COUNTRY NEEDS ASSESSMENT: A REPORT ON REDD+ READINESS AMONG UN-REDD PROGRAMME AND FOREST CARBON PARTNERSHIP FACILITY MEMBER COUNTRIES

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List of abbreviations and acronyms

ADB	Asian Development Bank
AusAID	Australian Agency for International Development
ASEAN	Association of Southeast Asian Nations
CAR	Central African Republic
CARE	CARE International
CCI	Clinton Climate Initiative
CDM	Clean Development Mechanism
CI	Conservation International
CIFOR	Center for International Forestry Research
COP	Conference of the Parties
CS	Civil Society
COICA	Coordinator of Indigenous Organizations of the Amazon Basin
CONAFOR	National Forestry Commission, Mexico
DANIDA	Danish International Development Agency
DRC	Democratic Republic of the Congo
FAO	Food and Agriculture Organization of the United Nations
FCPF	Forest Carbon Partnership Facility
FECOFUN	Federation of Community Forestry Users, Nepal
FFI	Fauna and Flora International
FIP	Forest Investment Programme
FPIC	Free, prior and informed consent
FRA	Forest Resources Assessment
GCF	Green Climate Fund
GDP	Gross domestic product
GEF	Global Environmental Facility
GHG	Greenhouse gas
GI	Government institutions
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GNI	Gross national income
GTCR	REDD Working Group on Climate
ICRAF	World Agroforestry Centre
IPs	Indigenous peoples
IPCC	Intergovernmental Panel on Climate Change
ITTO	International Tropical Timber Organization
IUCN	International Union for Conservation of Nature
JICA	Japan International Cooperation Agency
LAC	Latin America and the Caribbean
Lao PDR	Lao People's Democratic Republic
LPG	Liquefied petroleum gas
LULUCF	Land use, land-use change and forestry
MDGs	Millennium Development Goals
MDTF	Multi-donor Trust Fund
MRV	Measurement, reporting and verification
NAFORMA	National Forestry Resources Monitoring and Assessment
NCF	Nordic Climate Facility

NFI	National Forest Inventory
NGO	Nongovernmental organization
NICFI	Norwegian International Climate and Forest Initiative
NORAD	Norwegian Agency for Development Cooperation
NP	National Programme
NPD	National Programme document
PES	Payments for environmental services
PNG	Papua New Guinea
PSA	Payment for environmental services programme
RECOFTC	The Center for People and Forests
R-PIN	Readiness Plan Idea Note
R-PP	Readiness Preparation Proposal
REDD	Reducing emissions from deforestation and forest degradation
REDDES	Reducing Deforestation and Forest Degradation and Enhancing Environmental Services
SCF	Strategic Climate Fund
SESA	Strategic Environmental and Social Assessment
SNV	Netherlands Development Organization
TAP	Technical Advisory Panel
TNC	The Nature Conservancy
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UN-REDD Programme	United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries
US$	United States dollars
USAID	United States Agency for International Development
WB	World Bank
WCS	Wildlife Conservation Society
WWF	World Wildlife Fund

Glossary

Agreement	Generic term for an international legally binding instrument. In this sense, it encompasses several types of instrument, such as treaties, conventions, protocols or oral agreements.
Capacity-building	Process of developing the technical skills, institutional capability, and personnel to, inter alia, implement multilateral environmental agreements.
Carbon market	A popular 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.
Carbon sequestration	The process of removing additional carbon from the atmosphere and depositing it in other "reservoirs", principally through changes in land use. In practical terms, carbon sequestration occurs mostly through the expansion of forests.
Clean Development Mechanism	The Clean Development Mechanism (CDM) is one of the three market-based mechanisms under the Kyoto Protocol to the United Nations Framework Convention on Climate Change (UNFCCC), whereby developed countries may finance greenhouse gas emission-avoiding projects in developing countries, and receive credits for doing so which they may apply towards meeting mandatory limits on their own emissions (UNFCCC).
Climate change	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).
Deforestation	The direct human-induced conversion of forested land to non-forested land (UNFCCC).
Ecosystem services	Processes and functions provided by natural ecosystems that sustain life and are critical to human welfare.
Environmental Impact Assessment	The process by which the environmental consequences of a proposed project or programme are evaluated and alternatives are analyzed. It is an integral part of the planning and decision-making processes.
Implementation	For a Party to an international agreement, process of adopting relevant policies, laws and regulations, and undertaking necessary actions to meet its obligations under the agreement.
LULUCF	Land use, land-use change and forestry. Within the context of the UNFCCC, it refers to the impact of land use by humans and changes in such land use on greenhouse gas emissions.
Mitigation	In the context of the UNFCCC and its Kyoto Protocol, actions to cut net emissions of greenhouse gases and reduce climate change as a consequence (UNFCCC).
Multilateral Fund	Shorthand for the Multilateral Fund for the Implementation of the Montreal Protocol. It assists developing countries in implementing the Montreal Protocol.

Observer	A non-state or State actor invited to participate in a limited capacity in discussions during negotiations. Observers are not allowed to negotiate text and have no voting powers. In practice, some observer States do negotiate, although they do not participate in final decision-making.
Participating UN Organizations	The three agencies of the UN-REDD Programme: FAO; UNDP; UNEP.
Reforestation	The direct human-induced conversion of nonforested land to forested land through planting, seeding and/or the human-induced promotion of natural seed sources on land that was forested but that has been converted to non-forest land (UNFCCC). It should be distinguished from the notion of afforestation.
REDD+	Reducing emissions from deforestation and forest degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks
Stakeholder	An individual or institution (public and private) interested and involved in a process or related activities.

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Executive Summary

Background to the study

A country needs assessment on REDD+ was commissioned by the UN-REDD Programme following a decision of its Policy Board that such an assessment be conducted to enable it to review its policies and align the Programme's support with the priority needs of countries. In the process, the FCPF of the World Bank also joined the UN-REDD Programme to co-sponsor the country needs assessment exercise. In line with that decision, an initial team of three independent consultants was recruited to start the exercise. The first part of the exercise focused on the development of a methodology, which was approved in March 2012 at a joint meeting of the Policy Board and the Participants Committee of the UN-REDD Programme and FCPF, respectively. The methodology was largely based on a matrix of the key components of REDD+ as defined at the sixteenth session of the Conference of the Parties (COP) to the United Nations Framework Convention on Climate Change (UNFCCC) in Cancun. All components except that on reference scenario have sub-components that are shown in the results section. The methodology was developed in close cooperation with the secretariats of both the FCPF and the UN-REDD Programme, as well as a Working Group, which comprised members of the UN-REDD Programme Policy Board, to advise and oversee the process. The collection of data and information covered Africa, Asia and Latin America and the Caribbean and consisted of three key exercises that focused on the assessment of technical, institutional and financial needs of countries in completing Phases I and II of REDD+, as outlined in the Cancun Agreements and as defined by UNFCCC COP decisions.

Specifically, the country needs assessment process entailed the development of a methodology, which was formally approved, a desk assessment of country needs on REDD+, and a global needs assessment which used a response matrix and covered 22 countries, of which six were visited by the consultants for more in-depth treatment. The methodology used a framework based on the key REDD+ components as identified in the UNFCCC decisions, especially the Cancun Agreements, and which are the basis for the FCPF and UN-REDD Programme national templates. An additional component on transition to a development framework with REDD+ (green economy) was added. In the detailed response matrix, the components were sub-divided, where necessary, into sub-components and also into elements under each sub-component. These elements formed the basis for specific questions, which guided respondents in expressing their needs.

Once the overarching framework to guide the country needs assessment had been defined, the execution of the study comprised four main steps:

i. A literature review to compile background data for the assessment;
ii. Administration of the response matrix and six overview questions mailed to the 52 UN-REDD Programme and FCPF REDD+ partner countries to solicit their response;
iii. Semi-structured interviews and focus group discussions with six partner countries of the UN-REDD Programme and/or FCPF, which were visited by the consultants. They were the

Democratic Republic of the Congo and Tanzania in Africa, Cambodia and Papua New Guinea in Asia and Colombia and Ecuador in Latin America and the Caribbean;

iv. Analysis of collected data interpretation and grouping of needs, discussion and the formulation of recommendations derived from the stated needs.

In the matrix, countries were requested to give an indication of where within each component they had need of support. For each need, the countries were required to specify the level of urgency associated with the need, the type of support they required to meet the need and the preferred mechanisms of delivery. In addition, they were requested to estimate the costs of their needs but without any reference within the methodology on how to make those estimates. In-depth assessments during country visits added more information to the types of responses already described. In the report, each country report starts with some background information on the forest sector, REDD+, socioeconomic conditions and REDD+ governance.

Since one of the objectives of this exercise was to develop a framework for future needs assessments, this assessment was also to test the approach and methodology and to provide insights on how to refine it for future applications.

Treatment of the data

The output of the country needs assessment was largely based on the response matrix already described. The responses were presented in the form of frequency of expression of needs, urgency, type of support, and preferred method of delivery. The frequency data, which was expressed as the number of countries, was used to generate summary tables.

The data from the matrices were also coded and classified by region, country, component, sub-component and elements and then entered into a database in order to generate outputs in the form of frequencies and percentages, both at global and regional levels. The frequencies and percentages were then used to generate graphs and tables.

Within each of the three regions, countries were divided into two clusters (A and B) according to their relative progress toward readiness. In this regard, Group A refers to more advanced countries that have completed or are about to complete phase I of REDD+ (within 8 to 12 months). The rest, which were in the early or middle stages, were put into Group B. A global analysis comparing both types of country across regions was done.

Limitations of the data

The country needs assessment exercise depended on the voluntary participation of countries that had signed up to UN-REDD Programme and/or FCPF processes. Of the 52 countries, only 22 responded and, among them, six were visited by the consultants for in-depth assessments. In their response to the assessment materials; the response matrix and a set of six overview questions, countries were supposed to consult widely with stakeholders, but the process had no way of enforcing that requirement, hence

the level of consultations tended to vary from country to country. Consultations were also limited by the time allocated to the study.

The assessment was not an evaluation or audit of the REDD+ programmes of participating countries, but merely provided an agreed framework of components, sub-components and their elements to enable countries to evaluate their own programmes and organize information on what they perceived to be their needs for REDD+ support. This was the methodology approved for assessing needs, in addition to interviews carried out during country visits. The results in the report should be seen in the context of the limitations explained here.

A study of the country responses as expressed in the response matrices show a tendency, particularly among those countries that were not directly visited, to express needs in virtually all REDD+ components, and often without any clear separation of priority needs from others. In comparison, countries visited for in-depth assessments generally permitted a deeper analysis of specific country circumstances, provided context for the expressed needs and a better sense of focus on priorities, than those that were not visited. Furthermore, since the country needs assessment did not provide a framework for budgeting, the estimation of costs of the expressed needs also tended to vary widely among the countries that responded.

Key Results

The main results summarized here show the main areas of priority needs on REDD+ among the 22 countries that participated in the study:

- Governance: This component has three sub-components: i) institutional capacity, coordination mechanism and legal frameworks; ii) benefit sharing; iii) consultation and participation process. In this study, needs were expressed in all of the three key sub-components. A majority of countries prioritized institutional strengthening and reforms, benefit sharing and legal frameworks for REDD+. Of interest is that a number of countries also prioritized elements such as development of effective institutions, identification of institutional strengthening, effective coordination mechanisms across ministries, and effective coordination mechanisms with civil society, indigenous peoples and private sector;
- REDD+ Strategy Development: In expressing their needs, countries included work on drivers of deforestation, development and testing of safeguards, establishment of pilot projects and others;
- Work on safeguards: There were strong indications from country responses that capacity to develop and mainstream safeguards in REDD+ programmes is inadequate and support is required to improve it;
- Measurement, reporting and verification (MRV) and Reference levels: On this vital component of any REDD+ programme, technical support was sought by all but two countries.

More detailed results are given in chapters 3 and 4 of this report.

Key needs of countries in REDD+ based on the analysis of data and information from in-country visits

As would be expected and as already discussed, the needs of countries differed in type and scale, depending on size of forest cover, stages of readiness, socioeconomic conditions, and drivers of deforestation and forest degradation. However, some general needs emerged, which are listed below.

i. The response matrices showed that 80 percent of all countries prioritized governance (institutional strengthening, legal frameworks and benefit sharing) for support. This lends credence to the findings of in-depth studies for the six countries, which revealed that the capacities (systemic, institutional and individual) of sub-national structures at both provincial or district levels should be prioritized since that is where REDD+ programmes will be implemented. The Democratic Republic of the Congo, for example, calls this priority "the decentralization of REDD+", and likewise, Papua New Guinea and Cambodia also identified this as a priority;

ii. Further on governance, legal frameworks to support the implementation of REDD+ and to resolve 'land tenure' and 'carbon rights' issues in the REDD+ context are needed in virtually all existing and future REDD+ country strategies. This need is particularly important as it helps countries to develop incentive-based models that will generate stewardship over forests and wooded landscapes. For example, the need for legal frameworks and guidelines for pilot REDD+ projects is clear in the Latin American Region, owing to ongoing complaints, particularly from indigenous peoples, of some abusive contracts sometimes imposed on indigenous groups without the involvement of their mother organizations or government;

iii. For the benefit sharing, consultation and participation process, 86 percent of the countries required procedures for stakeholder consultations, 73 percent required capacity to improve information dissemination to stakeholders, 48 percent required assessment of previous experiences related to REDD+, and 46 percent required implementation of conflict resolution mechanisms;

iv. The sub-component on safeguards was also an area of high priority, particularly by Asian and Latin American countries. This is also linked to the observed increase of REDD+ funding going to consultations in Latin America because of indigenous peoples' participation and ownership of forest lands. Likewise, Asian nongovernmental organizations (NGOs) stressed the need to pilot the implementation of safeguards, as well as free, prior and informed consent (FPIC) principles;

v. The need for more support to be given in REDD+ strategies was the second highest priority after governance for countries, irrespective of region. This is quite consistent with countries in Africa and Asia expressing the need for REDD+ pilot projects, since they offer opportunities for testing and learning and also help to create buy-in by local communities and also within local and central governments;

vi. There was also an expressed need across all three regions for more support on the core technical aspects of setting reference levels and the setting of MRV systems. This need implies an imperative to help build national technical capacities to enable more substantive participation in the setting of reference levels/reference emission levels than is currently the case and to be able to test models and build expertise in monitoring and maintenance of national forest and carbon databases. It is also an important capacity for monitoring safeguards, co-benefits and the drivers of deforestation and forest degradation.

In addition to the above needs, which are core to the REDD+ concept, there are also other issues for which countries need support to address, but which are not normally expressed under the readiness components. They could however be described as supporting measures to managing REDD+ and, while this study cannot claim any authority on them, the country visits suggested that attention should be paid to the following:

i. Overcoming what appears to be a waning political interest in REDD+ within countries, caused in large part by the slow disbursement of REDD+ funds and the lengthy processes before accrued benefits reach local people, protracted international negotiations, and limitations of voluntary markets, among others. These led to the suggestion that countries need support to demonstrate 'strong business cases for REDD+' in relation to other competing land policies. This could be supported by quantitative methods that can demonstrate the mid- to long-term deleterious effects of and the economic potential of reversing drivers of deforestation and forest degradation in both ecological and economic terms. Both of these could help create a sense of urgency and the level of investment required for REDD+;

ii. In all countries visited, particularly in Africa and Asia, there was an urgent need to strengthen local NGOs and community groups and improve their capacities to participate in REDD+ alongside decentralized government institutions. This should however be done without alienating central governments. It seems that stronger in-country voices outside governments will eventually be of interest of forest administrations, which are largely responsible for the mitigation of drivers of deforestation and forest degradation;

iii. For a number of countries, such as the Democratic Republic of the Congo, Papua New Guinea and Cambodia, there is a strong desire to link pilot projects to carbon markets and – in the process – build capacity and experiences in performance and results-based payments;

iv. Another issue worthy of further investigation is the setting of minimum investment thresholds needed to create the desired impact for REDD+ at the national level and thus produce transformative changes. Without a robust economic analysis, the Democratic Republic of the Congo suggested a threshold of US$500 million for itself. It would be worthwhile to look into such a threshold across a few representative REDD+ countries,

v. In countries where forest land is under pressure of conversion to accommodate commercial, agricultural and other ventures in a manner that would inhibit the success of REDD+, suitable mechanisms need to be devised that would strengthen forestry administrations, protect fragile and high conservation value forests and also enhance the potential for the rural poor to share in the benefits of legitimate investments that are associated with conversion of forest lands.

Countries had the option to choose among three types of support, namely financial, technical and administrative. Overall, the majority (50–88 percent) of countries preferred technical followed by financial support. Financial and technical support was particularly preferred in Africa and Asia where at least 50 percent of the countries required both supports in all the elements, while administrative supports was barely required. This is not the case of Latin America where in each element at least one country answered that administrative support has the same importance. Administrative support was much less popular with countries across the three regions, with only a few choosing it. In the analysis, the type of support was cross-tabulated with the preferred method of delivery, such as specific expertise, direct funding, guidelines and or workshops. The results show no clear preference across countries but it nonetheless shows interesting choices, which are discussed in more detail in section 4.2.4.

Recommendations

The recommendations section is based on the key results that are summarized in section 7.2., with a focus on the areas of priority needs revealed during the exercise. The results are discussed in greater detail in sections 7.2.1., 7.2.2., 7.3.and 7.4.of the report. Based on the results, the following recommendations are proposed:

i. Given that a majority of countries in the study, including those that did not respond, are still in the early or middle stages of Phase I of REDD+ readiness, a support system of multidisciplinary groups of professionals that can assist the progress of these countries by providing technical support in the areas where countries have expressed their priority needs is strongly recommended. In this regard, it is important to realize that technical support may be just as valuable as financial support;

ii. Countries that are already in Phase II, or will be within 12 months, can provide a good base for South-South cooperation in areas where they have greater implementation experience. For example, Mexico and Costa Rica can formally share their experiences with other countries in the areas of payments for environmental services (PES) and benefit distribution. Brazil and the Democratic Republic of the Congo are also currently collaborating on forest resource monitoring, a development that is vital to the two countries. The facilitation of such South-South collaboration is therefore recommended across a range of approaches;

iii. The participation and consultation process is creating additional unforeseen needs and requires better assessment and support. The guidelines on FPIC developed by the UN-REDD

Programme are very useful, but more work needs to be done to support countries on that issue;

iv. Clear guidelines would be beneficial for REDD+ early projects and programmes to facilitate the participation of indigenous and forest dependent peoples and others to ensure that they get their fair share of any accrued or expected benefits;

v. The experiences of Indonesia, Papua New Guinea, the Philippines, Fiji, the Democratic Republic of the Congo, Guyana, Costa Rica and the Dominican Republic in integrating REDD+ as part of their development strategies, plans and actions seem to show reasonable steps towards readiness, but also show a different set of challenges and needs that continue to require support at the technical and strategic or policy levels. When considering other REDD+ countries in each region, this area offers an interesting opportunity for South-South cooperation, which would be beneficial for countries that are in early stages of the REDD+ process;

vi. From the responses of countries to the six overview questions, it is evident that the establishment of more REDD+ pilot programmes is an important learning opportunity, particularly for sub-national structures of government and civil society. A possible support mechanism to this end is therefore recommended and will primarily entail the development of clear guidelines for REDD+ Pilots Projects to enable a systematic learning process, with flexibility for adaption to national circumstances;

vii. In countries that are initiating REDD+ strategy programmes, it is recommended that support be provided to enable them to evaluate how REDD+ options can be aligned with their national development strategies and what possible trade-offs they could consider. The component on a transition to a green economy tried to extract some specific needs under this key element, and work done by the United Nations Environmental Programme (UNEP) in UN-REDD Programme partner countries is very much in line with technical support needs in this context;

viii. It is recommended that more resources also be allocated to economic studies that can demonstrate 'strong business cases' for REDD+, as it could be a good way to generate political capital in favour of REDD+ within countries.

1. Introduction

The global initiative to reduce carbon emissions from deforestation and forest degradation, taking into consideration the role of conservation, sustainable forest management and enhancement of forest carbon stocks (REDD+), developed under the UNFCCC, has the potential to contribute significantly to climate change mitigation.

