the roles of all stakeholder groups and create opportunities for shared learning and exchange of experience and dialogue among different stakeholder groups whenever possible.

Empowerment and sustainability

- Building stakeholder capacity for planning, decision-making and implementing of REDD+ will create a foundation for the long-term sustainability of the REDD+ program.
- An informed and skilled stakeholder group will be able to participate effectively in REDD+ processes, strengthening their ownership of the process and the value of their role.
- Understanding the risks and opportunities a REDD+ project can create, and how and why a REDD+ process or project will impact a stakeholder group, is an underlying and essential element to giving or withholding informed consent to a project that may impact the rights, lands and livelihoods of stakeholders at all levels.

Management of financial aspects

- Effective capacity building for REDD+ is a long-term commitment. Financial resources should be planned for a long-term and comprehensive capacity building program to meet the needs of all stakeholder groups.
- Implementing a ToT approach requires resources to train the trainers in new skills and subject areas. The needs of stakeholders will move beyond basic information as REDD+ is implemented so trainers will need periodic training in new topics.
- Trainers need funds and materials to deliver trainings. Funds will be needed to cover the range of training activities and trainers required—from consultant contract for delivering training to policy makers to small grants to local NGOs or indigenous peoples organizations to delivery community trainings.
- REDD+ program and project budgets should include costs of designing and implementing a capacity building program, including materials development, training activities, printing and all other related costs.

GLOSSARY

Activity data: "Data on the magnitude of a human activity resulting in emissions or removals taking place during a given period of time. Data on areas (location and extension) of land converted from primary forest to agricultural lands or other kind of land uses are examples of activity data" (Hewson et al., 2013).

Adaptation: "In human systems, the process of adjustment to actual or expected climate and its effects, in order to moderate harm or exploit beneficial opportunities. In natural systems, the process of adjustment to actual climate and its effects; human intervention may facilitate adjustment to expected climate" (IPCC-SREX, 2012).

Additionality: Under the Kyoto protocol, it is the reduction in emissions by sources or enhancement of removals by sinks that is additional to what would occur in the absence of a project. When the concept is applied in the REDD+ context it is also necessary to justify additionality at jurisdictional and national scales.

Adjusted reference levels/reference emissions levels: "A reference level adjusted from projections of historical data when warranted by national circumstances that affect the country's forest emissions and removals." The concept of compensation baselines can be an example (Meridian Institute, 2011a).

AFOLU: According to the IPCC is "a greenhouse gas inventory sector that covers emissions and removals of greenhouse gases resulting from activities relating to agriculture, forestry, and other land uses." Following the 2006 IPCC Guidelines for national greenhouse gas inventories, AFOLU consolidates the previous sectors LULUCF (land use, land use change and forestry) and agriculture.

Anthropogenic greenhouse emissions: Greenhouse gas emissions resulting from human activities.

Bali Action Plan: A comprehensive process that was included in the Bali Road Map to enable the implementation of the UNFCCC. This was agreed to at the UNFCCC Conference of the Parties in Bali, Indonesia in 2007 (COP13) and introduced the Ad-hoc Working Group on Long-term Cooperative Action (AWG-LCA) (UNFCCC Glossary)

Benefit sharing: The distribution of direct and indirect gains from the implementation of REDD+ (Luttrell et al., 2012). The potential benefits associated with REDD+ activities are not just financial or monetary, other benefits could include positive social and environmental impacts such as ecosystem services protection and provision, the improvement of forest governance, and others.

National and sub-national REDD+ strategies should include the development of benefit sharing schemes that ensure that benefits will reach all stakeholder equitably.

Carbon credit: A tradable greenhouse gas emissions reduction expressed in tons of carbon dioxide equivalent (tCO_2e).

Carbon Cycle: "This term is used to describe the flow of carbon (in various forms, e.g. as carbon dioxide) through the atmosphere, ocean, terrestrial biosphere and lithosphere" (IPCC-AR4 2007).

Carbon market: A popular (but misleading) term for a trading system through which countries may buy or sell units of greenhouse-gas emissions in an effort to meet their national limits on emissions, either under the Kyoto Protocol or under other agreements, such as that among member states of the European Union. The term comes from the fact that carbon dioxide is the

predominant greenhouse gas, and other gases are measured in units called "carbon-dioxide equivalents" (UNFCCC Glossary).

Carbon rights: "Carbon rights refer to the claims on the benefit streams from carbon pools, for example, the benefit from a specific parcel of forest. Where a market exists for GHG emissions reductions carbon rights may have a financial value. Carbon rights may also define the management responsibilities associated with a specific area of forest. Issues concerning carbon rights include how the rights are defined, how they work in places where land ownership is unclear, and whether legal institutions are strong enough to protect the rights" (CIFOR, 2008).

Certified emission reductions (CER): A Kyoto Protocol unit equal to 1 metric tonne of CO_2 equivalent. CERs are issued for emission reductions from Clean Development Mechanism (CDM) project activities. Two special types of CERs called temporary certified emission reduction (tCERs) and long-term certified emission reductions (lCERs) are issued for emission removals from afforestation and reforestation CDM projects (UNFCCC Glossary).

Climate Change: "Refers to a change of climate which is attributed directly or indirectly to human activity that alters the composition of the global atmosphere and which is in addition to natural climate variability observed over comparable time periods" (UNFCCC, 1992).

Climate Variability: "Climate variability refers to variations in the mean state and other statistics (such as standard deviations, the occurrence of extremes, etc.) of the climate on all spatial and temporal scales beyond that of individual weather events. Variability may be due to natural internal processes within the climate system (internal variability), or to variations in natural or anthropogenic external forcing (external variability)" (IPCC-AR4 2007).

Co-benefits: "The benefits arising from REDD schemes (other than reducing GHG emissions), such as alleviating poverty, protecting the environment, enhancing biodiversity, improving forest governance and protecting human rights" (CIFOR, 2008).

Conference of the Parties (COP): The COP is the supreme decision-making body of the Convention. All States that are Parties to the Convention are represented at the COP, at which they review the implementation of the Convention and any other legal instruments that the COP adopts and take decisions necessary to promote the effective implementation of the Convention, including institutional and administrative arrangements.

Consultation: Consultation is the establishment of a dialogue process that will allow all stakeholders to communicate in an atmosphere of mutual respect and good faith. Together with participation, consultation forms an essential component of a consent process. Like all components of a free, prior and informed (FPIC) process, consultation must respect the decision-making processes of indigenous and forest dependent communities.

Customary rights: "To lands and resources refers to patterns of long-standing community land and resource usage in accordance with indigenous peoples' and local communities' customary laws, values, customs, and traditions, including seasonal or cyclical use, rather than formal legal title to land and resources issued by the State" (World Bank, OP 4.10 Indigenous Peoples).

Deforestation: "Is the direct human-induced conversion of forested land to non forested land" (UNFCCC Marrakesh Accords 2001).

Demonstration activities: Activities aimed to show how REDD+ can reduce or remove CO_2 emissions. These activities also test the social and environmental performance of REDD+.

Emissions factor: "A coefficient that quantifies the emissions or removals of a gas per unit activity. Emission factors are often based on a sample of measurement data, averaged to develop a representative rate of emission for a given activity level under a given set of operating conditions. The change in tons of carbon (carbon/ha) in an area of land is an example of emission factor" (Hewson et al., 2013).

Forest Carbon Partnership Facility (FCPF): "A global partnership of governments, businesses, civil society and indigenous peoples focused on reducing emissions from deforestation and forest degradation, forest carbon stock conservation, the sustainable management of forests, and the enhancement of forest carbon stocks in developing countries (activities commonly referred to as REDD+)." The FCPF has two separate but complementary funding mechanisms—the Readiness Fund and the Carbon Fund. The World Bank acts as trustee for the Readiness Fund and the Carbon Fund and delivery partner for the FCPF, providing technical support to the REDD Country Participants and conducting due diligence on matters such as fiduciary policies and environmental and social safeguards.