In a unique effort, over 70 countries came together to collaborate in enhancing forest management for carbon sequestration and sustainable management of forested landscapes. Over the last four years, the UN-REDD Programme and the World Bank's FCPF have supported 52 countries in taking important steps towards REDD+ readiness, to participate substantively in developing a REDD+ mechanism, and to partake in financial arrangements that provide incentives for the reduction of forest carbon emissions. So far, the UN-REDD Programme has approved support to national programmes in 16 countries, and the FCPF has committed grants to 20 countries. Today, those countries are in various phases of development of their national REDD+ Programmes.

The progress made by countries in their REDD+ efforts since the Cancun Agreements, and the rapid development of the UN-REDD Programme, led the UN-REDD Programme's Policy Board to request a country needs assessment in order to inform support for the planning of future national and global programmes. In parallel, the Participants Committee of the FCPF also requested an assessment of REDD+ country-readiness needs in order to guide further support to REDD+ countries. The Participants Committee further instructed that similar existing or planned activities undertaken by other initiatives should be taken into account, including those of the Forest Investment Programme (FIP) and the UN-REDD Programme. Based on these requests and recommendations; a joint UN-REDD Programme and FCPF country needs assessment was decided upon and undertaken. The study covered 52 countries involved in the UN-REDD Programme and FCPF.

This country needs assessment report is organized and presented in six sections namely: introduction; literature review; assessment methodology; findings from six in-depth case studies; the responses from other countries to which assessment materials were distributed; and conclusions and recommendations.

Process and scope of the study

A team of three consultants was contracted to develop a methodology for the country needs assessment. The methodology was developed in close cooperation with the secretariats of both the FCPF and the UN-REDD Programme, as well as a Working Group consisting of members of the UN-REDD Programme Policy Board, to advise and oversee the process. The country needs assessment was conducted by two consultants who focused on the regions of Africa, Asia and Latin America and the Caribbean.

Specifically, the country needs assessmentcomprised:

i. A methodology for assessing country needs regarding support in the readiness process;

ii. A desk assessment of countries' needs for support, informed by a survey extended to all 52 UN-REDD Programme and FCPF partner countries and complemented by a literature review;

iii. An in-depth country needs assessmentin in six selected partner countries visited by the consultants and the collection of information from countries to which survey instruments, a response matrix, and six overview questions were distributed.

With respect to the scope of the study, the points below should be borne in mind:

i. The participation of countries was voluntary and, in addition, it was made explicit in the methodology paper that countries were expected to complete the response matrices with the full participation of their stakeholders. In this regard, the authorities ultimately responsible for country responses were the governments, through their focal points. This matter is discussed further in chapter 7 of this report in connection with the limitations of the data on which the assessment was based;

ii. The assessment was not designed as an external evaluation of progress made by countries in REDD+ but was meant to provide a framework to assist countries in thinking about their issues and needs under REDD+ in a structured manner, which would enable comparisons among countries and provide information that could be used to reveal any trends in the expression of needs. The key recommendations made in the report are largely based on what the countries themselves expressed;

iii. Of the 52 countries to which assessment materials were sent, only six countries were visited and it was only in those six where the consultants conducting the exercise could directly meet a wide range of stakeholders. Elsewhere, consultations depended on the good will of participating countries. Despite the relatively small number of countries visited, the expectation was that those six would provide some context for the responses coming from other countries that shared similar challenges in REDD+;

iv. As already stated, the assessment exercise started with the development of a methodology, which was formally approved by the UN-REDD ProgrammePolicy Board. This assessment was its first major test and the expectation was that at the end of the assessment, the practical value of the methodology would be reviewed before any consideration was given to its future use.

2. Methodology for the current assessment of country needs for REDD+ readiness

2.1. General methodological framework

The methodological framework applied to the country needs assessment on REDD+ is described in detail in the document entitled: Methodology for Country Needs Assessment, which can be found in Annex 1 of the present report.

It focuses on the assessment of technical, institutional and financial needs of countries in completing phases I and II of REDD+, as outlined in the Cancun Agreements and as defined by UNFCCC COP decisions. It will facilitate the alignment of the activities of the UN-REDD Programme and FCPF with the needs and priorities of their partner countries. With a view to fulfilling this objective, the proposed methodology adopted as its reference the readiness components defined in the decisions of COP16 and COP17, with additional elements added from the Readiness Preparation Proposal (R-PP) template (version 6) and from the UN-REDD Programme document Support to National REDD+ Action – Global Programme Framework 2011–2015.

The exercise was based on the main REDD+ readiness components as identified in UNFCCC COP decisions, especially the Cancun Agreements (Decision 1/CP.16) and related Decision 12/CP.17.

The components of REDD+ as defined in the UNFCCC decisions are the basis for the FCPF and UN-REDD Programme national templates. For each of the broad components, key indicative capacity needs were distilled from operational documents of the UN-REDD Programme and FCPF, expert knowledge, independent literature (notably Brockhaus et al., 2011; the Eliasch Review 2008; Herold et al 2009; Davis et al., 2009) and country strategic documents that include REDD+. Table 1 presents a summary of the components and sub-components and the key capacities required and proposed as a basis for this country needs assessment.

It is important to mention that the framework used in the assessment is consistent with the R-PP template that is currently in use and also with the UN-REDD Programme's Support to National REDD+ Action – Global Programme Framework 2011–2015.

Table 1. REDD+ Readiness components and capacities to fulfil readiness requirements

Component	Sub-component	Capacity to undertake actions toward readiness
1. National REDD+ governance	1.1. Institutional capacity, coordination mechanism, and legal framework	a) Assessment of institutional reforms and new institutional arrangements needed for REDD+ design and implementation.
		b) Effective institutions (with technical capacity, administrative authority, financial capabilities) to manage the drivers of deforestation and forest degradation for REDD+ (especially forest and land-use sectors).
		c) Identification of institutional strengthening requirements; for example, to improve law enforcement capacities, and MRV, among other things.
		d) Effective coordination mechanism across ministries at political, technical and administrative levels.
		e) Effective coordination mechanism with civil society, indigenous peoples and productive sectors for REDD+ design and implementation.
		f) Legal evaluation on how to integrate carbon rights under current legislation, including coordination and consultation on how to assign carbon rights.
	1.2.Benefit-sharing	a) Design and implementation of a transparent and accountable system to channel benefits and income from REDD+.
		b) Institutional framework for benefit-sharing system.
		c) National capacity to observe fiduciary standards for disbursement and reception of funds.
		d) Identification, assessment and use of prior experiences, including PES and REDD+ demonstration activities to inform REDD+ strategy design and implementation.
	1.3. Consultation and participation process (indigenous peoples, civil society, private sector and other stakeholders)	a) Formal procedures for stakeholder consultations.
		b) Capacity development and information supply to facilitate the participation of indigenous peoples, forest-dependent communities and others in the management of REDD+.
		c) Formally recognized and applied mechanisms for conflict resolution under REDD+ (e.g. carbon rights, indigenous peoples' land tenure, others).
2. REDD+ strategy or action plan	2.1. REDD+ strategy development and options	a) Use of experiences in natural resource and forest management and agriculture at local, regional (sub-national) and national levels to inform REDD+ strategy design and implementation.
		b) Assessment of drivers of land-use change including drivers from outside the forest sector at national and regional levels.
		c) Systems to simulate and monitor impact of REDD+ policies at national, regional and local levels.

		d) Analyses of REDD+ scenarios and their possible impact on gross domestic product (GDP), forestry as a percent of GDP, and agriculture as a percent of Forest % GDP, Agriculture % GDP
		e) Cost assessment (opportunity, implementation, institutional and transaction costs) of REDD+ action at local, regional and national levels to inform policy and decision-making.
		f) Identification or assessment of major inconsistencies or conflicts between the objectives of the REDD+ strategy and policies and programmes in other sectors (e.g. transport, agriculture, energy, mining, tourism) and ways to address them.
		g) Assessment of how existing laws, policies, programmes and practices incentivize deforestation and forest degradation.
		h) Identification of specific reforms in legislation and policies that can be addressed in the short term.
		i) Identification of priority areas for pilot programmes and mechanism testing.
		j) Testing of specific REDD+ strategy options.
	2.2. Multiple benefits of forests and REDD+	a) Information systems on ecosystem-based multiple benefits of forests and REDD+.
		b) Identification and selection of natural resources, accounting methods and other natural resource valuation systems.
		c) Identification, assessment and prioritization of environmental services per region and ecosystem, for REDD+ pilot programmes.
		d) Assessment to incorporate multiple benefits of forests in land-use and spatial planning within national programmes and REDD+ strategies.
3. Social and environmental safeguards	3.1. Information on safeguards	a) Identification and understanding of key social, political economic and environmental risks of REDD+ strategy options.
		b) Frameworks to monitor and manage the risks and impacts during REDD+ strategy implementation (e.g. policies, governance, multiple benefits, participation).
		c) Assessment of key gender-based risks and potential benefits, opportunities of REDD+ strategy options, implementation framework.
4. Forest reference emission level and/or forest reference levels	4.1. Reference emission level / reference level	a) Data and knowledge on priority deforestation and forest degradation processes and drivers, associated greenhouse gas (GHG) emissions, and methods for assessing their future developments.
		b) Methodology for estimating historic emissions and to estimate emission scenarios based on expected trends in the drivers of change.
		c) Expertise in spatial and temporal analysis and modelling tools and a system for networking of institutions/organizations working in the area.
5. Systems for	5.1. National	a) Capacity and/or compliance with national and international

national forest monitoring and information on safeguards	monitoring framework and capacities	reporting systems (e.g. UNFCCC national communications, FAO Forest Resources Assessments (FRA)).
		b) Capacity and systems for estimating terrestrial carbon, its dynamics, related human-induced changes, leakage and monitoring approaches.
	5.2.Design of monitoring system (area change, accuracy, verification and reporting)	a) Agreement on definitions, monitoring goals, reference units and monitoring variables.
		b) Legally defined institutional arrangements with clarified competencies and technical capabilities.
		c) Capacity development plan to cover the priority data and information needs (e.g. cover change, carbon flows, multiple benefits, opportunity costs and environmental risks).
		d) Capacity to review, consolidate and integrate existing data and information (e.g. forest inventories, permanent sample plots, REDD+ demonstration activities).
		e) Capacity, systems and procedures to estimate carbon stocks according to chosen Intergovernmental Panel on Climate Change (IPCC) tier levels and carbon pools and to monitor the changes.
		f) System and capacity for statistical analysis and interpretation of data in a transparent manner, including the estimation of error.
		g) Use of an independent system to verify data and its interpretation.
		h) Institutions or platforms ensuring public access to data and information for transparency and the capacity required for its running and maintenance.
	5.3. Designing an information system for multiple benefits, other impacts, governance, and safeguards	a) A system for monitoring how safeguards are addressed during the implementation of REDD+ activities based on practical methodology and tools.
		b) Identification of the scope and roles for stakeholders and government agencies in the design and implementation of safeguards.
		c) Identification of the capacity needed in the design and implementation of safeguards.
		d) Coordination of the information system for safeguards with monitoring for other needs.
		e) Identification of mechanisms for establishing independent monitoring and reviews that allows the effective and appropriate participation of civil society, indigenous peoples, forest-dependent communities, and other stakeholders.
6.Transition to a development framework with REDD+	6.1.Transition to a development framework with REDD+ (green economy)	a) Development of national roadmaps to identify what types of investment and strategy are needed to integrate REDD+ in development frameworks.
		b) Protocols for integrated land-use planning and decision-making to allow the integration of economic, biophysical and

(green economy)		social information, using multi-criteria decision-making tools.
		c) Capacity to develop integrated visions and reach out to other sectors, such as planning and finance, to prioritize investment and public spending to promote more sustainable development options.
		d) Strengthening policies so that they are pro-poor and capacity to develop better indicators to guide investments, such as 'GDP of the poor'
		e) Case studies and comparison with probable impacts of 'business as usual' investment practices and trajectories and those with green economy options in pilot districts (such as agro-forestry, more efficient processing of timber, REDD+ projects, and PES).

The identified readiness components and indicative capacity needs were used to develop a response matrix and an accompanying questionnaire, whose objective was to systematically collect and organize countries' stated needs to reach the capacity required under each readiness component.

The ultimate purpose of the matrix was to: i) summarize the needs in a tabular format for ease of reference; ii) rank the needs under each component in order of preference and urgency; iii) clearly identify who should be targeted as, or who is, the beneficiary of support if and when the need is addressed; and iv) facilitate the aggregation and comparison of responses to each component across countries.

Having defined the overarching framework that will guide the country needs assessment, the execution of the study consisted of five main steps:

i. A literature review to compile background data for the assessment;
ii. Administration of the matrix and questionnaire as a remote survey to the 52 UN-REDD Programme and FCPF partner countries;
iii. Semi-structured interviews and focus group discussions with six partner countries of the UN-REDD Programme to enrich the assessment with a detailed context and rationale regarding the readiness process in countries at different stages of readiness and with different circumstances. A balanced approach was taken in selecting the six selected countries, with two from each region (Latin America and the Caribbean, Africa and Asia);
iv. Administration of the questionnaire to enable the six countries visited to further express key aspects of their current status in REDD+ readiness and perspectives on their priority needs for further progress;
v. Analysis of collected data, entailing the collation of data and information, interpretation and grouping of needs, and the formulation of recommendations derived from the stated needs.

The needs assessment was based on country responses to questions structured under the five components of REDD+ readiness in a response matrix and a set of six semi-structured questions on some aspects of readiness and general progress on REDD+. In the matrix, countries were requested to indicate

the components and sub-components in which they had needs, the urgency of those needs, the type of support they required to meet the needs, and the preferred mechanism of delivery. In addition, they were requested to estimate the cost of their needs but without any instructions on how to make those estimates. In-depth assessments added more information to the two types of responses already described. In the sub-sections, each country report begins with some background information on the forest sector, REDD+, socioeconomic conditions and REDD+ governance.

Since one of the objectives of this exercise was to develop a framework for future needs assessments, the assessment essentially tested the methodology so as to provide insights on how to refine it for possible future applications.

The countries that either were visited or responded to the questionnaires are as follows (in-depth assessments were carried out in the countries listed in bold):

Latin America and the Caribbean (LAC): Argentina, **Colombia**, Costa Rica, **Ecuador**, Honduras, Mexico and Paraguay.

Africa: Central African Republic, **the Democratic Republic of the Congo**, Ghana**,** Kenya, Liberia, Nigeria, the Republic of the Congo, **Tanzania** and Zambia.

Asia: Bangladesh, **Cambodia**, Lao People's Democratic Republic, Myanmar, **Papua New Guinea,** the Philippines and Viet Nam.

This report starts with the presentation of information obtained during the literature review and then moves onto the needs assessment results at a global level, where the very urgent needs common to the three regions are presented, followed by the needs assessment at the level of the three regions, where the results are given according to country groups A (in the advanced stages of readiness) and B (in early stages of readiness).

The results from the country needs assessments carried out during country visits are presented; they provide more contextual information and give details on more specific needs. The reports have been approved by the relevant governments to ensure the validity of the information presented.

2.2. Suggested consultations prior to the consolidation of country responses to the country needs assessment

The matter of consultations within countries was emphasized in the methodology document and further reinforced in letters from the UN-REDD Programme Secretariat to country focal points suggesting that, prior to the consolidation of country responses to the needs assessment, stakeholder consultations beheld. Countries were also encouraged to organize multi-stakeholder meetings and to agree on priority issues that would later be included in the response matrix and also be used when responding to the six overview questions. It is noteworthy that under the first component of the response matrix, the issue of consultation and participation also featured quite prominently.

During the country visits to conduct in-depth assessments, the consultants either joined national meetings at which various stakeholders were present or captured the views of civil society through focus group discussions and one-on-one interviews. The in-depth assessment reports provide details on how in-country consultations were conducted.

3. Literature review: country needs for REDD+

The purpose of this section is to outline up-to-date information on recently conducted global assessments to identify and describe the existing capacities and needs of countries in reaching REDD+ readiness. The emphasis on global assessment is due to the fact that the country needs assessment covers the three focal regions for REDD+ and closely matches the countries covered by the global studies. Recognizing that broad capacity is necessary to reaching readiness, literature on capacity assessments in the field of environment and natural resources, which goes beyond REDD+, is also reviewed. The methodologies applied in these assessments are also reviewed to enable comparisons and validation of the methodology proposed and applied in this assessment.

The review starts with two studies that mainly focused on the costs of readiness (Eliasch Review, 2008, Simula 2010), followed by a paper on the role of multilateral organizations in responding to readiness needs (Hardcastle et al., 2011), the effects of governance on readiness costs (Brockhouse et al., 2011; Chatham House, 2010) and approaches to capacity assessments regarding the environment and natural resources (Institute for Global Environmental Strategies (IGES) Report, 2010;MDG, 2004; United Nations Development Programme (UNDP), 2008). A report is also included on the capacities of countries listed in Annex II to the UNFCCC in MRV under REDD+.

3.1. Financing needs for REDD+ readiness – cost estimates for REDD+

Simula (2010) conducted a global study on REDD+ financing that investigated both financing needs and sources, based on an extensive literature review.

Key sources of information included FCPF R-PPs, UN-REDD National Programme documents (NPDs), Clean Development Mechanism (CDM) and Voluntary REDD+ databases, special funds such as the Amazon Fund and Congo Basin Forest Fund, and a report on REDD+ financing and activities survey, which was prepared for an intergovernmental taskforce for the May 2010 Oslo Climate and Forest Conference. Multilateral and bilateral donors also provided financial information for the study. The main findings were that there was much variation between the financial needs of countries for any given readiness component across a number of variables, namely: country size; prevailing drivers of deforestation and forest degradation; ability to contribute to emission reductions; existing capacities; and previous investments in REDD+. The variation to which Simula (2010) refers is illustrated in tables 2 and 3. The tables show variations between costs estimated in Readiness Plan Idea Notes (R-PINs) and R-PPs and also in the Eliasch Review (2008). He also observed that the independent review of R-PPs and

NPDs had improved estimates of financial needs, even though it was observed that most of those estimates were made by international consultants, sometimes working together with local researchers and academics. In general the information suggests that improvements can be made in estimating financing, particularly transaction costs, which were a missing element in the current estimates.

Before Simula (2010), the Eliasch Review (2008) published a study that estimated the costs of building capacities in 25 rainforest nations to substantively participate in REDD+. These 25 rainforest nations reportedly experienced 7.7 million hectares of forest loss per year between 2000 and 2005, corresponding to 60 percent of reported net forest loss of all countries for that period. Modelled estimates of carbon emissions of the same countries accounted for 6.5 GtCO2 in 2002, constituting 78 percent of global emissions from land use, land-use change and forests, hence their importance. The countries were in Africa (Cameroon, Democratic Republic of the Congo, Equatorial Guinea, Gabon, Ghana, Liberia, Republic of the Congo, Sierra Leone), Asia (Cambodia, China, India, Indonesia, Malaysia, Myanmar, Papua New Guinea, Thailand, Viet Nam) and the Americas (Bolivia, Brazil, Colombia, Costa Rica, Guyana, Mexico, Peru, Venezuela). The Eliasch Review (2008) collected information through a combination of desk studies and interviews with relevant stakeholders and experts. Also included was information on the required governance and estimated costs, which are important for any REDD+ programme at both national and sub-national levels. The assumptions in the study were that: i) sufficient political will would guarantee success of REDD+ programmes and projects; ii) implementation costs would be borne from carbon revenues; and iii) there would be sufficient international demand for credits.

To estimate costs of managing REDD+ governance and policy measures associated with readiness for REDD+, the Eliasch Review (2008) created four categories namely:

i. Establishment of a REDD+ infrastructure: activities specific to REDD+ such as developing baselines, undertaking inventories, monitoring and project approval processes
ii. Developing a strategy for REDD+: activities analysing the various drivers of deforestation;
iii. Identifying the approaches to be used to reduce deforestation and degradation;
iv. Implementation of the REDD+ strategy.

The above four categories of intervention were then costed, drawing upon information from previous programme activities, paid for mainly by development aid, as well as some estimates made by countries themselves.

The study found that the potential costs of governance interventions to allow a single country to participate in REDD+ ranged from US$14 million to US$92 million, spent over five years, which works out to a range of US$340 million to US$2.3 billion for the 25 countries over five years. Expanding this to a global scale and setting the number of significantly forested countries to 40, the range is from US$550 million to US$3.7 billion. Information made available after 2008 could yield different results, but the methodology is interesting and could still be used to analyze current information, including what is revealed by this study following an analysis of the cost estimates from the response matrices from all the countries that were involved and responded to this country needs assessment.

Pagiola and Bosquet (2009) proposed a framework for assessing costs of REDD+, which is also useful for estimating needs for financing. They outlined three cost categories:

i. Design and implementation of the REDD+ programme, which are relevant for Phases I and II, respectively;
ii. Opportunity costs reflecting the foregone benefits of alternative land use for the REDD+ programme;
iii. Transaction costs associated with the performance-based payment schemes.

While the latter two types of cost would occur during Phase III, they are important in the development of safeguards where opportunity costs may matter to local communities. They also help to build a business case for REDD+ to convince sceptics and demonstrate the competiveness of REDD+ as an alternative land use, with co-benefits.

Table 2.Examples of UN-REDD Programme partner country budgets by component and country

Component	US$ 1,000								
	DRC	Bolivia	Indonesia	Panama	PNG	Tanzania	Zambia	Viet Nam	Total
1.Organize and Consult	1,612	495	1,600	2,306	1,465	1,100	2,023	1,354	11,955
2. REDD+ Strategy	1,108	2,855	2,275			1,500	192	2,417	10,346
3. Reference Level	260	300	450	800	450	600	729		3,589
4. Monitoring System	2,160	750	950	2,194	500	600	1,252		8,406
Programme Management						200		350	200
Indirect support cost	360		294		169	280	294		1,036
Total	5,500	4,400	5,569	5,300	2,584	4,280	4,490	4,121	35,533

Source: National Programme budgets for the UN-REDD Programme

Table 3. Comparison of cost estimates of FCPF Readiness Plan Notes (R-PINs) and Readiness Project Proposals (R-PPs)

Component	R-PINs (2008)		R-PPs (2010)		Eliasch Review****
	Average*	Range	Average	Range	Range
	US$ 1,000				
1.Plan and Organize**	890	520 -1,297	3,020	540 – 10,240	150 – 2,000
2. REDD+ Strategy***	841	550 – 1,240	4,860	670 – 16,000	900 – 2,500
3. Reference scenario	516	200 – 1,200	1,410	300 – 6,150	1,000 – 4,000
4. Monitoring system	1,008	250 – 1,560	4,540	248 – 30, 240	--
Total	**3,255**	**2,050 – 4,627**	**13,830**	**4,060-39,540**	**2,050 – 8,500**

*Average for small to medium countries
**R-PINs include costs of REDD+ Management, consultations
*** R-PINs include development of REDD+ Strategy, environmental and social impact assessments and design of implementation framework
**** The cost breakdowns are not the same as in R-PINs and R-PPs. Costs of REDD+ Strategy include here also REDD+ implementation framework. Plan and organize include only consultations. No cost estimates was prepared for design of monitoring system which is partly included in the costs of reference scenario

Source: Simula (2010)

The studies cited in tables 2 and 3 show that the costs of REDD+ readiness are formidable and significant efforts will likely be required to meet them. It also seems that if some assumptions in the Eliasch Review (2008) and others (Brockhaus et al., 2011; Chatham House, 2010), such as political support for REDD+ and governance, are not met, then the costs could increase further still. The results from this country needs assessment should therefore be viewed in the context of some of these other studies.

3.2. Other notable studies on REDD+ readiness and capacity assessments

The IGES Report (2010) describes comprehensively what REDD+ readiness entails at a national scale, using Indonesia and Viet Nam as case studies, and has a useful description on strategy building and the development of both reference and reference emission levels.

From a methodological standpoint, the Millennium Development Goals (MDGs) Needs Assessment (MDG, 2004) outlined an approach that listed generic interventions on REDD+, the setting of targets for each intervention, estimates of synergies across interventions, use of models to estimate resource requirements and the development of a financing strategy. In many ways, the approach has similarities with that used in this country needs assessment, in the sense that the readiness components and the relevant actions or interventions are expressed as capacities and, for each capacity, questions are asked on whether support is needed and, if so, what kind of support, as well as on financial implications.

Again from a capacity standpoint, this country needs assessment was informed by the approach of UNDP (2008) which recognizes the fact that capacity exists at three levels, namely the enabling environment (systemic), the organizational and the individual, all or any of which can be used as entry

points in an assessment of capacities. The capacity issues on which assessments are made include institutional arrangements, leadership, and knowledge and accountability systems. This country needs assessment has applied the aspects of institutional arrangements, and knowledge and accountability systems in designing the response matrix, which is reflected in the questions under each of the readiness components.

During country visits, countries were advised to describe capacity issues at the three levels recognized in the UNDP Capacity Development Process. In any subsequent needs assessments, this approach, which has steps such as stakeholder engagement, assessment of capacity assets, formulating capacity responses, implementing capacity development and evaluating the process, is recommended particularly at the beginning of Phase II of readiness.

3.3. Technical aspects of REDD+ readiness needs

The technical aspects of REDD+ readiness can be expressed in terms of capacities, which refer both to the availability of specific technical skills and the structures and systems that enable those skills to be used productively. This is the case in a global assessment on country capacities in MRV done by Herold et al. (2009). The study used various sources of information, mostly reports submitted to United Nations bodies, such as the Food and Agricultural Organization of the United Nations (FAO), UNFCCC and also the World Bank, to extract data on existing capacity to monitor and analyze data on changes in forest cover, and to estimate GHG emissions that are associated with such changes. In developing a framework for the assessment exercise they looked at capacities in GHG inventories, forest monitoring capacities, cooperation with other institutions and specific country characteristics. In a more elaborate framework these capacities are expressed through their sub-components and the required or expected capacities are listed for each sub-component. Components for monitoring (see table 4) included planning and design, data collection, monitoring (many factors), accuracy assessment and verification, data treatment and reference emission levels.

In general, country capacities in terms of regularity of monitoring forest cover show mixed results: six countries have no consistent inventories, eleven have had at least one national inventory, nine have had multiple national inventories, and only two carry out regular inventories. The presence of base maps, cover maps and other maps is quite mixed and, to the extent that REDD+ will require a concerted global effort, more regular inventories and acceptable quality cover maps need to become the norm.

Table 4. Summary of country capacities for monitoring forest area change and forest inventories for a selection

Forest Inventory	**Forest area change monitoring**					
	No forest cover map	Forest cover map (external)	Multiple forest cover maps (external)	Forest cover map in-house OR multiple maps, latest before 2000	Regular forest area mapping, most recent after 2000	No forest cover map
	No consistent national field inventory				Rep. of Congo, Ecuador, Nepal	Bolivia, Colombia, Malaysia
	One national inventory (external)	CAR, Gabon, Guyana, Kenya, Nigeria.	Zambia	Liberia	Ghana, Panama	Brazil, Costa Rica
	Multiple inventories (external)			DRC, PNG		
	One or more Inventories available (in-country), most recent before 2000		Cameroon, Suriname	Madagascar	Lao PDR	Indonesia, Peru, Viet Nam
	Regular forest inventories (in-country), most recent after 2000					India, Mexico

Source: Herold et al, 2009.

A total of 99 Annex II countries were assessed on the following:

i. Current monitoring and reporting capabilities for forest area change and carbon stocks, to quantify and report on national estimates of carbon emissions from forest change;
ii. Availability of data from remote sensing data sources for annual forest area change monitoring;
iii. Remote sensing capacity-building recommendations;
iv. Capacity-building recommendations with respect to country specific REDD+ requirements and opportunities and carbon stock assessments, with a focus on 30 countries;
v. Recommendations for regional and global capacity-building activities.

A summary of the findings on past inventories among 30 countries and the availability of cover maps have been provided in table 4, while table 5 shows the various MRV sub-components and desired capacities against which countries were assessed.

Table 5. Components and required capacities for establishing a national monitoring system for REDD+

Planning and Design	Need for establishing a forest monitoring system as part of a national REDD+ implementation plan	• Knowledge of international UNFCCC negotiations and guidance for monitoring and implementation; • Knowledge of national REDD+ implementation strategy and objectives.
	Assessment of existing national forest monitoring framework and capacities, and identification of gaps in the existing data sources	• Understanding of IPCC land use, land-use change and forestry (LULUCF) estimation and reporting requirements; • Synthesis of previous national and international reporting (i.e. UNFCCC national communications and FAO FRA); • Expertise in estimating terrestrial carbon dynamics, related human-induced changes and monitoring approaches; • Expertise to assess usefulness and reliability of existing capacities, data sources and information.
	Design of forest monitoring system driven by UNFCCC reporting requirements with objectives for historical and future monitoring	• Detailed knowledge on the application of IPCC LULUCF good practice guidelines; • Agreement on definitions, reference units, and monitoring variables and framework; • Institutional framework specifying roles and responsibilities; • Capacity development and long-term improvement planning; • Cost estimation for establishing and strengthening institutional framework, capacity development and current operations and budget planning.
Data collection and monitoring	Need for establishing a forest monitoring system as part of a national REDD+ implementation plan	• Knowledge of international UNFCCC negotiations and guidance for monitoring and implementation; • Knowledge of national REDD+ implementation strategy and objectives.
	Forest area change	• Review, consolidate and integrate the existing data and

	assessment (activity data)	information; • Understanding of deforestation drivers and factors; • If historical data record insufficient – use of remote sensing: o Expertise and human resources in accessing, processing, and interpretation of multi-date remote sensing imagery for forest changes; o Technical resources (hard/software, Internet, image database), o Approaches for dealing with technical challenges (i.e. cloud cover, missing data).
	Changes in carbon stocks	• Understanding of processes influencing terrestrial carbon stocks; • Consolidation and integration of existing observations and information, i.e. national forest inventory or permanent sample plots: o National coverage and carbon density stratification; o Conversion to carbon stocks and change estimates; • Technical expertise and resources to monitor carbon stock changes: o In-situ data collection of all the required parameters and data processing; o Human resources and equipment to carry out field work (vehicles, maps of appropriate scale, GPS, measurements units); o National inventory/permanent sampling (sample design, plot configuration); o Detailed inventory in areas of forest change or "REDD+ action"; o Use of remote sensing (i.e. for stratification); • Estimation at sufficient IPCC Tier level for: o Estimation of carbon stock changes due to land use change; o Estimation of changes in forest areas remaining forests; o Consideration of impact on five different carbon pools.
	Emissions from biomass burning	• Understanding of national fire regime and fire ecology, and related emissions for different GHGs; • Understanding of slash and burn cultivation practice and knowledge of the areas where it is being practiced;

		• Fire monitoring capabilities to estimate fire affected area and emission factors: o Use of satellite data and products for active fire and burned area; o Continuous in-situ measurements (particular emission factors).
	Accuracy assessment and verification	• Understanding of error sources and uncertainties in the assessment process; • Knowledge on the application of best efforts using appropriate design, accurate data collection, processing techniques, and consistent and transparent data interpretation and analysis; • Expertise on the application of statistical methods to quantify, report and analyze uncertainties for all relevant information (i.e. area change, change in carbon stocks etc.) using, ideally, a sample of higher quality information.
	National GHG information system	• Knowledge on techniques to gather, store, and analyze forest and other data, with emphasis on carbon emissions from LULUCF; • Data infrastructure, information technology (suitable hard/software) and human resources to maintain and exchange data and quality control.
Data treatment	Analysis of drivers and factors of forest change	• Understanding and availability of data for spatiotemporal processes affecting forest change, socioeconomic drivers, spatial factors, forest management and land use practices, and spatial planning; • Expertise in spatial and temporal analysis and use of modelling tools.
Reference emission levels	Establishment of reference emission level and regular updating	• Data and knowledge on deforestation and forest degradation processes, associated GHG emissions, drivers and expected future developments; • Expertise in spatial and temporal analysis and modelling tools; • Specifications for a national REDD+ implementation framework.
Reporting	National and international reporting	• Expertise in accounting and reporting procedures for LULUCF using the IPCC good practice guidelines; • Consideration of uncertainties and procedures for independent international review.

(Source: Herold et al., 2009)

The response matrix that was developed for this country needs assessment was based largely on the design of this work and is reflected in the questions asked under each of the components and sub-components of readiness.

4. Global needs assessment findings

At the global level, 22 out of 52 countries (42 percent) responded to the matrices and questionnaire surveys and per region the coverage was seven in Latin America and the Caribbean, seven in Asia and eight in Africa.

The analysis was done in two parts, the first of which provided a comparison between regions, dividing countries into two groups (A and B), and attempted to identify common needs within the categories. The second part provided a comparison of all countries, by region and by readiness sub-component. While the first part aims to reveal the needs that can be associated with each of the two groups at various stages of REDD+ readiness, the second compares all countries within and between regions and also classifies the results by REDD+ components, sub-components and their respective elements. The second part is meant to show any global trends in the needs of the countries that were assessed.

4.1. Global analysis part I: results

There is much variation in the progress of different countries with respect to readiness, both globally and at regional levels. Countries such as Mexico, Costa Rica, Viet Nam, Indonesia and the Democratic Republic of the Congo are considered advanced because of the progress they have made relative to others. Viet Nam, Indonesia and the Democratic Republic of the Congo are in transition to Phase II and, Costa Rica and Mexico have very advanced MRV systems, PES and benefit distribution systems. The other countries are still in the very initial stages. Given the varying levels of progress of countries in the study, they have been differentiated into two groups within each region: Group A countries, which are more advanced, and Group B countries, which have made relatively less progress to date. In Africa, the Democratic Republic of Congo, Ghana, the Republic of Congo and Tanzania are in Group A, while Central African Republic, Kenya, Nigeria and Zambia are in Group B. In Asia only Viet Nam is in Group A, while the other countries; Bangladesh, Cambodia, Myanmar, PNG, the Philippines and Sri Lanka are in B. For Latin America and the Caribbean Costa Rica and Mexico are in Group A, while the others, Argentina, Colombia, Ecuador, Honduras and Paraguay are in Group B.

The readiness elements that were considered very urgent and were common among the 3 regions are presented by component and by Group A, advanced countries, and Group B, countries in early stages of readiness.

4.1.1. Summary of Findings

The type of support preferred varied among each component, but financial support was more important for Group A than for Group B. In general, Group B tended to need both financial and technical support in equal measure. Colombia was the exception as it rated administrative support higher than technical and financial.

The beneficiaries of support within Group A were mainly government institutions but for Group B, indigenous peoples, civil society and government ranked the same.

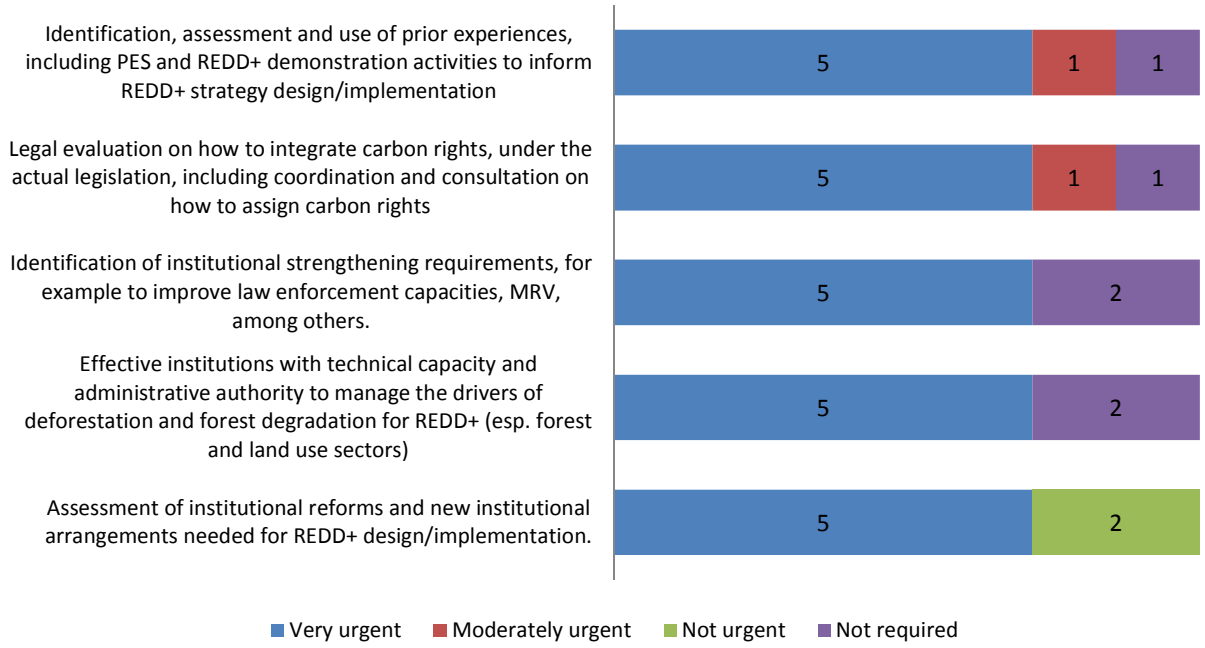
4.1.1.1. Very urgent readiness elements: Group A countries

The graphs (figures 1–8) show the common readiness elements among Group A countries.

Component: Governance

The assessment based on the matrices shows that 71 percent of Group A countries considered the Governance components as very urgent and were looking for the capacity necessary for the implementation of REDD+ programmes. At this stage it was also perceived to be as important to evaluate institutional reforms as it was to create new institutional frameworks. This was true for both Mexico and Costa Rica, where the institutional frameworks for PES were already in place but required adjustments to be usable for REDD+; they may both need adjustments or the consideration of new institutional frameworks. This scenario could offer an interesting source of information on the kind of institutional framework that has worked in Mexico and Costa Rica, which may be useful for other countries to consider.

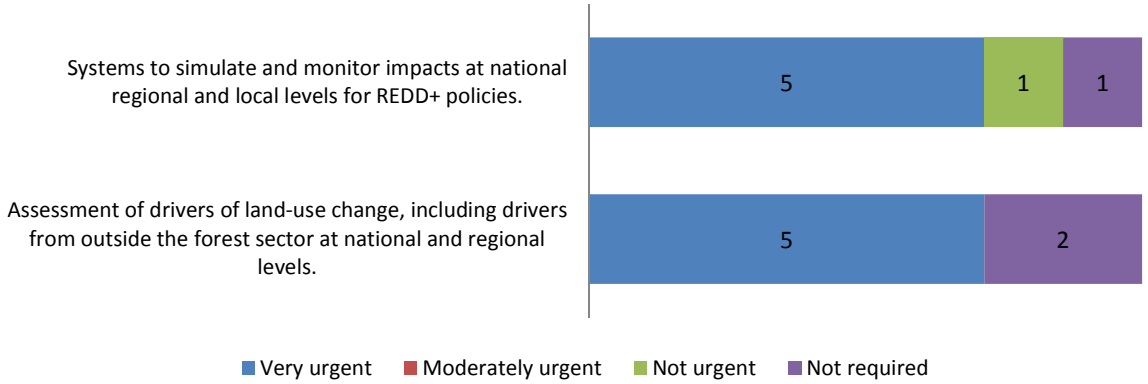
Figure 1. Very urgent readiness elements: Group A countries (institutional capacity, coordination mechanisms and legal frameworks, and benefit sharing)



Component: REDD+ Strategy or Action Plan

In the REDD+ Strategy and Options component, 71 percent of countries were seeking tools to better understand and simulate the impacts of REDD+ policies at regional and local levels, as well as to assess land-use change drivers at these levels. For the National Forest Monitoring Framework, 57 percent of countries asked for financial and technical support for statistical analysis and interpretation capacities as well as capacity for estimating terrestrial carbon, leakage and reversals, and monitoring approaches.

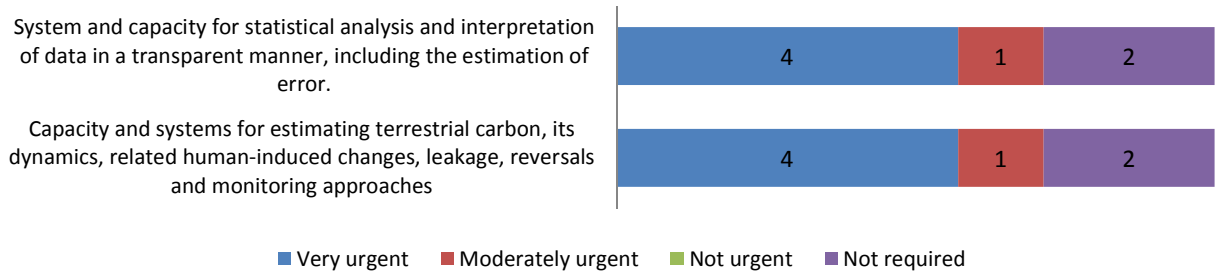
Figure 2. Very urgent readiness elements: Group A countries (development of the REDD+ strategy and options)



With regard to REDD+ Strategy, 60 percent of countries required information systems on ecosystem-based multiple benefits and 46 percent needed to determine opportunity costs and transaction costs at local, regional and national levels. For Safeguards, 60 percent of countries needed to develop an understanding of the social, political, economic and environmental risks associated with REDD+ strategy options, and 46 percent wanted to go further and understand gender-based risks and opportunities.