FCPF Readiness Fund: Is one of the two trust funds established under the FCPF. "The Readiness Fund supports participating countries as they prepare for REDD+ by developing the necessary policies and systems, including adopting national REDD+ strategies; developing RELs; designing MRV systems; and setting up REDD+ national management arrangements, including proper environmental and social safeguards" (FCPF, 2013).

R-PIN: Acronym for "Readiness Preparation Proposal Idea Note". "Initial proposal submitted to FCPF by an eligible REDD+ country outlining the basic elements of that country's proposal for REDD+" (FCPF, 2013).

R-PP: Acronym for "Readiness Preparation Proposal". A proposal submitted to FCPF by a participating country based on the R-PIN. It describes the approaches that the country will take to prepare itself for REDD+ implementation (FCPF, 2013).

R-Package: Acronym for "Readiness Package". It is the milestone of transition from Readiness to Implementation phase. It includes a REDD+ Strategy, REDD+ Implementation Framework, Reference Level, Forest Monitoring System, Safeguard Implementation plans (FCPF, 2013).

FCPF Carbon Fund: The FCPF Carbon Fund is one of the two trust funds established under the FCPF. The Carbon Fund "is designed to pilot performance-based payments for emission reductions from REDD+ programs in FCPF countries" (FCPF, 2013).

Forest: Under the Kyoto Protocol, forest is defined as "a minimum area of land of 0.05-1.0 hectares with tree crown cover (or equivalent stocking level) of more than 10-30 per cent with trees with the potential to reach a minimum height of 2-5 meters at maturity in situ. A forest may consist either of closed forest formations where trees of various stories and undergrowth cover a high proportion of the ground or open forest. Young natural stands and all plantations which have yet to reach a crown density of 10-30 per cent or tree height of 2-5 meters are included under forest, as are areas normally forming part of the forest area which are temporarily unstocked as a result of human intervention such as harvesting or natural causes but which are expected to revert to forest" (UNFCCC Marrakesh Accords 2001). Under the UNFCCC REDD+ mechanism a common definition of forest has not been established.

Forest degradation: "Is the reduction of the capacity of a forest to produce goods and services. The term 'capacity' refers to the time scale and the reference state of any given forest. Although this

core definition is not considered to serve as a substitute for existing definitions, it is offered to clarify the common ground between them" (FAO, 2009).

Free, Prior and Informed Consent (FPIC): There is no universally accepted definition of Free, Prior and Informed Consent and guidance on its application is still evolving.

The following descriptions are based on the elements of a common understanding of free, prior and informed consent endorsed by the United Nations Permanent Forum on Indigenous Issues (UNPFII) at its Fourth Session in 2005.

"FPIC means the seeking of a consensual agreement (1) without coercion or manipulation, (2) sought sufficiently in advance of any authorization of activities, (3) based on full and understandable information on the proposed project and likely impacts, and (4) which respects both the community's internal collective decision-making processes and leadership or representative structure" (UNPFII, 2005).

Other perspectives on Free, Prior and Informed Consent include:

"While there is no universal definition of FPIC, there is an emerging consensus of common understanding associated with the application of FPIC and the rights that form its foundation. To this effect, FPIC could be viewed as a particular expression of the right to self-determination; related rights to lands, territories, and natural resources; the right to culture; and the right to be free from racial discrimination" (CIEL, 2010).

"Free, Prior and Informed Consent is the collective right of indigenous peoples to participate in decision-making and to give or withhold their consent to activities affecting their lands, territories and resources or rights in general. Consent must be freely given, obtained prior to implementation of activities and be founded upon an understanding of the full range of issues implicated by the activity or decision in question; hence the formulation: free, prior and informed consent" (Colchester et al., 2004).

Free, Prior and Informed Consultation: Some countries and organizations, interpret FPIC to mean Free, Prior and Informed *Consultation* (FPI Consultation).