Component: National Forest Monitoring Systems and Information on Safeguards

Figure 3. Very urgent readiness elements: Group A countries (national monitoring framework and capacities, and design of monitoring systems)



In the area of National Forest Monitoring MRV and Information on Safeguards, 60 percent required capacity for estimating terrestrial carbon and to achieve compliance with International Monitoring Systems, 46 percent needed to identify the scope and roles of stakeholders in design and implementation of safeguards and determine the tier level for estimation of carbon stocks, changes and carbon pools.

4.1.1.2. Very urgent readiness elements: Group B countries

Group B has rated more readiness components and sub-components as very urgent than Group A. For Governance, in addition to the elements selected by Group A, the readiness elements identified are Coordination and Effective Mechanism with stakeholders and also an inter-ministerial coordination mechanism at political, technical and administrative levels. REDD+ countries want to initiate and take forward the REDD+ process in a participatory way and are in need of efficient communications and coordination mechanisms to do so.

Component: Governance

Figure 4. Very urgent readiness elements: Group B countries (institutional capacity, coordination mechanisms and legal frameworks)

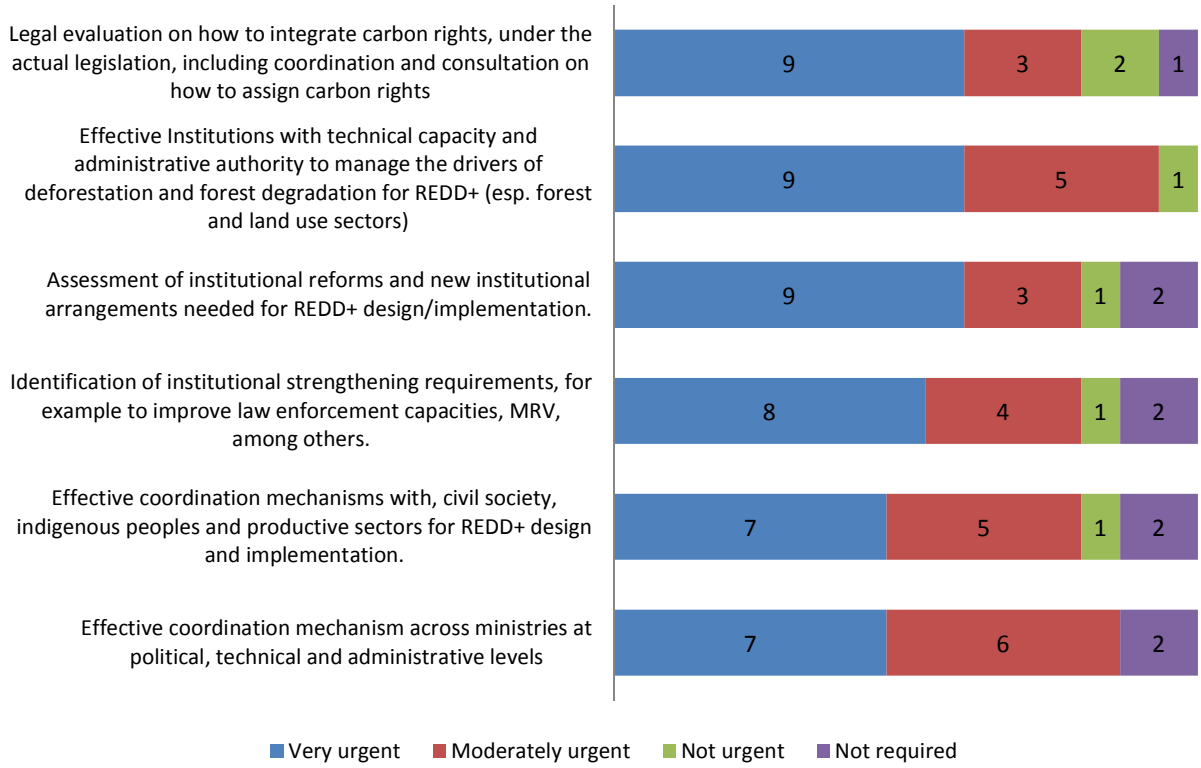
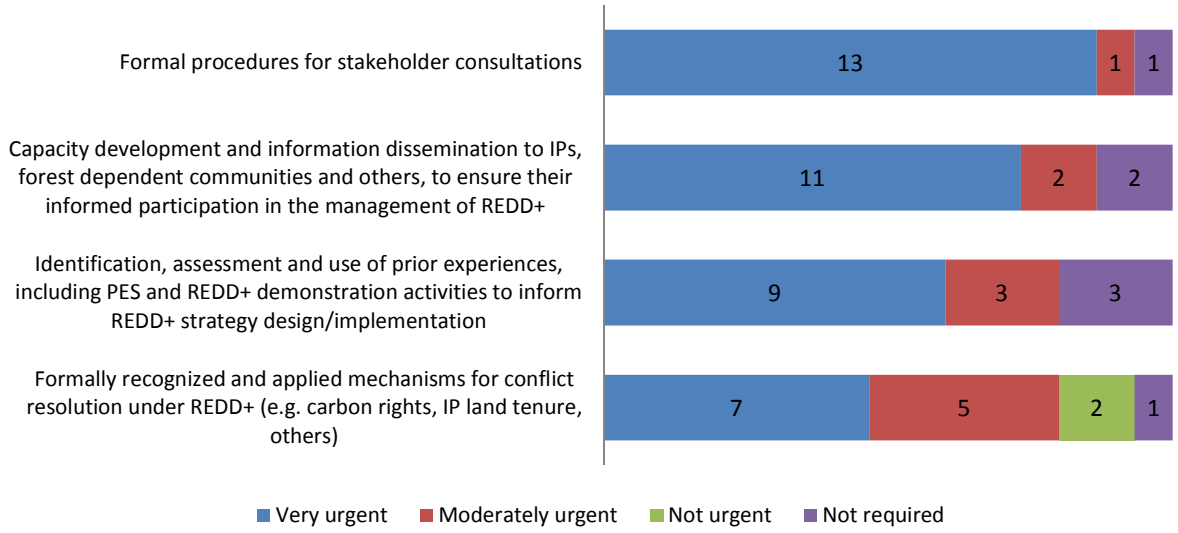


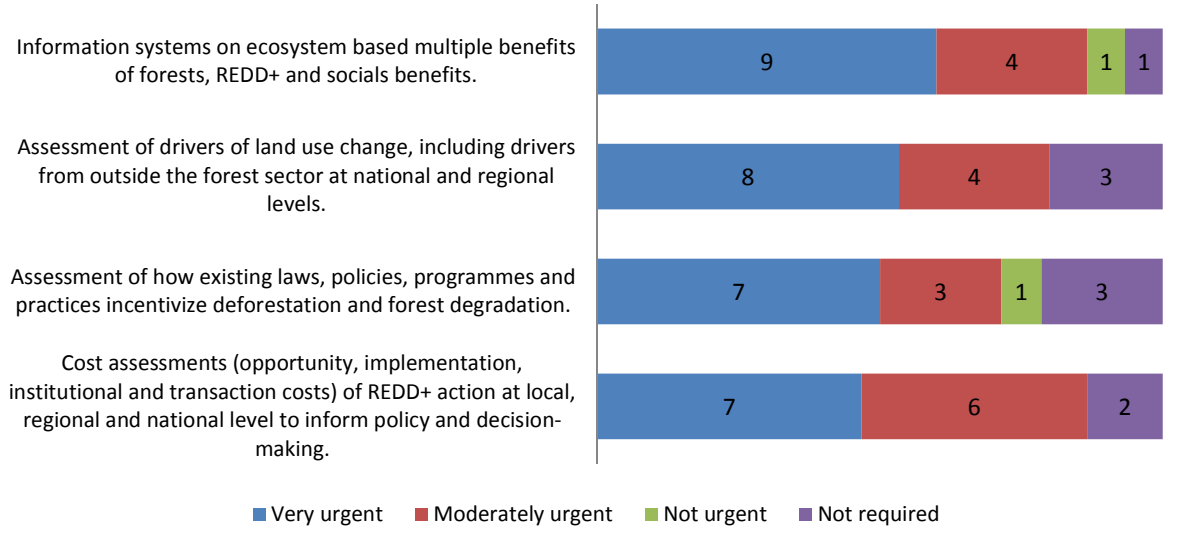
Figure 5. Very urgent readiness elements: Group B countries (benefit sharing and consultation and participation process)



Under benefit sharing, consultation and participation process, 86 percent of countries required procedures for stakeholder consultations, 73 percent required capacity to improve information dissemination to stakeholders, 48 percent required assessment of previous experiences related to REDD+ and 46 percent required implementation of conflict resolution mechanisms.

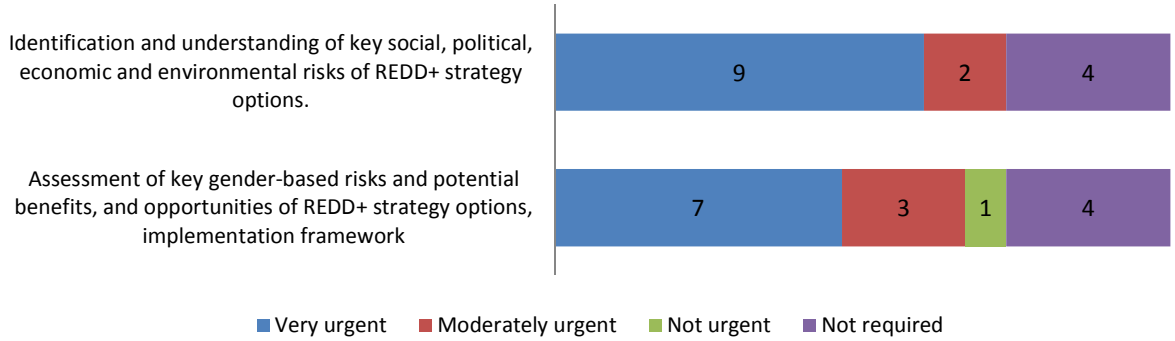
Component: REDD+ Strategy or Action Plan

Figure 6. Very urgent readiness elements: Group B countries (development of the REDD+ strategy and options and multiple benefits of forests and REDD+)



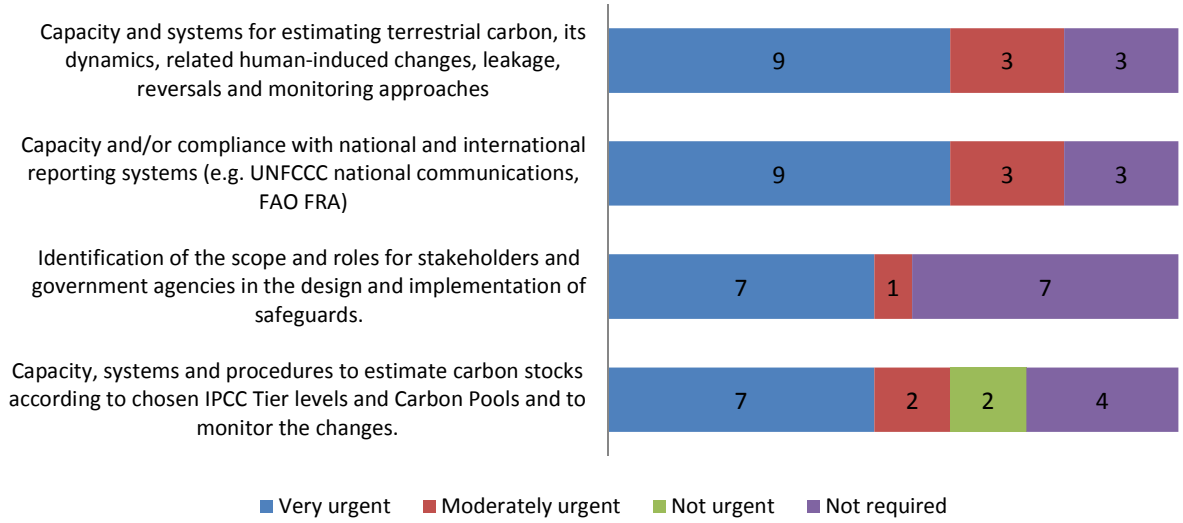
Component: Social and environmental safeguards

Figure 7. Very urgent readiness elements: Group B countries (information on safeguards)



Component: National Forest Monitoring Systems and Information on Safeguards

Figure 8. Very urgent readiness elements: Group B countries (national monitoring framework and capacities, design of a monitoring system and an implementation system on multiple benefits, other impacts, governance and safeguards)



4.2. Global analysis part 2

4.2.1. Responses on whether support is needed and nature of support

The responses of countries to the matrix of readiness issues are presented in graphs in this section and are also in Annex 2 to this report. The tables (6–12) and graphs (figures 9–19) show the responses of all

countries to the questions on whether and under which components and sub-components support was needed. All the countries involved in the assessment in the three regions are represented in the graphs. A cross tabulation of responses on needs (support required), type of support (technical, financial and administrative) and preferred mechanisms of delivery (direct funding, guidelines, specific expertise and workshops) are also presented and the interpretation provided.

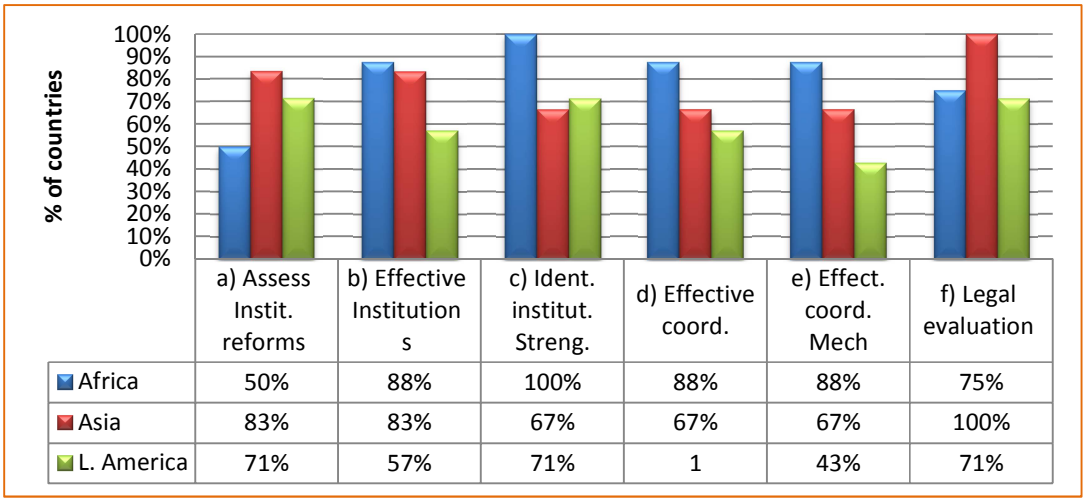
Expression of needs

a. Governance (Component 1):

i. Institutional capacity, coordination and legal frameworks

Under this sub-component, Africa had the most needs in development of effective institutions, identification of institutional strengthening, effective coordination mechanisms across ministries and effective coordination mechanisms with civil society, indigenous peoples and private sector, with at least 75percent of the African countries requiring support in these elements (figure 9). Asia on the other hand had most needs in assessment of institutional reforms and legal evaluation on how to integrate carbon rights. At least 40 percent of the Asian countries (at least 4 out of 6) required support in all the other elements. Similarly, at least 40 percent of the Latin American countries also required support in each of the elements under this sub-component. However, for the Latin American region, most countries (over 70 percent) required support in assessment of institutional reforms and legal evaluation on how to integrate carbon rights and identification of institutional strengthening.

Figure 9. Needs in REDD+ in Africa (sub-component: institutional capacity, coordination and legal frameworks)



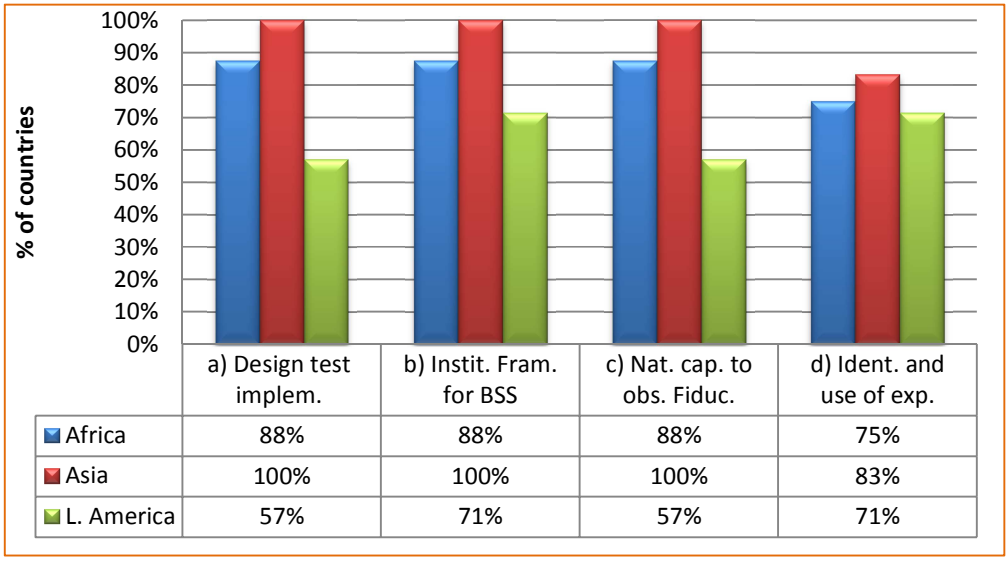
	a) Assess Instit. reforms	b) Effective Institutions	c) Ident. institut. Streng.	d) Effective coord.	e) Effect. coord. Mech	f) Legal evaluation
Africa	50%	88%	100%	88%	88%	75%
Asia	83%	83%	67%	67%	67%	100%
L. America	71%	57%	71%	1	43%	71%

ii. Benefit sharing

Unlike the first sub-component, where Africa had the most needs, under benefit sharing, all Asian countries had most need of support in design and implementation of transparent systems, institutional frameworks for benefit sharing and national capacity to observe fiduciary standards. 83percent of the

Asian countries also required support in identification and use of prior and early experiences. African countries had the second most needs in this sub-component, with over 85 percent requiring support in the first three elements and 75 percent of requiring support in the last element. Latin American and the Caribbean countries had the least needs. However, over 70 percent of those countries required support in institutional frameworks for benefit sharing and identification and use of prior and early experiences and 57 percent of required support in design and implementation of transparent systems and national capacity to observe fiduciary standards.

Figure 10. Needs in REDD+ by region (sub-component: benefit sharing)

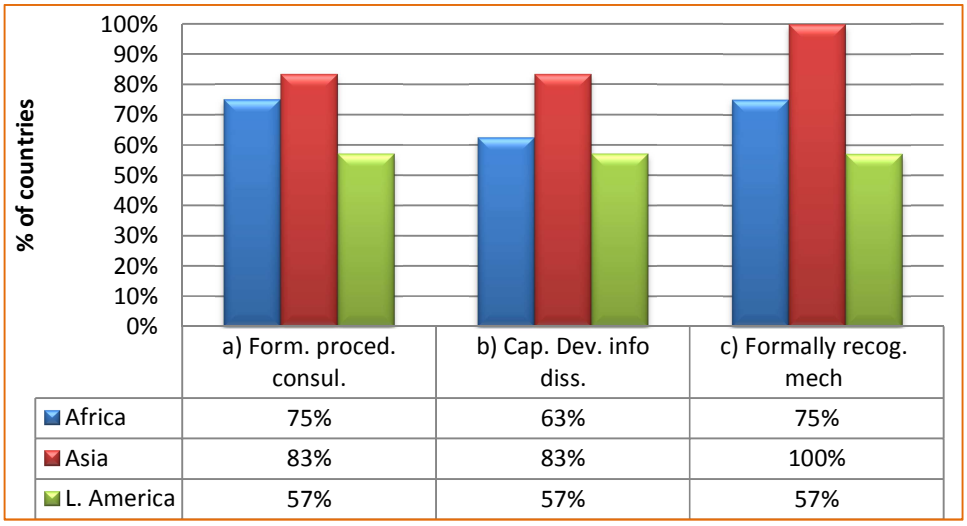


	a) Design test implem.	b) Instit. Fram. for BSS	c) Nat. cap. to obs. Fiduc.	d) Ident. and use of exp.
Africa	88%	88%	88%	75%
Asia	100%	100%	100%	83%
L. America	57%	71%	57%	71%

iii. Consultation and participation process

Under consultation and participation processes, Asia had the most needs, followed by Africa and Latin America and the Caribbean. All the Asian countries required support in formally recognized mechanisms for conflict resolutions, while 5 out of the 6 required support in formal procedures for consultation and capacity development for information supply. At least 60 percent of the African countries required support in all the elements under this sub-component. Most of the Latin American and Caribbean countries (57 percent) also required support in these elements.