The United States understands the provisions for free, prior and informed consent contained in the UN Declaration on the Rights of Indigenous Peoples, to refer to a process of meaningful consultation:

"The United States recognizes the significance of the Declaration's provisions on free, prior and informed consent, which the United States understands to call for a process of meaningful consultation with tribal leaders, but not necessarily the agreement of those leaders, before the actions addressed in those consultations are taken" (US Department of State, 2010).

In some cases, countries may have national legislation that refers to or requires consultation with indigenous peoples or other stakeholders.

The World Bank, in its Operational Policy on Indigenous Peoples (OP 4.10) requires free, prior and informed consultation when a project affects indigenous peoples:

"When a project affects Indigenous Peoples, the World Bank's Task Team assists the borrower in carrying out free, prior, and informed consultation with affected communities about the proposed project throughout the project cycle, taking into consideration the following:

(a) 'free, prior, and informed consultation' is consultation that occurs freely and voluntarily, without any external manipulation, interference, or coercion, for which the parties consulted have prior access to information on the intent and scope of the proposed project in a culturally appropriate manner, form, and language;

(b) consultation approaches recognize existing Indigenous Peoples Organizations (IPOs), including

councils of elders, headmen, and tribal leaders, and pay special attention to women, youth, and the elderly;

(c) the consultation process starts early, since decision-making among Indigenous Peoples may be an iterative process, and there is a need for adequate lead time to fully understand and incorporate concerns and recommendations of Indigenous Peoples into the project design; and

(d) a record of the consultation process is maintained as part of the project files" (World Bank OP 4.10–Indigenous Peoples).

Fragmented forest: Forest fragmentation refers to any process that result in the conversion of formerly continuous forest into patches of forest separated by non-forested lands (CBD, 2001).

Gender: "Is a social construct that refers to relations between and among the sexes, based on their relative roles. It encompasses the economic, political, and socio-cultural attributes, constraints, and opportunities associated with being male or female. As a social construct, gender varies across cultures, is dynamic and open to change over time. Because of the variation in gender across cultures and over time, gender roles should not be assumed but investigated. Note that *gender* is not interchangeable with *women* or *sex*" (USAID, 2010).

Gender analysis: "Examines the different but interdependent roles of men and women and the relations between the sexes. It also involves an examination of the rights and opportunities of men and women, power relations, and access to and control over resources. Gender analysis identifies disparities, investigates why such disparities exist, determines whether they are detrimental, and if so, looks at how they can be remedied" (USAID).

Gender equity: "Is the process of being fair to women and men. To ensure fairness, measures must often be available to compensate for historical and social disadvantages that prevent women and men from otherwise operating on an equitable basis, or a "level playing field." Equity leads to equality" (USAID)

GHG inventory: Is a type of emissions inventory used to understand the sources and trends of human activities that contribute to greenhouse gas emissions in the atmosphere. A GHG inventory for REDD+ should support the construction of a national GHG inventory, which includes GHG emissions and removals from Energy; Industrial Processes; Solvents and Other Product Use; Agriculture; Land-Use Change and Forestry; and Waste sectors.

Global warming: According to the UNFCCC is "the progressive gradual rise of the earth's surface temperature thought to be caused by the greenhouse effect and responsible for changes in global climate patterns" (UNFCCC Glossary).

Greenhouse effect: "Is the process by which the equilibrium temperature of the earth is increased due to presence of gases in the atmosphere that absorb and re-emit outgoing longwave radiation, slowing its loss to space" (NOAA Glossary).

Greenhouse gases: "Greenhouse gases are those gaseous constituents of the atmosphere, both natural and anthropogenic, that absorb and emit radiation at specific wavelengths within the spectrum of thermal infrared radiation emitted by the Earth's surface, the atmosphere itself, and by clouds. This property causes the greenhouse effect. Water vapor (H_2O), carbon dioxide (CO_2), nitrous oxide (N_2O), methane (CH_4) and ozone (O_3) are the primary greenhouse gases in the Earth's atmosphere." (IPCC-AR4 2007)

Historical baseline: "The rate of deforestation and degradation (DD) and the resulting CO_2 e emissions over the past x years" (Angelsen, 2008).

Human rights: "Human rights are rights inherent to all human beings, whatever our nationality, place of residence, sex, national or ethnic origin,

color, religion, language, or any other status. We are all equally entitled to our human rights without discrimination. These rights are all interrelated, interdependent and indivisible. Universal human rights are often expressed and guaranteed by law, in the forms of treaties, customary international law , general principles and other sources of international law. International human rights law lays down obligations of Governments to act in certain ways or to refrain from certain acts, in order to promote and protect human rights and fundamental freedoms of individuals or groups" (OHCHR, 2012).

Human rights-based approach: As described by the OHCHR (2006), a human rights-based approach "is a conceptual framework for the process of human development that is normatively based on international human rights standards and operationally directed to promoting and protecting human rights."

Indigenous peoples: There is no universal definition for indigenous peoples. The commonly accepted understanding of this term is a working definition by Jose R. Martinez Cobo (1986/7):

"Indigenous communities, peoples and nations are those which, having a historical continuity with pre-invasion and pre-colonial societies that developed on their territories, consider themselves distinct from other sectors of the societies now prevailing on those territories, or parts of them. They form at present non-dominant sectors of society and are determined to preserve, develop and transmit to future generations their ancestral territories, and their ethnic identity, as the basis of their continued existence as peoples, in accordance with their own cultural patterns, social institutions and legal system.

This historical continuity may consist of the continuation, for an extended period reaching into the present of one or more of the following factors:

- Occupation of ancestral lands, or at least of part of them
- Common ancestry with the original occupants of these lands
- Culture in general, or in specific manifestations (such as religion, living under a tribal system, membership of an indigenous community, dress, means of livelihood, lifestyle, etc.)
- Language (whether used as the only language, as mother-tongue, as the habitual means of communication at home or in the family, or as the main, preferred, habitual, general or normal language)
- Residence in certain parts of the country, or in certain regions of the world
- Other relevant factors

On an individual basis, an indigenous person is one who belongs to these indigenous populations through self-identification as indigenous (group consciousness) and is recognized and accepted by these populations as one of its members (acceptance by the group). This preserves for these communities the sovereign right and power to decide who belongs to them, without external interference."

International public funding: Sources of funding provided by countries through their development agencies (e.g. USAID), through country bilateral agreements and/or through multilateral institutions such the United Nations agencies (e.g. UN-REDD, FAO, UNDP). Other examples are regional international funds such as the Congo Basin Forest Fund (CBFF).

Jurisdictional REDD+: A government-led REDD+ initiative that includes policies and programs that are implemented at the scale of a national or sub-national jurisdiction.

Kyoto mechanisms: Three procedures established under the Kyoto Protocol to increase the flexibility and reduce the costs of making greenhouse-gas emissions cuts. They are the Clean Development Mechanism, Emissions Trading and Joint Implementation (UNFCCC Glossary).

Kyoto Protocol: An international agreement standing on its own, and requiring separate ratification by governments, but linked to the UNFCCC. The Kyoto Protocol, among other things, sets binding targets for the reduction of greenhouse-gas emissions by industrialized countries (UNFCCC Glossary). Countries are committed to a total cut of at least 5% from 1990 levels in the first commitment period 2008-2012. A second commitment period began on 1 January 2013 and ends on the 31st of December, 2020.

Leakage: That portion of cuts in greenhouse-gas emissions by developed countries—countries trying to meet mandatory limits under the Kyoto Protocol—that may reappear in other countries not bound by such limits. For example, multinational corporations may shift factories from developed countries to developing countries to escape restrictions on emissions (UNFCCC glossary). In the context of REDD+ this may refer to the displacement of deforestation or forest degradation from one area to another.

Local communities: As defined by the Convention on Biological Diversity (2011) Local Community is a very ambiguous term: "It can refer to a group of people which have a legal personality and collective legal rights and this is considered a community in the strict sense. However, many States refuse to accept collective rights, in general and some except [*sic*] is [*sic*] only in relation to the right of self-determination.

Alternatively, a "local community" can refer to a group of individuals with shared interests (but not collective rights) represented by a non-governmental organization (NGO).