Figure 11. Needs in REDD+ by region (sub-component: consultation and participation process)



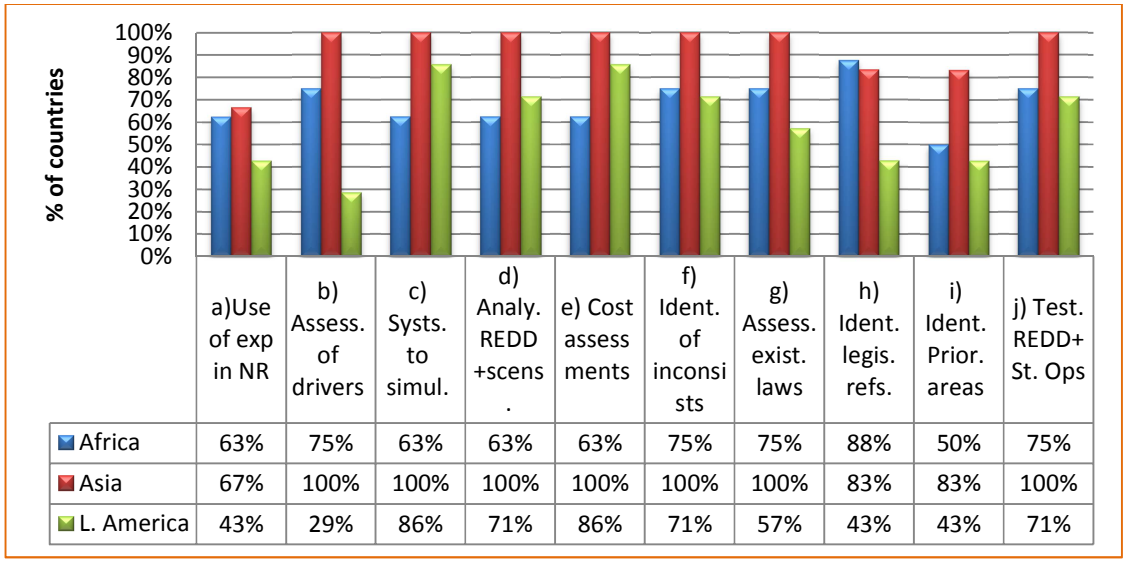
	a) Form. proced. consul.	b) Cap. Dev. info diss.	c) Formally recog. mech
Africa	75%	63%	75%
Asia	83%	83%	100%
L. America	57%	57%	57%

b. REDD+ Strategy Development

i. REDD+ Strategy development and options

The Asian countries had the most needs in majority of the elements under this sub-component. All of them required support in assessment of drivers of land-use change, systems to stimulate and monitor impacts, analyses of REDD+ scenarios, cost assessment, identification of major inconsistencies, assessment of existing laws and test specific REDD+ strategy options. Asia also had the most need in use of experiences in Natural Resources management (67 percent) and identification of priority areas for pilots (83percent). Africa had the most need in identification of legislative reforms. Except for identification of priority areas for pilot projects where only 40 percent of countries required support, over 60percent of African countries required support in all the elements. The majority (over 50percent) of Latin American and Caribbean countries required support in systems to stimulate and monitor impacts, analyses of REDD+ scenarios, cost assessment, identification of major inconsistencies, assessment of existing laws and test specific REDD+ strategy options. Only three out of ten Latin American and Caribbean countries required support in the rest of the elements.

Figure 12. Needs in REDD+ by region (sub-component: REDD+ strategy development and options)

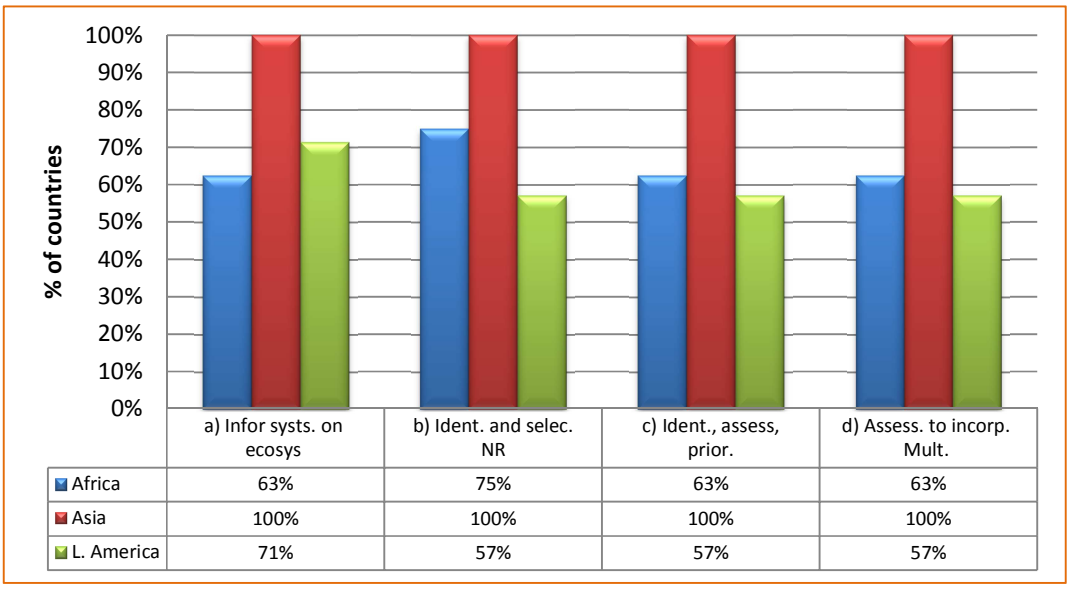


	a)Use of exp in NR	b) Assess. of drivers	c) Systs. to simul.	d) Analy. REDD +scens.	e) Cost assessments	f) Ident. of inconsists	g) Assess. exist. laws	h) Ident. legis. refs.	i) Ident. Prior. areas	j) Test. REDD+ St. Ops
Africa	63%	75%	63%	63%	63%	75%	75%	88%	50%	75%
Asia	67%	100%	100%	100%	100%	100%	100%	83%	83%	100%
L. America	43%	29%	86%	71%	86%	71%	57%	43%	43%	71%

ii. Multiple benefits of REDD+

Again Asia had the most need under this sub-component. All the Asian countries required support in all the elements. At least five African countries (i.e. at least 60 percent) required support in each of the elements under this sub-component. A considerable number of Latin American and Caribbean countries also required support in each of the elements under this sub-component, with five out of seven Latin American and Caribbean countries requiring support in information systems for multiple ecosystem benefits, while four of the countries required support in the other elements.

Figure 13. Needs in REDD+ by region (sub-component: REDD+ strategy development and options)

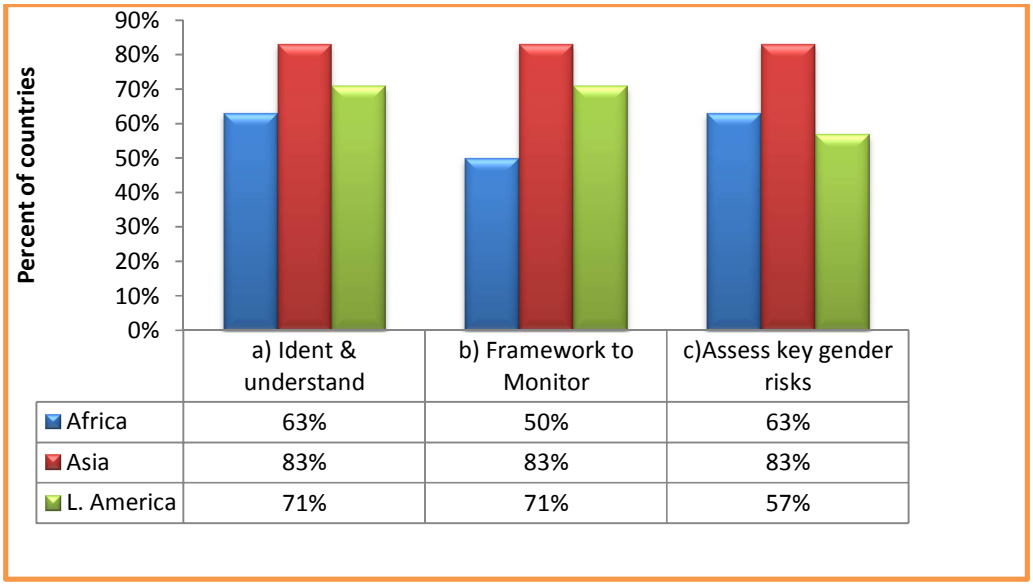


	a) Infor systs. on ecosys	b) Ident. and selec. NR	c) Ident., assess, prior.	d) Assess. to incorp. Mult.
Africa	63%	75%	63%	63%
Asia	100%	100%	100%	100%
L. America	71%	57%	57%	57%

c. Social and Environmental Safeguards

The Asian had the most needs in all the elements under this component, with 83 percent (five out of six countries) requiring support in each of the elements under this component. Five out of the seven Latin American and Caribbean countries (71 percent) required support in identification and understanding of risks and frameworks to monitor and manage risks. Only four of the Latin American and Caribbean countries required support in assessment of key gender-based risks and benefits. Five of the eight African countries (63 percent) required support in identification and understanding of risks and assessment of key gender-based risks and benefits and only half (four countries) required support in frameworks to monitor and manage risks.

Figure 14. Needs in REDD+ countries by region (sub-component: social and environmental safeguards)

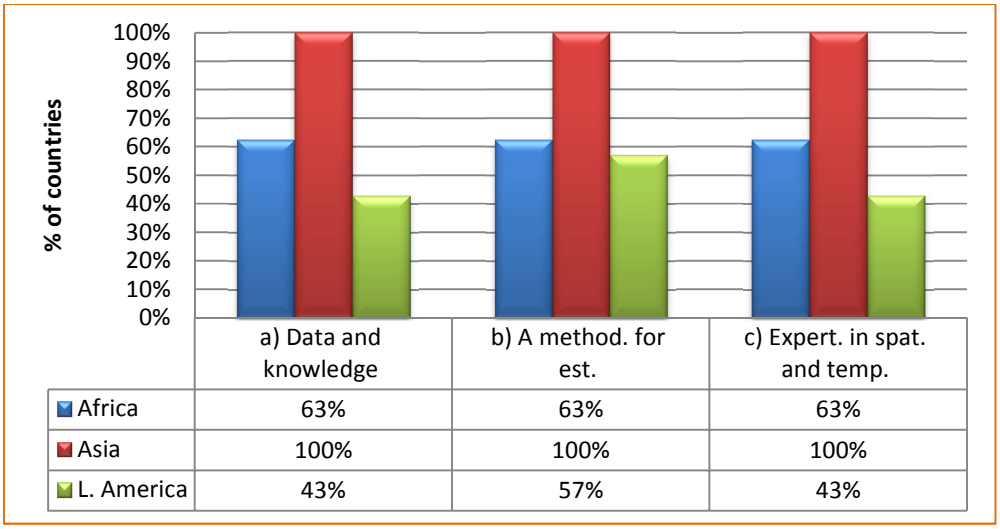


	a) Ident & understand	b) Framework to Monitor	c)Assess key gender risks
Africa	63%	50%	63%
Asia	83%	83%	83%
L. America	71%	71%	57%

d. Reference levels

Asia had the most needs in all the elements under this component with all the countries requiring support in each of the sub-elements. Five out of the eight African countries (63 percent) required support in each of the elements under this section. Except for methods for estimating historic emissions where 57 percent (four out of seven) of the Latin American and Caribbean countries required support, only three of the seven countries (43 percent) required support in data and knowledge on deforestation and forest degradation and expertise in spatial and temporal modelling.

Figure 15. Needs in REDD+ by region (sub-component: reference scenario)



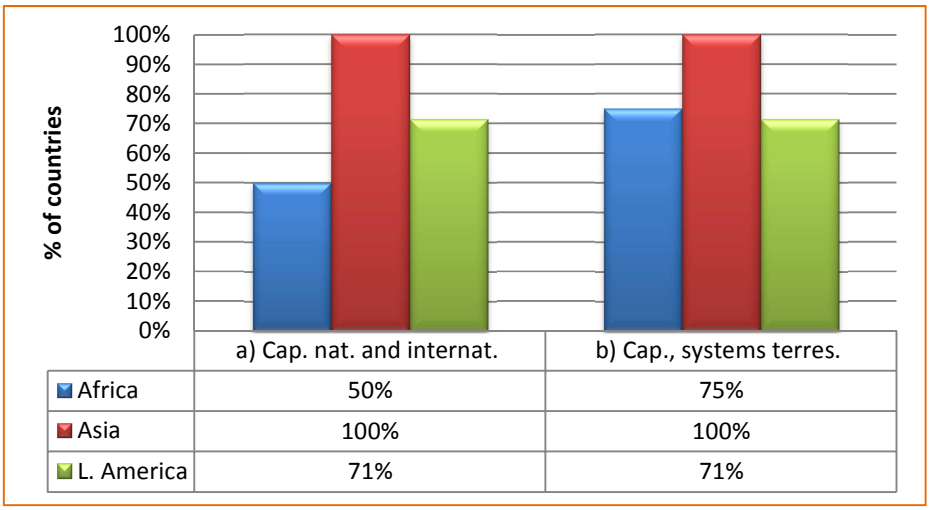
	a) Data and knowledge	b) A method. for est.	c) Expert. in spat. and temp.
Africa	63%	63%	63%
Asia	100%	100%	100%
L. America	43%	57%	43%

a. National monitoring systems

i. National monitoring frameworks and capacities

All the Asian countries required support in each element under this sub-component. Of the Latin American and Caribbean countries, 71 percent (five of seven) required support in each of the elements. Six out of the eight African countries required support in capacity to estimate terrestrial carbon while half required support in capacity for national and international reporting.

Figure 16. Needs in REDD+ by region (sub-component: national monitoring frameworks and capacities)

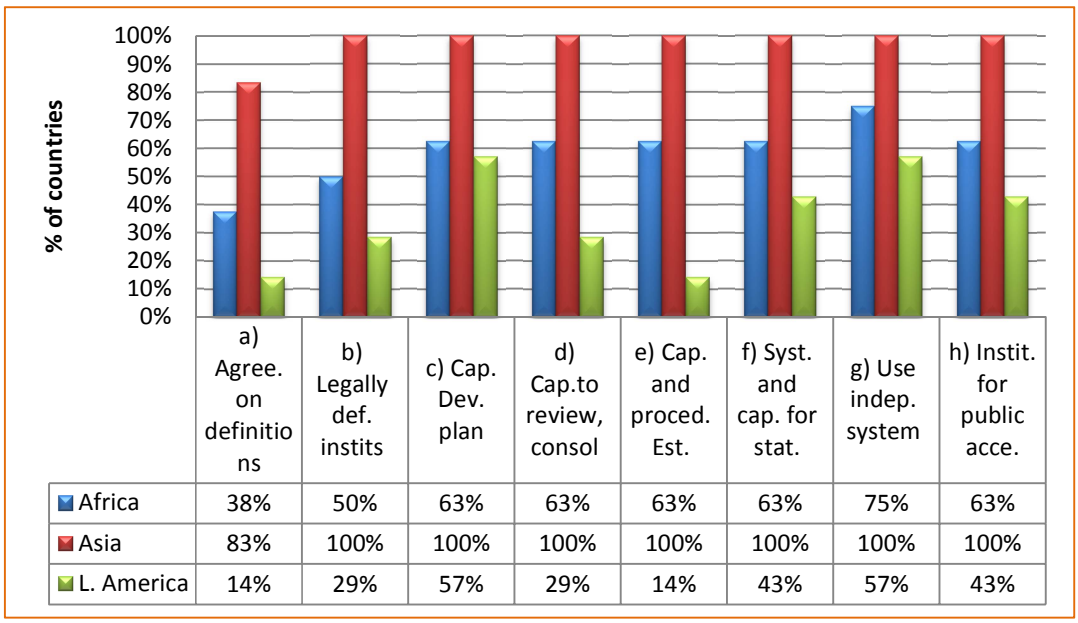


	a) Cap. nat. and internat.	b) Cap., systems terres.
Africa	50%	75%
Asia	100%	100%
L. America	71%	71%

ii. Design of monitoring system

All the seven Asian countries (100 percent) required support in all the elements under this sub-component except for agreement on definition and references where five countries required support. Over half of the African countries required support in legally defined institutional arrangements, capacity development for data collection, capacity to review and integrate data, capacity and procedures to estimate carbon stocks, systems and capacity for statistical analysis, use of independent verification systems and institutions for public accessibility of data. Less than 30 percent (one to two) of the Latin American and Caribbean countries required support in agreement on definition and references, legally defined institutional arrangements, capacity to review and integrate data in capacity and procedures to estimate carbon stocks. Only three of the Latin American and Caribbean countries required support in systems and capacity for statistical analysis and institutions for public accessibility of data, while slightly over half required support in capacity development for data collection and use of independent verification systems.

Figure 17. Needs in REDD+ by region (sub-component: design of monitoring systems)



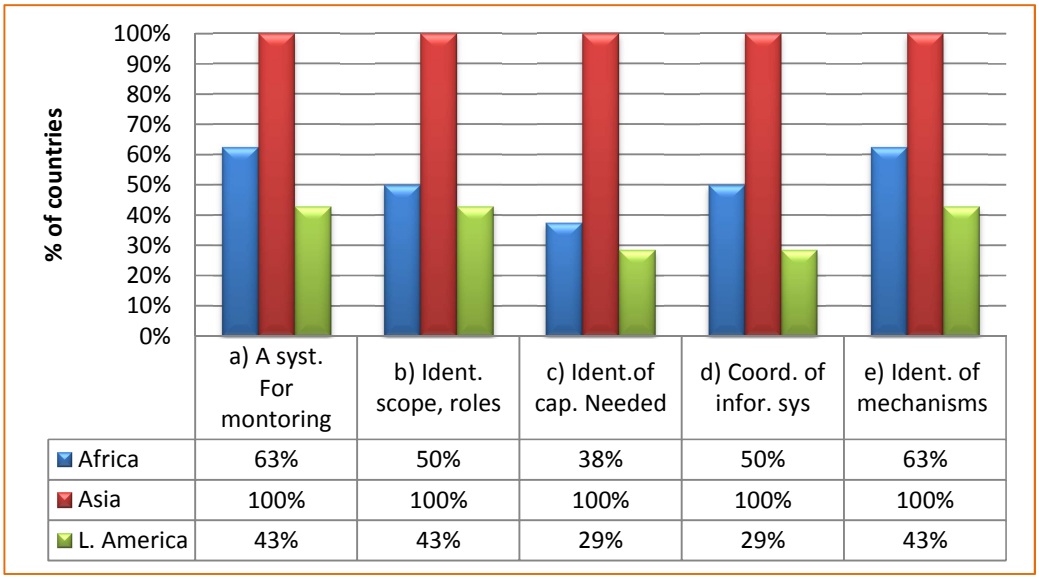
	a) Agree. on definitions	b) Legally def. instits	c) Cap. Dev. plan	d) Cap.to review, consol	e) Cap. and proced. Est.	f) Syst. and cap. for stat.	g) Use indep. system	h) Instit. for public acce.
Africa	38%	50%	63%	63%	63%	63%	75%	63%
Asia	83%	100%	100%	100%	100%	100%	100%	100%
L. America	14%	29%	57%	29%	14%	43%	57%	43%

iii. Design an information system on multiple benefits and other impacts

As with national monitoring frameworks and capacities, requirement for support in each of the elements under this sub-component was dominant in Asia where all countries required support in each element. Of the African countries, 63 percent (five out of eight) required support in systems for monitoring safeguards and identification mechanisms for independent mechanism. Half of the African

countries required support in identifying scope and roles of stakeholders and coordination of information systems and a minority (38 percent, or three countries) required support in identification of capacity needs. Less than half (43 percent and below) of the Latin American and Caribbean countries required support in each of the elements under this sub-component.

Figure 18. Needs in REDD+ by region (sub-component: design an information system on multiple benefits and other impacts)

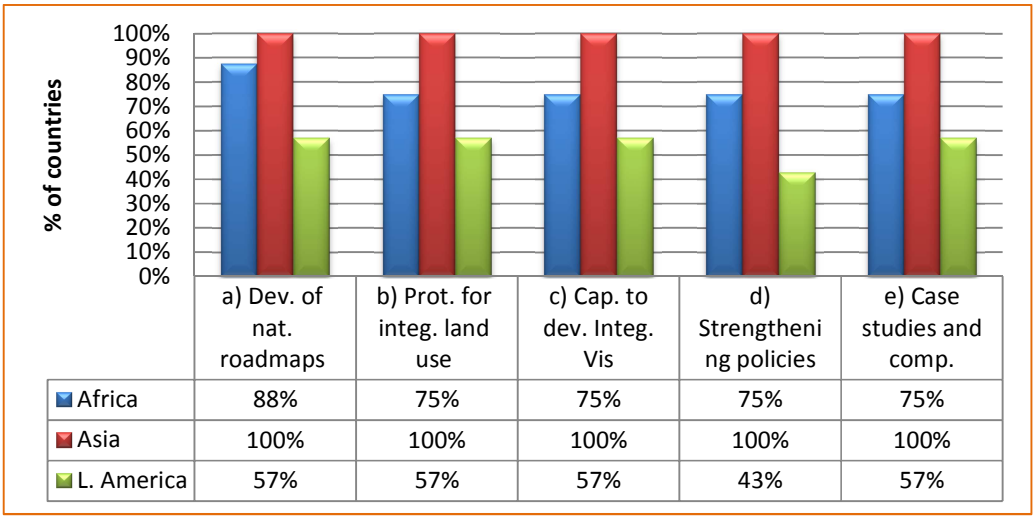


	a) A syst. For montoring	b) Ident. scope, roles	c) Ident.of cap. Needed	d) Coord. of infor. sys	e) Ident. of mechanisms
Africa	63%	50%	38%	50%	63%
Asia	100%	100%	100%	100%	100%
L. America	43%	43%	29%	29%	43%

b. Transition towards a Green Economy

As with the previous sub-component, all of the Asian countries required support in each of the elements under this component. They were followed by Africa where seven out of eight countries required support in development of national roadmaps while six required support in each of the remaining elements. Slightly over half (57 percent or four countries) of the Latin American and Caribbean countries required support in development of national roadmaps, protocols for integrated land use planning, capacity for integrated visions and case studies and comparisons. Only three Latin American and Caribbean countries required support in strengthening pro-poor policies.

Figure 19. Needs in REDD+ by region (sub-component: transition towards green economy)



	a) Dev. of nat. roadmaps	b) Prot. for integ. land use	c) Cap. to dev. Integ. Vis	d) Strengthening policies	e) Case studies and comp.
Africa	88%	75%	75%	75%	75%
Asia	100%	100%	100%	100%	100%
L. America	57%	57%	57%	43%	57%

Overall, most of the countries required support in all the components except the fifth component (national monitoring systems).

4.2.2. Degree of urgency associated with needs

In general, Africa and Asia had the highest proportion of very urgent needs when compared with Latin American and Caribbean and this trend held across all components. Overall, the following components were rated high among all countries:

- Governance issues, particularly institutional coordination, legal framework and benefit sharing;
- REDD+ strategy development, particularly work on drivers and strategy and impact monitoring;
- Social and environmental safeguards were considered very urgent in all three regions;
- Reference level, support was needed urgently in Africa and Asia.

4.2.3. Type of support

Three types of support (financial, technical and administrative) were presented to countries. Overall, the majority (50–88 percent) preferred technical then financial support. Financial then technical support was particularly preferred in Africa and Asia, where at least 50 percent of the countries noted that they required either support across all elements. This is unlike Latin America and the Caribbean where, for certain elements, as few as one country noted that they would prefer either type of support.

Administrative support was not popular with countries in all regions, as less than 50 percent said that they would prefer it. Exceptions were noted for the element effective mechanisms for coordination across ministries (component 1, sub-component 1.1) and the element case studies and comparison with probable impacts (component 6), for which 57 percent of the Latin American and Caribbean countries noted that they would need support.

The governance components that were considered particularly relevant by countries were:

- Effective institutions and benefit sharing;
- REDD+ strategy development;
- Safeguards;
- Reference levels and MRV.

4.2.3.1. Preferred method of delivery for technical support

The types of support were cross-tabulated with the preferred method of delivery (i.e. whether through specific expertise, direct funding, guidelines and or workshops). Since administrative support was not a major preference across the regions, only the preferred method of delivery for financial and technical support is presented in this section. Table 6 presents the methods of delivery for technical support.

In Asia, at least three countries responded that technical support should be delivered through specific expertise except for the element frameworks to monitor and manage risks (sub-component 3.1.b), where only two countries wanted technical support to be delivered through specific expertise. Similarly, save for the element identification of legislative reforms (sub-component 2.2.h), where only two countries wanted technical support to be delivered through direct funding, at least three countries wanted technical support to be delivered through direct funding. Similarly, guidelines were a method of delivery of technical support for at least three countries, except for sub-components 3.1.b and 5.3.b–d. Workshops were a preferred method of delivery of technical support for all elements except sub-components 5.3.a–d. A considerable number of countries (five) wanted technical support under Reference scenario to be delivered through specific expertise and workshops.

Table 6. Preferred method of delivery for technical support in Asia

Component	Specific expertise	Direct Funding	Guidelines	Workshops
Governance	3–5	3–4	3–4	3–5
REDD+ Strategy	3–5	1–5	3–5	3–5
Safeguards	2–4	3–5	2–4	3–5
Reference Scenario	5	4–5	4–5	5
MRV	3–4	3–4	2–3	2–3
Transition to a Green Economy	3–4	3–5	3–4	3–4

In Africa, between one and four countries out of eight wanted technical support to be delivered through specific expertise, between one and six wanted technical support to be delivered through direct funding and guidelines, while from two to six countries wanted it delivered through workshops. Under the component of Governance, between one and four countries in Africa wanted technical support to be delivered through specific expertise. Table 7 summarizes the method of delivery of technical support by component. It shows that in Africa, five countries wanted technical support in MRV systems to be

delivered through direct funding and a high number of countries (four to six) wanted technical support under the component Reference Scenario to be delivered through workshops.

Table 7. Preferred method of delivery for technical support in Africa

Component	Specific expertise	Direct Funding	Guidelines	Workshops
Governance	1–4	1–6	1–4	2–5
REDD+ Strategy	3–5	2–6	1–6	2–5
Safeguards	3	3–4	3–5	3–5
Reference Scenario	3–4	5	3–5	4–6
MRV	1–4	1–6	1–5	2–6
Transition to a Green Economy	2–4	2–5	2–4	4–5

In Latin America and the Caribbean, between zero and four countries wanted technical support to be delivered through specific expertise, guidelines and workshops and zero to three countries wanted technical support to be delivered through direct funding. Under some elements, none of the Latin American and Caribbean countries wanted technical support to be delivered through specific expertise, direct funding and guidelines across the six components, though some wanted it through workshops.

Table 8. Preferred method of delivery for technical support in Latin America and the Caribbean

Component	Specific expertise	Direct Funding	Guidelines	Workshops
Governance	0–4	0–2	0–4	1–3
REDD+ Strategy	2–4	0–2	1–4	1–4
Safeguards	1–4	0–2	1–4	1–2
Reference Scenario	2–3	0–2	1–2	1–2
MRV	0–3	0–3	0–4	1–4
Transition to a Green Economy	2–4	1–2	1–4	1–2

4.2.3.2. Preferred method of delivery for financial support

Table 9summarizes the method of delivery of financial support by component. It shows that for Africa, five countries wanted financial support in Reference Scenarios to be delivered through direct funding. A high number of Africa countries (four to six) wanted financial support in Reference Scenarios and Safeguards to be delivered through workshops.

Table 9. Preferred method of delivery for financial support in Africa

Component	Specific expertise	Direct Funding	Guidelines	Workshops
Governance	1–4	1–6	1–4	2–4
REDD+ Strategy	1–5	2–7	1–6	2–6
Safeguards	2–4	2–4	4	4–6
Reference Scenario	3–4	5	3–4	4–6
MRV	1–4	3–7	1–4	2–5
Transition to a Green Economy	2–4	4–6	3–4	4–5

On average, most of the Asian countries wanted financial support for Reference Scenarios and Transition to a Green Economy to be delivered through specific expertise and workshops (table 10).

Table 10. Preferred method of delivery for financial support in Asia

Component	Specific expertise	Direct Funding	Guidelines	Workshops
Governance	3–5	3–4	2–4	2–5
REDD+ Strategy	3–5	1–5	3–5	3–5
Safeguards	2–4	3–5	2–4	3–5
Reference Scenario	4–5	3–5	4	4–5
MRV	3–4	3–4	2–4	2–3
Transition to Green Economy	4–5	4–5	4	4–5

In Latin America and the Caribbean, the number of countries requiring financial support ranged from zero to four across all components (table 11). The exception was Social and Environmental Safeguards, where some countries responded that they would want financial support to be delivered through specific expertise (two to five countries), direct funding (two to three), guidelines (two to three), and workshops (one to four).

Table 11. Preferred method of delivery for financial support in Latin America and the Caribbean

Component	Specific expertise	Direct Funding	Guidelines	Workshops
Governance	0 – 3	0 – 3	0 – 3	1 – 4
REDD+ Strategy	1 – 3	1 – 3	0 – 4	1 – 4
Safeguards	2 – 5	2 – 3	2 – 3	1 – 4
Reference Scenario	2 – 3	1 – 3	0 – 2	0 – 1
MRV	0 – 4	0 – 4	0 – 3	0 – 4
Transition to Green Economy	0 – 2	0 – 1	0 – 1	0 – 2

5. Regional needs assessment findings

In the three regional needs assessments developed, the analyses have been organized according to four main components: i) Organization and Consultation; ii) REDD+ Strategy; iii) Reference Level; and iv) Monitoring Systems. In some countries, mainly those that work under the FCPF, an additional component related to Programme Management was considered. These components, considered in this first phase of desk assessment, are the same as those considered in later phases.

Table 12. Comparisons of the structure of the assessment matrix with components in the desk assessment

Proposed Response Matrix	Desk Assessment
1. National REDD+ Governance	1. Organization and consultation
2. REDD+ strategy or action plan	2. REDD+ Strategy
3. Social and Environmental Safeguards	
4. Forest reference emission level and/or forest reference levels	3. Reference Level
5. Systems for National Forest Monitoring and Information on Safeguards	4. Monitoring System
6.Transition to a development framework with REDD+ (green economy)	

The Organization and Consultation component includes the National Readiness Management Arrangements, which consist of managing and coordinating the REDD+ readiness activities while mainstreaming REDD+ into broader strategies such as national low-carbon strategies and national development plans. The component also includes Information Sharing and Early Dialogue with Key Stakeholder Groups and Consultation and Participation Process.

The second component, REDD+ strategy, includes Assessment of Land Use, Land-Use Change Drivers, Forest Law, Policy and Governance activities and the development of a set of policies and programmes for addressing the identified drivers of deforestation and/or forest degradation. This component also includes the REDD+ Implementation Framework and Social and Environmental Impacts during Readiness Preparation and REDD+ Implementation.

The Reference Level component includes all the technical actions implemented to develop the emissions baseline, such as reviewing historical data available on drivers of deforestation and/or degradation and other REDD+ activities, and the gaps that need to be filled to estimate past and recent land-use change

and GHG emissions/removals from deforestation and/or forest degradation and any other REDD+ activities. It also includes assessment of national forest and other key land-use data availability and any gaps in data and capacity, including forest inventory data and its potential use for carbon density estimation, remote sensing data and interpretation.

The Monitoring System component mainly consists of the development of a national monitoring system and designing an Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards. This component should include early ideas on how to include whatever non-carbon aspects a country defines as its priorities in its monitoring system.

With regard to the transition to a development framework with REDD+ (green economy) component, this analysis provides information on the extent to which countries are including REDD+ as part of their development frameworks, how integrated REDD+ is with other national strategies and what the potential needs arising from this process are.

5.1. Needs assessment of Africa

5.1.1. Introduction

The forests of Africa are spread across sub-Saharan regions of the continent in broad ecoregions termed: i) tropical moist (rain) forests; ii) woodlands and savannahs; and iii) the Sahel. The woodlands and savannahs are further subdivided into bio-geographical zones or domains, namely the Zambezian (Miombo), Sudanian, and semi-arid woodlands. The total forest cover in Africa is an estimated 650 million hectares, which constitutes 16.8percent of global forest cover. The classification of forested or wooded ecoregions in sub-Saharan Africa cited here is largely based on the floristic regions recognized and described by White (1983). Mean annual rainfall in ecoregions in sub-Saharan Africa ranges from 100–400mm per year in the Sahel to over 1600mm per year in the tropical moist forests, with the dry forests and woodlands receiving between 400mm and 1600mm per year. Tropical moist forests occur at low altitudes under rainfall regimes of over 1600mm per year. These forests cover an extensive area that covers West and Central Africa, and occur in 14 countries in the West African sub-region and Central African sub-regions (table 11). At higher altitudes of above 900m, low land moist forests give way to Afromontane broadleaf forests that have a discontinuous distribution from West Africa and the Sudan in the north through east in the Albertine Rift and Eastern Arc Mountains in Tanzania, to southern Africa where they are confined to highlands.

In all its ecological variations, the combined losses of forest cover between 1990–2000 in Africa was about 56percent of the global total and, of that, 44 percent was shared between the Democratic Republic of the Congo, Sudan and Zambia (FAO, 2003). In much of the continent, the drivers of deforestation and forest degradation are mainly agricultural expansion, wood energy harvesting, overgrazing and, more recently, mining including of oil and gas. Africa accounts for approximately 14 percent of the global population and contributes roughly that proportion to global soil and biomass carbon stocks. By contrast, the continent emits only 3 percent of global fossil fuel carbon, and 5.3percent of global GHGs from all non-land use sectors. Africa's legacy of historic carbon emissions

from deforestation amounts to merely 10percent of the global total (Houghton, 2003; Williams et al., 2007). However because of widespread biomass fires and other land uses, emissions of carbon and other GHGs as a fraction of the global total are over-proportionally high at about 35 percent. Land-use emissions also dominate the continent's GHG emissions. Compared to Africa's share of people and land area, the continent's GHG fluxes from deforestation and its pyrogenic emissions of trace gases, aerosols and black carbon from forests and savannahs add to the continent's own and global emissions (Williams et al., 2007). Investments in conserving and managing Africa's forests sustainably, adequately managing fires, and tackling proximate and underlying causes in adjacent sectors, particularly agriculture, energy and infrastructure, promise to contribute pre-eminently to curbing global climate change.

Although the REDD+ initiative can offer opportunities for the rural poor, it can also affect people directly as they depend on forests for their daily livelihoods. This is the reason why addressing the challenges and prospects of REDD+ in tropical countries, especially African countries, is of great interest. Literature shows that the potential for significant emission reductions in the forest sector is highest in tropical Latin America and tropical Africa. For instance, in Africa, forest covers 67 percent of the Democratic Republic of the Congo with an estimated area of 145 million hectares, of which 101 million are dense humid forests (Challenges and Prospects for REDD+ in Africa: Desk Review of REDD+ Implementation in Africa, 2012).

In Africa, 19 countries are partners of the UN-REDD Programme, FCPF and/or FIP. The FCPF has signed agreements with 10 of these countries (Cameroon, the Democratic Republic of the Congo, Ghana, Ethiopia, Gabon, Kenya, Liberia, Mozambique, the Republic of the Congo, and Uganda) to provide Formulation Grants of US$ 200,000 for the preparation of their REDD+ R-PPs. Ghana, Democratic Republic of the Congo, and the Republic of Congo have further received preparation grants to enhance their readiness. Under the UN-REDD Programme, the Democratic Republic of the Congo, Tanzania and Zambia have received funding for their National Programmes (UN-REDD Programme Partner Countries "at a glance", updated March 2012; FCPF DASHBOARD, updated29 June 2012).

The African region provides interesting cases for REDD+ readiness; the Democratic Republic of the Congo has engaged in the readiness process and continues steadily with available funding and technical support. It also presents a good example of a post conflict country that has to face development challenges, including climate change adaption and mitigation opportunities such as REDD+.

In general, and as part of the introduction to this desk assessment, the following list outlines some of the actions that must be carried out in African countries in order to implement REDD+. These actions were identified in the study Challenges and Prospects for REDD+ in Africa: Desk Review of REDD+ Implementation in Africa (2012):

- Meaningful participation in global climate policy processes. Most African country delegations to UNFCC post-2012 negotiations are small, under-represented in the various technical aspects of the negotiation processes and often lack in well articulated and coordinated positions;
- There is inadequate information on forest resources available in the public domain and the sector is highly dynamic;

- The African sociopolitical context constitutes a serious dilemma for implementation of REDD+. The REDD+ mechanism provisions and related literature contain some recommendations that can be incompatible with the prevailing social and political organization within some African communities. Examples are western notions of property rights, particularly with respect to land tenure;
- REDD+ requires new levels of forest governance, reframing forest policy in the context of climate change and capacity-building for MRV;
- Effective coordination among national agencies, programmes and donors is vital.

5.1.2. REDD+ Contexts in the African region

Table 13. Situation of the countries in Africa

	No. of countries	CAR	DRC	Ethiopia	Ghana	Kenya	Liberia	Madagascar	Mozambique	Rep. of Congo	Tanzania	Uganda	Zambia	Benin	Cameroon	Ivory Coast	Gabon	Nigeria	South Sudan	Sudan
FCPF																				
Countries selected	13	■	■	■	■	■	■	■	■	■	■	■			■		■			
Participation agreement signed	13	■	■	■	■	■	■	■	■	■	■	■			■		■			
R-PP Informal Presentation	9	■		■	■	■	■	■	■		■	■								
R-PP assessed by the PC	10	■	■	■	■	■	■		■	■	■	■								
R-PP Formulation Grant (US$200m) signed	10		■	■	■	■	■		■	■		■			■		■			
US$3.4–3.6m grants signed	3		■		■					■										
UN-REDD Programme																				
Participant countries	15	■	■	■	■	■				■	■		■	■	■	■	■	■	■	■
Observer countries	10	■		■	■	■								■	■	■	■		■	■
Members countries	5		■							■	■		■					■		
PN Signed	3		■								■		■							

PN in implementation	3																			
FIP																				
Pilot Countries	2																			

Source: UN-REDD Programme Partner Countries "at a glance", Updated March 2012; FCPF DASHBOARD Updated 29 June 2012

5.1.3. Financial aspects of REDD+ in the African region

The total necessary finance for the 12 countries considered in the R-PPs and NPDs is approximately US$130 million, generally for a period of two to three years (table 14). The allocation of funding so far for the region is about US$84 million, of which 23 percent is covered by FCPF, 14 percent by the UN-REDD Programme, 4 percent by local governments and approximately 25 percent by other agencies such as the International Tropical Timber Organization (ITTO) programme on reducing deforestation and enhancing environmental services in tropical forests (REDDES), the Nordic Climate Facility (NCF), French Development Agency, Japan International Cooperation Agency (JICA), Norway-Tanzania Climate Change Partnership, Clinton Climate Initiative (CCI), among others (R-PPs and NPDs).