Wherever collective rights exist, the collective should be given legal recognition. For example indigenous peoples who are often denied their right to collective identity are forced to act through NGOs, which are social rather than community organizations."

The issue of cultural identity remains multidimensional and complex issue. Self-identification is the most appropriate way to establish who may be indigenous and local and/or traditional communities. In international law, it is clear that a "definition" is not a prerequisite for protection and that groups such as minorities have been guaranteed rights under international law without establishing a definition.

LULUCF: According to the IPCC is a greenhouse gas inventory sector that covers emissions and removals of greenhouse gases resulting from activities relating to land use, land-use change and forestry (from the following categories: forest land, cropland, grassland, wetlands, settlements and other land).

Measurement: "Processes of data collection over time. For REDD+ this includes forest carbon inventories and land use change analysis. Possible data sources are field measurements, field observations, detection through remote sensing and interviews" (UN-REDD, 2009).

Mitigation: "Technological change and changes in activities that reduce resource inputs and emissions per unit of output. Although several social, economic and technological policies would produce an emission reduction, with respect to climate change, mitigation means implementing policies to reduce greenhouse gas emissions and enhance sinks." (IPCC-SRREN, 2011)

Monitoring: "A process to address the need for periodic information on the results obtained through national policies and measures" (UN-REDD, 2012).

NAMAs: Nationally appropriate mitigation actions by developing country parties in the context of sustainable development supported and enabled by technology, financing and capacity building." (van Tilburg et al., 2013)

National arrangements: "Legal, institutional and planning frameworks that should encompass all relevant elements comprising a fully operational

MRV system that adheres to the IPCC principles and assists countries towards developing appropriate GHG inventories on REDD+ activities" (Hewson et al., 2013).

National Program Document: Building on the framework presented in the R-PP, the National Program Document (NPD) describes the UN-REDD Programme contribution to implementation of the R-PP and to the national REDD+ readiness process.

National REDD+ program: A government-led, national-scale initiative to address the drivers of deforestation and forest degradation, the enhancement carbon stocks, and the conservation and sustainable management of forests.

Nested approaches: An accounting, management, and incentive system that accommodates activities and incentives to reduce emissions at various activity and implementation levels. Where projects are nested within sub-national or national programs, activity-specific emissions are deducted from the broader (national or regional) accounting for emission reductions against a reference level (Climate Focus and Forest Trends, 2012).

Permanence/non-permanence: The UNFCCC defines this as "the longevity of a carbon pool and the stability of its stocks". Skutsch and Trines (2010) highlight that non-permanence is a term "usually used to describe a situation in which a forest has sequestered carbon but where that absorption has later been reversed because the forest has been removed again."

Readiness activities: Actions that help countries get ready for REDD+, including capacity building, scientific studies, and developing national strategies, with the goal of mitigating climate change.

REDD+: The terms stands for "reducing emissions from deforestation and forest degradation in developing countries, and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries" (UNFCCC Glossary).

REDD+ Phases: Initially proposed by the Meridian Institute in 2009 and included in the UNFCCC Cancun Agreements, REDD+ is defined to be implemented in a "phased approach." The phases considered are: Readiness phase, Implementation phase and Results-based action phase.

REDD+ projects/Forest carbon projects: Subnational activities designed to reduce or remove greenhouse gas emissions through the management of forested lands or through the establishment of forests on non-forested lands. Projects have clearly defined geographic boundaries that may or may not correspond with subnational political boundaries and they have clearly defined start and end dates.

REDD+ Readiness phase: This is the first phase of REDD+ where countries design their national strategies and action plans with all relevant stakeholders, build capacities for REDD+ implementation, work on policies for forest governance, and initiate demonstration activities (UNFCCC, 2010).

REDD+ stakeholders: Are defined as "...those groups that have a stake/interest/right in the forest and those that will be affected either negatively or positively by REDD+ activities. They include relevant government agencies and elected officials at various levels, formal and informal forest users, private sector entities, indigenous peoples and other forest-dependent communities" (FCPF & UN-REDD, 2011).