Table 14. Financial aspects of REDD+ in the African region

Countries	Total necessary finance (US$; million)	FUNDING SOURCES (US$; million)								Total funding secured (US$; million)	% secured financing with respect to necessary finance
		FCPF		UN- REDD		Government		Others			
CAR	6,669	3,600	54%			200	3%			3,800	57%
DRC	22,717	3,400	15%	7,383	32%		0%	600(a)	3%	11,383	50%
Ethiopia	14,115	3,400	24%	3,630	26%	1,175	8%	5,910(b)	42%	14,115	100%
Ghana	7,334	3,600	49%		0%	1,705	23%	2,009	27%	7,314	100%
Kenya	9,702	3,400	35%		0%		0%		0%	3,400	35%
Liberia	7,730	3,400	44%		0%	320	4%	2,890	37%	6,610	86%
Madagascar	5,553		0%		0%		0%		0%	0	0%
Mozam-bique	18,143	1,761	10%		0%	54	0%	12,261(c)	68%	14,076	78%
Republic of the Congo	17,654	3,400	19%	4,000	23%	600	3%		0%	8,000	45%
Tanzania	10,101		0%	4,280	42%	621	6%	7,123(d)	71%	12,024	119%
Uganda	5,181	3,375	65%		0%	199	4%	1,607	31%	5,181	100%
Zambia	4,490		0%	4,490	100%		0%		0%	4,490	100%
Total	129,389	29,336	23%	23,783	18%	4,874	4%	32,400	25%	90,393	70%

Source: R-PPs of Central African Republic, Democratic Republic of the Congo, Ethiopia, Ghana, Kenya, Liberia, Madagascar, Mozambique, Republic of the Congo and Uganda; NPDs of Tanzania and Zambia
(a) ITTO/REDDES

(b) NCF and French Development Agency
(c) Government of Japan; JICA; Government of Norway;
(d) Norway-Tanzania Climate Change Partnership; CCI; National Forestry Resources Monitoring and Assessment (NAFORMA)

Of the total financing in Africa, 70 percent of the finance requested is currently covered. In countries such as Ethiopia, Ghana, Tanzania, Uganda and Zambia, the financial resources requested are 100 percent covered; however, in Kenya, Madagascar and Republic of Congo, more than 50 percent of the required amounts still need to be covered, according to the R-PPs and NDPs of the countries.

With regard to the US$200,000 facility per country that the FCPF has made available for the preparation of R-PPs, in some cases, such as the Democratic Republic of the Congo, this was not enough, given that the estimated real cost for preparing the final approved document was between US$800,000 and US$2 million. Evidently, the resources provided for this phase of planning and preparing the R-PP document was not sufficient; to produce the final document significant levels of co-financing were needed. This must be considered when facing the challenges encountered when trying to achieve an extensive consultation in a country like the Democratic Republic of the Congo, as costs are guaranteed to be higher than in other smaller states that have better communication infrastructure and levels of development in general. The total budget projected in the R-PP for REDD+ preparation was estimated at US$22.7 million (Figure 21). It is anticipated that this amount will be financed from several bilateral and multilateral sources. The funds available for the Democratic Republic of the Congo within the FCPF have been agreed at a maximum budget of US$3.4 million, representing 15 percent of the total budget. The UN-REDD Programme will contribute to the process with an additional amount of US$5.5 million. As a result, the funds provided jointly between the FCPF and the UN-REDD Programme represent only a part of the total budget estimated for the preparation, and alternative co-financing sources will be needed to cover the current gap (First Programme Evaluation for the Forest Carbon Partnership Facility (FCPF, 2011)).

5.1.4. Budget expenditure

Table 15. Cumulative disbursements/expenditure budget

Countries	FCPF		UN-REDD Programme	TOTAL
	Formulation Grant Disbursements (of US$200,000)	Preparation Grant Disbursements (of US$3.4–3.6 m)	Cumulative expenditure to 31 December 2011	
DRC	191,086	796,882	4,009,433	4,997,401
Ghana	200,000	400,000		600,000
Republic of the Congo	195,362	381,275		576,637
Tanzania			1,106,523	1,106,523
Zambia			550,143	550,143
Ethiopia	200,000			200,000
Kenya	169,299			169,299
Liberia	182,135			182,135
Uganda	165,403			165,403
Total	1,303,285	1,578,157	5,666,099	8,547,541

Sources: National Programmes 2011 Annual Reports: Democratic Republic of the Congo, Tanzania, Zambia; FCPF DASHBOARD (updated 29 June 2012)

Up to June 2012 for FCPF countries and up to December 2011 in countries under the UN-REDD Programme, the total funds disbursed/spent reach US$8,547,541, of which approximately US$1,300,000 (15percent) have been disbursed as the first instalment of the total grant for the preparation of the Readiness Plan. Of that expenditure, 66 percent corresponds to spending carried out within the budgets established in the National Programmes of the Democratic Republic of the Congo, Tanzania and Zambia (71 percent, 20 percent and 10 percent, respectively).

Table 16. Funding necessary, funding secured and expenditure budget in Africa

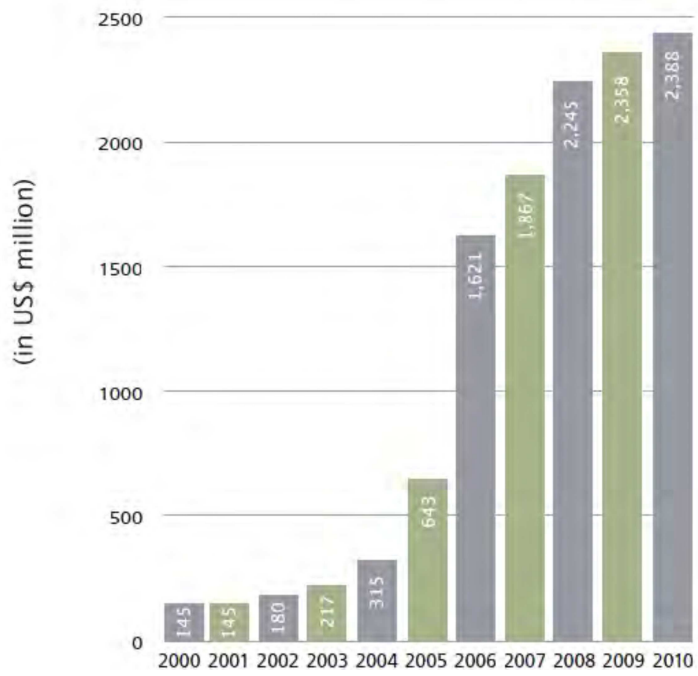
	Total necessary funding (US$; million)	Total funding secured (US$; million)	Expenditure Budget (US$; million)
AFRICA	129.4	90.4	8.5

Source: National Programmes 2011 Annual Reports: DRC, Tanzania, Zambia; FCPF DASHBOARD (updated, 29 June 2012)

5.1.5. Financial mechanisms

The African countries receive financial support from different sources, including multilateral, bilateral, NGOs and others. A key element of discussion is the sustainability of the funding and a long-term financial mechanism. While some specialists suggest an international fund to support reforms and specific measures to tackle deforestation and degradation (Karsenty, 2008), others advocate the two basic approaches to REDD+ financing, which are government funding and market-based instruments (Viana, 2009), or combining both public and private approaches in a 'hybrid approach' (Thies and Czebiniak, 2008). There is a considerable debate over which of these approaches is best, but some countries, such as Brazil which is involved in the FIP, prefer a voluntary fund-based approach rather than a market-based system to prevent deforestation. Carbon markets were worth US$145 million in 2000 and nearly US$2,400 million in 2010 (figure 20).

Figure 20. Evolution of funds available for carbon transaction (World Bank, 2011): growth of carbon funds and facilities at the World Bank



Source: Challenges and Prospects for REDD+ in Africa: Desk Review of REDD+ Implementation in Africa, 2012.

Africa's current share is only 2percent of the market. The challenge is to capture more of these funds as a large part of the avoided deforestation is expected to happen in Africa and that is where challenges that combine mitigation and adaptation are most paramount. It is not easy to identify all of the global

finance sources that are currently working in Africa in absolute terms, given that NGOs are comparatively more involved in financing current REDD+ activities in Africa than in other parts of the world. The success of REDD+ will strongly depend on how benefits can be distributed to forest communities in a just, equitable way. Reports from some countries, for example Cameroon, indicate that there is no empirical field project on REDD+ that has generated the information required to outline a benefit-sharing plan (Challenges and Prospects for REDD+ in Africa: Desk Review of REDD+ Implementation in Africa, 2012).

The costs of conducting carbon stock assessments have traditionally been considered prohibitively high. However, evidence on the continent shows that involvement of local communities in carbon assessments would considerably reduce costs. Reports from ongoing pilot projects in Africa, such as in Tanzania, have shown that assessments of carbon stocks can be made by local communities

In Ghana, for example, there is a long list of funding sources:

- Bilateral and multilateral sources, e.g. Canadian International Development Agency (CIDA), International Development Cooperation for Research (IDCR), Danish International Development Agency (DANIDA), International Finance Corporation (IFC) International Fund for Agricultural Development (IFAD), FAO, UNEP;
- Private sources/foundations, e.g. Gordon & Betty Moore Foundation; funding by NGOs;
- Available carbon markets, e.g. World Bank (Bio-carbon Fund, FCPF). The Strategic Climate Fund (SCF) through the FIP as a window that supports developing countries' REDD+ efforts. It is hoped that FIP will provide up-front bridge financing for readiness reforms and investments for identified projects under national REDD+ readiness. Others including the Green Climate Fund (GCF) are currently being negotiated.

Many projects in the Democratic Republic of the Congo have been funded by various donors, with a range of objectives. The huge amount of money invested may create subsequent assets but could well be a source of competition and also present challenges in their management. Notwithstanding this, another challenge is the problem of accessing these funds. There is the need to build capacity in that respect and for coordination of activities. Funding sources should pay special attention to the possible destination of funds. This means that there will be heavy emphasis on governance and accountability as well as in technical and social transparency across various decision-making levels (Norwegian Agency for Development Cooperation (NORAD), 2011) in REDD+. Also, enabling easy access to available funds may be instrumental in the swift implementation of projects on the ground (Challenges and Prospects for REDD+ in Africa: Desk Review of REDD+ Implementation in Africa, 2012).

5.1.6. Analysis of FCPF R-PPs and UN-REDD Programme NPDs by component

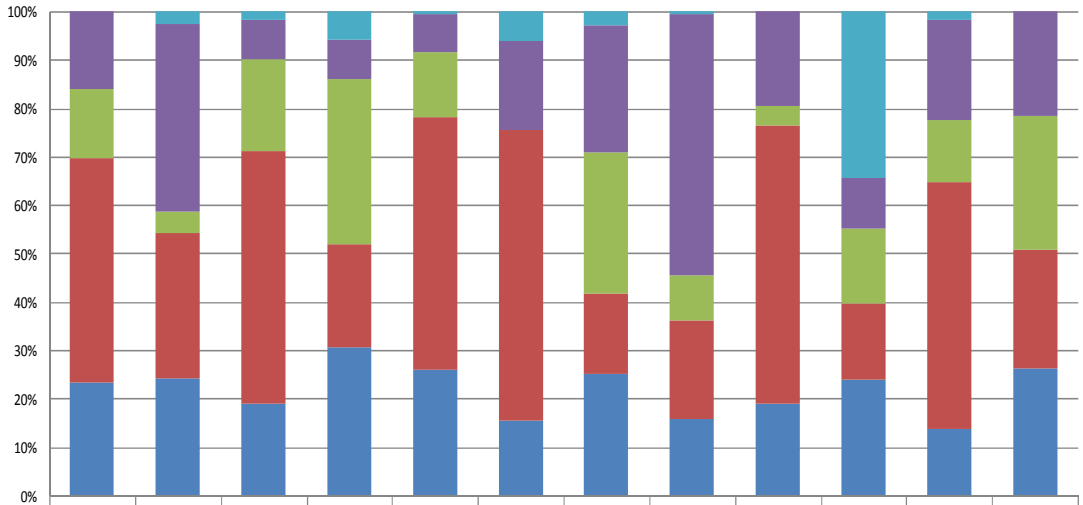
In general, the objectives and strategies within the R-PPs and NPDs in the countries of Africa, as in the rest of the world, are ambitious. They include a wide variety of interventions aimed at building capacities, developing pilot projects on the ground, introducing legal and policy reforms, improving

governance levels, and establishing guidelines and MRV systems. The timescale set out to carry out these activities is three years in the majority of countries.

For example, in the Democratic Republic of the Congo and according to the First Program Evaluation for the FCPF (2011), while many of the stakeholders involved in the development of the R-PP recognize that the plans are ambitious, they also point out the high political expectations and demands that have been required of the National REDD+ Coordination Unit in order to make progress towards REDD+ preparation. As well as the limitations with regard to capacity, there are other factors that may limit the achievement of the aims established in the R-PP, such as:

- The size of the Democratic Republic of the Congo, as well as the limited levels of internal communications and accessibility and issues of security in some parts of the country;
- The strict limitations in governance that are common in the whole country (including in the natural resources sector) and the level of reforms that will be necessary (both to create new laws and to ensure that they are abided by) under REDD+.

Figure 21. Structure of REDD+ budget requirements by component and country in Africa (in thousands of US$)



	CAR	DR Congo	Ethiopia	Ghana	Kenya	Liberia	Madagascar	Mozambique	Republic of Congo	Tanzania	Uganda	Zambia
Programme Management	0	598	230	430	60	280	165	100		3,470	97	
Monitoring System	1,067	8,810	1,170	590	820	845	1,446	9,700	3,398	1,049	1,060	907
Reference Level	945	980	2,670	2,490	1,366	0	1,615	1,698	690	1,555	665	1,150
REDD+ Strategy	3,080	6,749	7,345	1,557	5,358	2,765	920	3,661	9,984	1,575	2,643	1,033
Organize and Consult	1,577	5,580	2,700	2,267	2,697	720	1,408	2,882	3,321	2,452	716	1,107

Source: R-PPs and NPDs.

Table 17.Summary of R-PP and NPD budgets requirements by component (in thousands of US$)

Component	Minimum	Maximum	Average	Total
Organization and Consultation	716	5,580	22%	27,427
REDD+ Strategy	920	9,984	37%	46,670
Reference Level	0	2,670	12%	15,822
Monitoring System	590	9,700	24%	30,861
Programme Management	0	3,740	4%	5,429

Source: R-PPs and NPDs

REDD+ strategy

The component to which the majority of resources have been allocated in the majority of countries in Africa is the REDD+ Strategy component, with 37 percent of the total. In the Republic of the Congo, the needs for this component reach US$9.9 million, which represents more than 55 percent of the costs identified in its budget. In fact, in 6 of the 12 countries analyzed in this sector, the greatest amount assigned in the budget is for the REDD+ Strategy component:

Table 18. Percentage of the budget assigned to REDD+ Strategy component

Countries	% of budget assigned to REDD+ Strategy
CAR	46%
Ethiopia	52%
Kenya	52%
Liberia	60%
Republic of the Congo	57%
Uganda	51%

As part of this component, the development of governance policies and activities requires special attention, although conditions in Africa are similar to other parts of the developing world and are characterized by the absence of clear legal frameworks for managing most of the land-use change pressure on forests. Political and policy contradictions between REDD+ goals and other development aims are also common and in many instances this often results from the fact that, in many countries, the implementation of REDD+ activities is still in the formative stages. For other countries that have agreed to participate in REDD+, either it is still not a priority compared to other strategic development objectives, or the emphasis in national climate change policy leans more towards adaptation rather than mitigation (McKenzie and Childress, 2011).

In Ghana for instance, institutional challenges undermine development goals and policies. For example, the agriculture and mining sector interests are at odds with forestry's interest in REDD+. Thus, the pressure to expand agriculture and mining to earn more foreign exchange promotes 'full sun' cocoa

varieties to obtain higher yields than the traditional 'shade grown' varieties. Together with the extension of mineral extraction into forest reserves, this results in significant deforestation. Mining laws are long in need of review and revision; the key policy document on mining has no clause prohibiting mineral extraction in forest reserves, or congruity with other existing environmental laws. Another example from the energy sector is that the liquefied petroleum gas (LPG) policy in Nigeria, which was originally designed with safeguards to reduce forest destruction, is not producing the desired results due to institutional and policy inefficiencies. A chronic shortage of LPG in both rural and urban areas is producing significant pressure to utilize wood sources for charcoal production as a domestic energy alternative. Other alternatives, such as biogas and solar cooking stoves, are still not being fully exploited and policy safeguards are overlooked because, among other reasons, the national and local institutions have not built the necessary capacity to ensure the implementation of the forest protection components (Challenges and Prospects for REDD+ in Africa: Desk Review of REDD+ Implementation in Africa, 2012).

The broad consensus is that national REDD+ strategies need to be inserted within broader national development strategies because, in most cases, the structure of a national REDD+ strategy would not be inherently different from that of other climate, environmental and development strategies. Hence, REDD+ readiness requires significant cross-sectoral coordination with multiple stakeholders.

Monitoring system

According to the budgets established in the R-PPs and NDPs, the component with the second greatest budget assignment is the Monitoring System component. In Mozambique and the Democratic Republic of the Congo, the budget assigned to this component represents 53percent and 39percent, respectively, of the total budget.

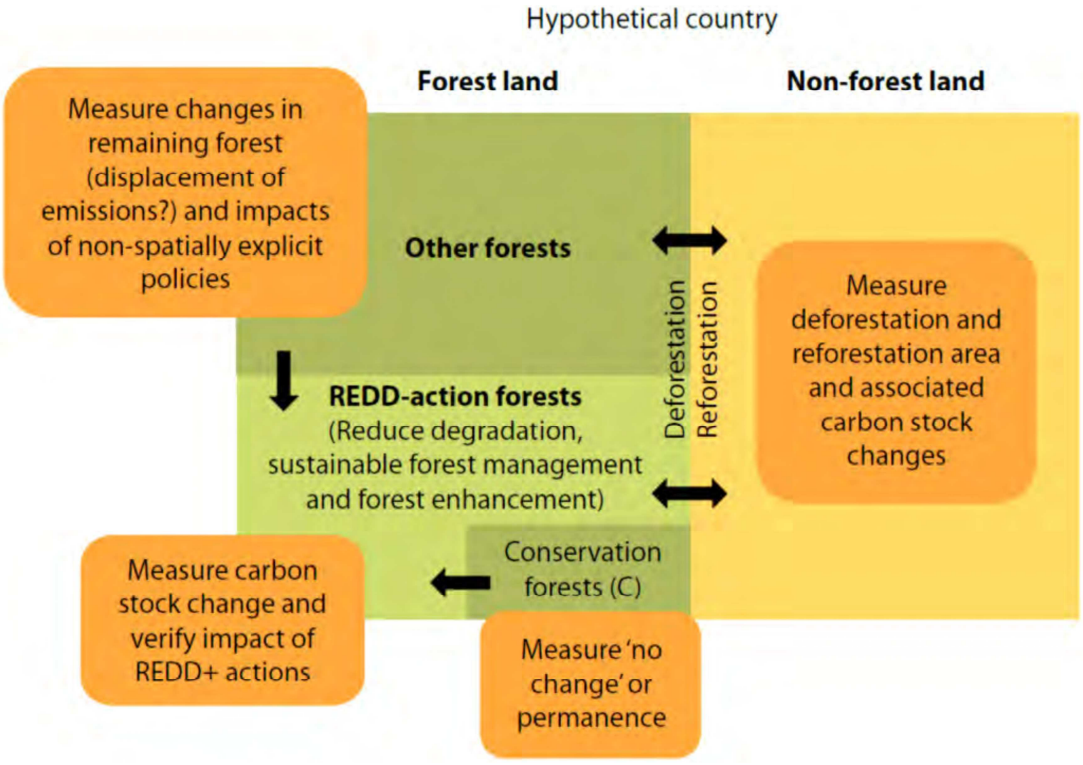
The establishment of effective national systems for MRV deforestation and degradation rates and carbon stock changes is technically possible but will be difficult to implement in Africa. Most countries in Africa do not yet have the technical capacities to implement National Forest Inventory (NFI) systems or the human resources needed to operationalize NFI strategies. To complicate things further, many African countries are being "marketed" by purveyors of MRV systems based either on temperate zone systems or systems derived from carbon cycle science. In the case of the former, the ecology, geography, and a host of other differences prevent the easy transfer of this technology and know-how (Challenges and Prospects for REDD+ in Africa: Desk Review of REDD+ Implementation in Africa, 2012).

According to the above-mentioned desk review, the following list summarizes the main technical challenges:

- Limited experience in estimating and reporting national GHG emissions;
- Carrying out inventories and applying IPCC Good Practice Guidelines;
- Reporting changes in forest carbon stocks as part of a national forest monitoring system;
- Accounting for country differences because of specific challenges for REDD+ implementation that may not be relevant in all countries;

- Capacity-building activities should consider different entry points and aim for a minimum level of monitoring capacity in interested countries within the next few years;
- Monitoring drivers of change resulting in significant emissions from forest degradation and fires, or their soil carbon stocks, which are currently not measured regularly.