REDD+ Strategy: A package of long-term policy interventions, often developed by through a multi-stakeholder process. These often have the goal of serving as a common agenda for achieving emissions reductions and promoting forest governance.

Reference emission levels: "Are generally used in the context of REDD+ to benchmark the amount of emissions from deforestation and forest

degradation from a geographical area (REDD only)" (Meridian Institute, 2011b).

Reference levels: "Are generally used in the context of REDD+ to benchmark the amount of emissions from deforestation and forest degradation as well as the amount of removals from sustainable management of forests and enhancement of forest carbon stocks in a geographical area" (Meridian Institute, 2011b). Under the UNFCCC, the conservation of carbon stock should be also considered.

Regulatory or compliance carbon markets: Marketplaces through which regulated entities obtain and surrender emissions permits (allowances) or offsets in order to meet predetermined regulatory targets. In the case of cap-and-trade programs, participants—often including both emitters and financial intermediaries—are allowed to trade allowances in order to make a profit from unused allowances or to meet regulatory requirements (Peters-Stanley et al 2012). Examples of carbon emission trading systems are the clean development mechanism under the Kyoto Protocol of the UNFCCC or the European Union Emissions Trading System (EU ETS) or the state based emissions trading scheme in California.

Reporting: "The process of formal reporting of assessment results to the UNFCCC, according to predetermined formats and according to established standards, especially the IPCC guidelines and guidance. It builds on the principles of transparency, consistency, comparability, completeness and accuracy" (UN-REDD, 2009). "The process entails calculating net emissions balance (emissions and removals) using data from the forest carbon inventory and the land use change analysis and using UNFCCC reporting formats" (Kleinn, 2011). Frameworks for REDD+ outside of the UNFCCC also require reporting.

Reservoir: "A component of the climate system, other than the atmosphere, which has the capacity to store, accumulate, or release a substance of concern (e.g., carbon, a greenhouse gas, or a precursor). Oceans, soils, and forests are examples of reservoirs of carbon. Pool is an equivalent term (note that the definition of pool often includes the atmosphere). The absolute quantity of the substance of concern, held within a reservoir at a specified time, is called the stock" (FAO, 2009).

Rights holders: "Are those whose rights are potentially affected by the REDD+ program, including holders of individual rights and indigenous peoples and others who hold collective rights." (REDD+ SES, 2012).

Safeguard: A mechanism, such as a policy or process, to prevent or mitigate identified risks. "The UNFCCC REDD+ safeguards and some policies and standards, use safeguards to require not only the avoidance of risks, but also the achievement of social and environmental benefits" (Mackenzie, 2013).

Safeguard Information System: A Safeguard Information System (SIS) is a transparent, consistent, comprehensive and effective systematic reporting system that informs how the UNFCCC REDD+ safeguards are being addressed and respected. An SIS should be developed in a way that takes into account national circumstances and capabilities, national sovereignty and legislation, relevant international obligations and agreements, and gender considerations. (Based on language contained in UNFCCC decision 12/CP.17)

Sink: "Means any process, activity or mechanism which removes a greenhouse gas, an aerosol or a precursor of a greenhouse gas from the atmosphere." (UNFCCC, 1992)

Source: "Means any process or activity which releases a greenhouse gas, an aerosol or a precursor of a greenhouse gas into the atmosphere." (UNFCCC, 1992)

Stakeholder: A person, group, organization or system with an interest that affects or can be affected by a project or program.

Stakeholder analysis: Refers to the application of tools and methods to obtain information about stakeholders, stakeholder groups, relations, interest and influence among them. This information helps conveners to collaborate effectively and avoid wrong stereotypes.

Stakeholder consultation: "Refers to a particular methodology used by the conveners of multi-stakeholder processes. It allows conveners to hear stakeholders without an obligation to act on this input" (Diamond, 2013).

Stakeholder engagement: Is an umbrella term, encompassing a range of structured activities that inform and gather interested parties to address specific complex development issues and find sustainable, mutually acceptable solutions. The term conveys the idea that multiple stakeholders will have ongoing opportunities to weigh in on defining priority sub-issues, identify problem drivers and solutions and support implementation. Multi-stakeholder engagement processes are often premised on a set of principles referencing ideals of participation equity, fairness, respect, transparency and accountability and collaboration, between conveners and participants and among participants. Rather than one-off meetings, stakeholder engagement aims to improve dialogue and decision-making at all stages of planning and implementation, particularly when accompanied by capacity building around technical and process issues (UNDP, 2006).

Stakeholder participation: Can refer to anything from a person physically being present at an event to someone's active involvement (e.g., speaking up, offering time and labor, etc.) at stakeholder events or activities (Diamond, 2013).

Standards: "Consist of principles, criteria and indicators which define the issues of concern and conditions to be met to achieve high social and environmental performance and a process for assessment" (REDD+ SES, 2012).

Sub-national activities: Activities that take place at the local (i.e., project) level, as well as the state/provincial level (Climate Focus and Forest Trends, 2012).

Traditional knowledge: "...the manifestations of indigenous peoples, sciences, technologies and cultures, including human and genetic resources, seeds, medicines, knowledge of the properties of fauna and flora, oral traditions, literatures, designs, sports and traditional games and visual and performing arts" (UNDRIP, 2007).

Uncertainty: "lack of knowledge of the true value of a variable that can be described as a probability density function characterizing the range and likelihood of possible values. Uncertainty depends on the analyst's state of knowledge, which in turn depends on the quality and quantity of applicable data as well as knowledge of underlying processes and inference methods." (See Volume 1 Chapter 3.) (Hewson et al., 2013).

UNFCCC Objective: The ultimate objective of the UNFCCC is to achieve, in accordance with the relevant provisions of the Convention, stabilization of greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system. Such a level should be achieved within a time frame sufficient to allow ecosystems to adapt naturally to climate change, to ensure that food production is not threatened and to enable economic development to proceed in a sustainable manner (UNFCCC 1992, decision FCCC/INFORMAL/84).

UN-REDD Programme: A collaborative program of FAO, UNDP and UNEP with funds and resources to support REDD+ readiness activities, policy development and implementation. UN-REDD has a Global program and National Programs assisting REDD+ counties in aspects related to MRV, reference levels, REDD+ governance, stakeholder engagement, benefits sharing among others (UN-REDD, 2013).

Verification: "The formal review of reports to ensure the validity of the information that is presented. Verification also implies the collection of activities and procedures that can be followed during the planning and development, or after completion of an inventory, that can help establish its reliability for the intended applications of that inventory" (Hewson et al., 2013).

Voluntary carbon markets: "voluntary carbon markets" refers to sale and purchase of carbon credits that are not immediately used to meet a compliance obligation.

Vulnerable groups: Are those with high exposure to external stresses and shocks (including climate change); and with high sensitivity and low adaptive capacity to adjust in response to actual or expected changes due to their lack of secure access to the assets on which secure livelihoods are built (socio-political, cultural, human, financial, natural and physical). Forest dependency may be an important factor affecting vulnerability particularly where the REDD+ program itself may change access to forest resources. In many situations marginalization exacerbates vulnerability, e.g. marginalization by gender." (REDD+SES, 2012)

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Alliance for Global REDD+ Capacity (AGRC)

The Alliance for Global REDD+ Capacity (AGRC) is a global partnership of organizations with a demonstrated commitment to providing the expertise, training and tools required by REDD+ stakeholders around the world. The Alliance aims to share knowledge and expertise and coordinate the delivery of capacity building services and products to reach the audiences who need them. The Alliance seeks to build on the strengths of its members to undertake initiatives that no single member could deliver.

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The US Agency for International Development (USAID) launched the Forest Carbon, Markets and Communities (FCMC) Program to provide its missions, partner governments, local and international stakeholders with assistance in developing and implementing REDD+ initiatives. The technical competencies provided by FCMC provide an integrated approach to address social and environmental soundness; finance and carbon markets; monitoring, reporting and verification; and low emissions development strategies using coordinated, cross-cutting approaches.

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