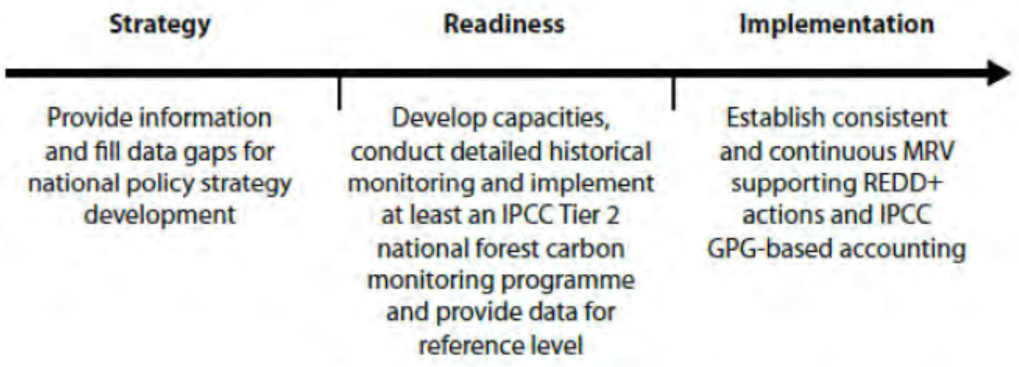
Figure 22. Technical requirements of REDD+ in various conditions (Angelsen, et al, 2009)



Source: Challenges and Prospects for REDD+ in Africa: Desk Review of REDD+ Implementation in Africa, 2012

One component of this overall process is the development and deployment of the REDD+-readiness phase, which is demanding and requires personnel, resources and investments. It also requires several technical outcomes, including an NFI for carbon, improved data (at least to IPCC Tier 2) and MRV tools (figure 23).

Figure 23. Steps in the REDD+ process (Angelsen, et al. 2009)



Source: Challenges and Prospects for REDD+ in Africa: Desk Review of REDD+ Implementation in Africa, 2012

The UN-REDD Programme has a formal process that countries use (as shown in figure 4) and it is a challenging one. Up to December 2011, only three African countries had fully completed the process (the Democratic Republic of the Congo, Tanzania and Zambia).

Organization and Consultation

The Organization and Consultation component is the third component, with 22 percent of the budget assigned in the countries; however, in none of the 12 countries analyzed does this component have a higher budget assignation than other components.

Some countries that may generally have strong environmental or forest policies and institutions may nonetheless lack the financial resources or adequate technical capacities to implement REDD+-policies. In Africa, because REDD+ in practice is multi-stakeholder, multi-disciplinary, and multi-institutional, it is putting pressure on governments across agencies and institutions in ways that single entity or single agency policies previously have not done. In Zambia for example, "more than 30 different entities are responsible for formulating and implementing land use policies guided by outdated and inconsistent regulations" (McKenzie and Childress, 2011), requiring cross-sector coordination. In this regard, the Democratic Republic of the Congo has an interesting case study in which GTCR (REDD Working Group on Climate), which is a national coalition of NGO representatives representing different interests are actively involved in several aspects of the country's REDD+ programme. For example, its engagement has helped to create capacities and understanding among indigenous and civil society groups. The Rainforest Foundation of Norway, through finance from of the Norwegian Development NORAD, has provided additional support for the Natural Resources Network that is currently carrying out the functions of the GTCR Secretariat (First Program Evaluation for FCPF, 2011).

5.1.7. Recommended strategies for the effective implementation of REDD+ in Africa

Based on the recommendations made in the document Challenges and Prospects for REDD+ in Africa: Desk Review of REDD+ Implementation in Africa (2012), the following list sets out some general areas in which actions are needed:

REDD+ Strategy

- Understanding of the active drivers and processes of forest emissions;
- Address the acceptable deforestation needed for socio-economic development including providing access for people;
- Incorporate REDD+ in forest management;
- A national REDD+ strategy needs to encourage specific local actions;
- Increase commitments to transparency;
- Demonstration activities are essential to establishing a basic stock of practical experiences;
- Establishment of an enabling framework for the full implementation of REDD+;
- Improve efficiency in harvesting, processing and use of forest products;
- Enhancing tenure security through formal legal acknowledgment of local resource rights and sharing of forest benefits;
- Promote incentives and equity for avoided deforestation at multiple scales;
- Identifying non-income benefits and incidental environmental services;
- Establish trade-off between REDD+ and poverty reduction;

Organization and Consultation

- Multilevel, multi-actor governance of REDD+ schemes will be needed to overcome differences between government ministries;
- Ensure institutional coherence among government ministries, departments and agencies;

Reference Level

- National Forest and Carbon Mapping is needed to establish a baseline.

5.1.8. National development strategies with REDD+

In Africa the readiness process has already produced strategies that integrate the REDD+ mechanism as part of a development strategy for the countries. Some of the early work in this area has identified interesting elements, including a clear linkage between the development of the energy and forest sectors in the region, considering that charcoal and wood provide a high percent of energy sources for the people in Africa.

A recent World Bank study, drawing on a range of more specific sectoral studies in Tanzania, highlights the importance of forestry, wildlife, fisheries and mining to the economy and the role of governance factors in structuring resource benefit flows. Specific to forestry, the study makes two key points:[1]

- The per capita value of informal forest uses amounts to US$25–50 in rural areas, specifically providing over 90 percent of energy supplies, 75 percent of building supplies, and 100 percent of traditional medicines;
- Informal local resource uses, if properly captured in economic statistics, would amount to an additional US$100 per capita per annum in gross national income (GNI), in a country where GNI per capita is US$350.

With the support of UNEP, the Democratic Republic of the Congo is exploring how to integrate the REDD+ process into the Congo Vision 2035, developing REDD+/green economy scenarios using various development scenarios, for example the REDD+ contribution to the transition towards green economy, no funding for REDD+ and PES, among others. This may create interesting new needs for the REDD+ process in future (for further detail, see the Report of Democratic Republic of the Congo in the country reports section).

Another element is the sustainability of the REDD+ process in the African region without sustained technical and financial support in the long run. It is clear that the use of technical expertise from abroad increases the costs of the process, but it has proven to be key in initial stages. However, there is demand for meaningful investment in capacity-building and research and development in the long term.

5.1.9. Needs assessment in Africa

5.1.9.1. Identified needs and challenges

Progress in terms of readiness in countries in Africa varies from country to country, as it does in other regions. The Democratic Republic of the Congo is, for example, expected to transition to Phase II in 2013. The country has developed a national framework for MRV and hopes to set reference levels in 2013 and have experiences and lessons learned on FPIC. In addition, it has developed its communication strategy at regional, national and local levels, among other achievements. Of great interest is that it has developed six Phase II REDD+ programmes, which are to be launched using a substantial portion of funds from its FIP. Tanzania has also developed a draft REDD+ Strategy, an MRV and NFI framework and a set of pilot projects. In other countries such as Zambia there are indications of high-level government support for the implementation of the readiness process and the provision of leadership and ownership to the process. Capacity-building in MRV at provincial level is ongoing and will progressively reach the national level, and initial key studies to the readiness process have been developed, including drivers of deforestation, stakeholder assessment and engagement plans, forest practices with potential for REDD+, development of reference emission levels and legal preparedness for REDD+.

[1]United Republic of Tanzania National Strategy for Reduced Emissions from Deforestation and Forest Degradation (REDD+) Draft December 2010

Obviously, the gains between countries are very diverse; the Democratic Republic of the Congo, the Republic of Congo, Ghana, Zambia and Tanzania topped the list with further progress on REDD+. Countries like Nigeria, Central African Republic, Sudan and Kenya are in very early stages of REDD+ readiness. Annex 3 to this report contains a summary of the responses from African countries, which shows that the priority needs closely match the matrices.

5.1.9.2. Main findings in Africa

The matrix elements considered as very urgent by Group A countries (the Democratic Republic of the Congo, Tanzania, the Republic of the Congo and Ghana) are shown the Table 12 below. Although, as seen in Annex 4 to this report, countries did select different elements as very urgent but some commonalities were found from the analysis. In order to facilitate the assessment, two groups have been defined, based on similar REDD+ readiness progress:

> Group A: High REDD+ readiness progress –Democratic Republic of the Congo, Ghana, the Republic of the Congo, and Tanzania.
>
> Group B: Medium and low REDD+ readiness progress –Central African Republic, Kenya, Nigeria and Zambia.

5.1.10. Regional analysis (by group of countries)

5.1.10.1. Analysis Group A (Democratic Republic of the Congo, Ghana, Republic of the Congo and Tanzania)

The chart below shows the matrix elements that Group A countries (DRC, Ghana, the Republic of the Congo and Tanzania) considered very urgent. Although countries identified different elements as very urgent, as can be seen in Annex 5, the analysis did find some common points, which are shown below:

Group A: VERY URGENT
Governance
Institutional capacity, coordination mechanisms and legal framework
a) Assessment of institutional reforms and new institutional arrangements needed for REDD+ design/implementation.
b) Effective institutions with the technical capacity and administrative authority to manage the drivers of deforestation and forest degradation for REDD+ (esp. forest and land use sectors).
c) Identification of institutional strengthening requirements, for example to improve law enforcement capacities, MRV, among others.
f) Legal evaluation on how to integrate carbon rights, under the actual legislation, including coordination and consultation on how to assign carbon rights.
Benefit Sharing
d) Identification, assessment and use of prior experiences, including PES and REDD+ demonstration activities to inform REDD+ strategy design/implementation.
REDD+ Strategy or Action Plan
Development of the REDD+ Strategy and Options
b) Assessment of drivers of land use change, including drivers from outside the forest sector at national

and regional levels.
c) Systems to simulate and monitor impacts at the national, regional and local level for REDD+ policies.
h) Identify specific reforms in legislation and policies that can be addressed in the short term.
Social and environmental safeguards
Information on safeguards
a) Identification and understanding of key social, political, economic and environmental risks of REDD+ strategy options.
National forest monitoring systems and information on safeguards
National monitoring framework and capacities
b) Capacity and systems for estimating terrestrial carbon, its dynamics, related human-induced changes, leakage, reversals and monitoring approaches.
Design of a monitoring system (change of area, precision, verification and reporting)
f) System and capacity for statistical analysis and interpretation of data in a transparent manner, including the estimation of error.

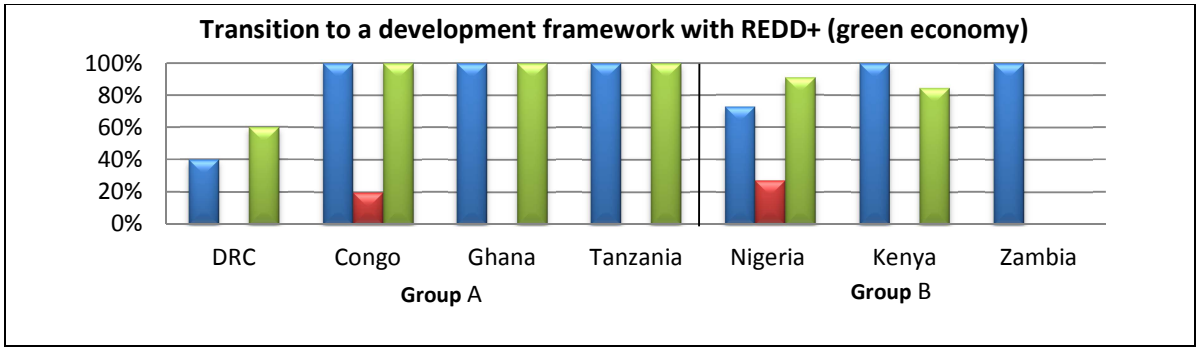
5.1.10.2. Analysis Group B (Nigeria, Central African Republic, Zambia and Kenya)

For Group B countries, the readiness elements identified as very urgent are:

Group B: VERY URGENT
Governance
Institutional capacity, coordination mechanisms and legal framework
a) Assessment of institutional reforms and new institutional arrangements needed for REDD+ design/implementation.
Consultation and participation process (indigenous peoples, civil society organizations, private sector and other stakeholders)
a) Formal procedures for stakeholder consultations
b) Capacity development and information dissemination to IPs, forest-dependent communities and others to ensure their informed participation in the management of REDD+

5.1.11. Type of Support preferred

Figure 24.Type of support preferred by African countries in REDD+



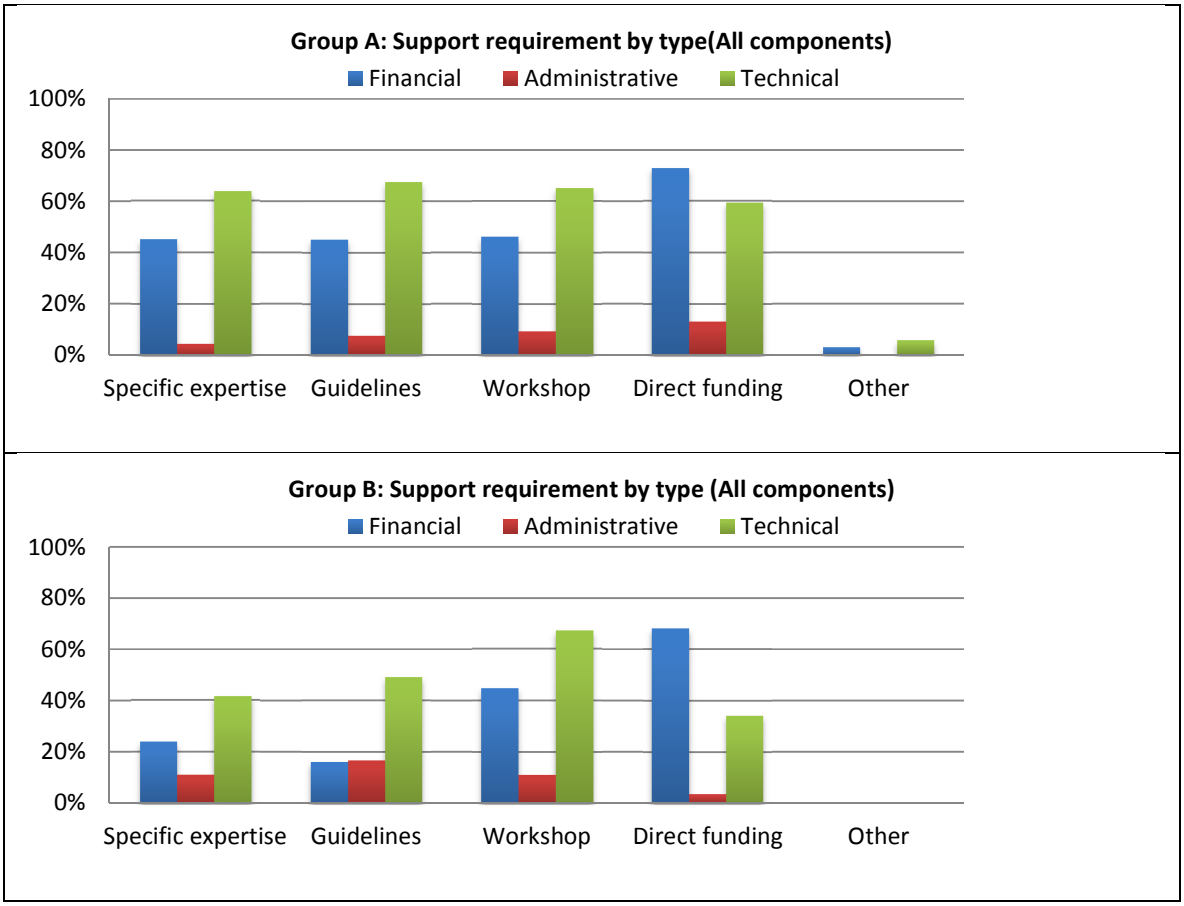
Technical and financial support are the most important types of support required by Group A countries for all components. Administrative support is important for the Organize and Consult component in Republic of Congo and for the Systems for National Forest Monitoring and Information on Safeguards component in DRC. In Group B countries, financial and technical support is required in all components; in Nigeria administrative support is required for the National Forest Systems for Monitoring and Information on Safeguards and Green Economy components.

All the support required within the Forest Reference Level component, in both groups of countries, falls under technical and financial types of support. The support mechanisms required for each type of support (technical, administrative and financial) are detailed in section 5.2.11.

5.1.12. Preferred Support mechanism

The graphics below show that in Group A, where there is a support requirement, the preferred type of support is financial and the preferred way of receiving this support is through direct funding; the second type of support required is technical support, in the form of guidelines and workshops. In Group B, the preferred way of receiving support where it is required is through technical help, mostly in the form of workshops, followed by guidelines. In terms of Financial Support for Group B countries, the most important mechanisms are Workshops and Direct Funding.

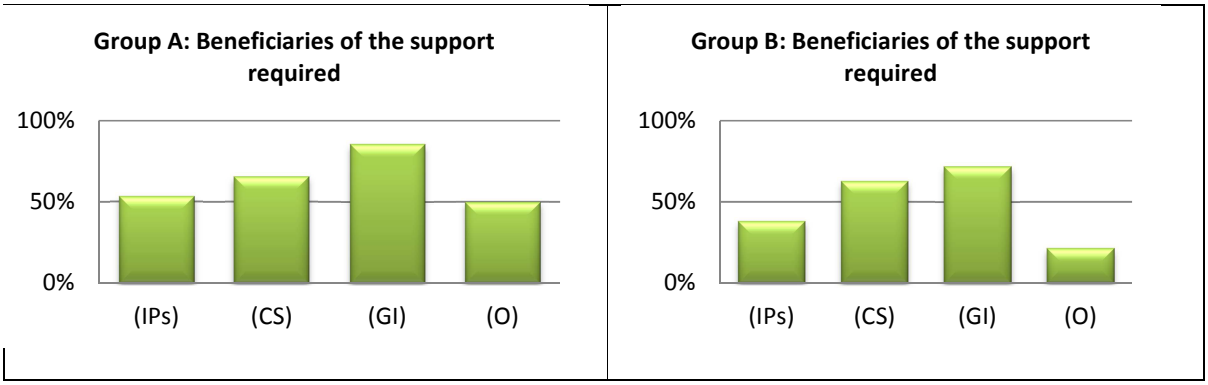
Figure 25. Support requirement by type (all components)



5.1.13. Beneficiaries of the support

Countries in both groups have identified the potential beneficiaries that would receive support. As can be seen in the graphs below, in almost all countries Government Institutions (GI) will receive the support for all components except the Social and Environmental Safeguards. The second actor that will benefit from the support is Civil Society (CS). In Group B countries, the sector of indigenous peoples (IPs) would be a major beneficiary in the Social and Environmental Safeguards, National Forest Monitoring System and Information on Safeguards and Green Economy components.

Figure 26. Beneficiaries of the support required



(IPs) = Indigenous Peoples
(CS) = Civil Society
(GI)= Government Institutions
(O) = Others

5.2. Needs Assessment of Asia

5.2.1. Introduction

Southeast Asia's forests cover 214 million hectares and constitute 29 percent of the Asia-Pacific region's total forest area (FAO 2010). Forests covered 49 percent of the land area in the sub-region in 2010, with national forest cover ranging from 26 percent in the Philippines to 68 percent in Lao People's Democratic Republic (Lao PDR) (Table 15). Several countries also have significant areas of other wooded land. The overall rate of forest cover change is reported to have fallen from 1.0 percent per annum in the 1990s to -0.3 percent up until 2005, subsequent to which the rate of change again increased to -0.5 percent per annum. Between 1990 and 2010, South-East Asia lost just under 33 million hectares and if unchecked projected reductions in forest area between 2010 and 2020 could be equivalent to 8.72 gigatonnes of carbon dioxide emissions, which is almost 85 percent of total emissions from the European Union (FAO 2010). Transport infrastructure has provided access to markets for many isolated populations and has also increased opportunities for investment and trade. Other drivers are logging, commercial agriculture, mining and shifting cultivation. High rates of deforestation have been recorded in Sumatra, Malaysia and Indonesian Borneo, West Papua and Myanmar, while there is smaller scale forest loss in Lao PDR, Viet Nam, Cambodia and the remaining mountain forests in the Philippines. In the Mekong region, the production of rubber, cashew nuts, coconut and sugar cane has been a major cause of forest conversion, while in coastal areas shrimp ponds and agriculture have resulted in the loss of mangroves. At the subregional level, two of the most important crops in terms of forest conversion are rubber and oil-palm. Forest cover in South-East Asia is projected to fall from 49 percent in 2010 to 46 percent in 2020 as a result of losses in the majority of countries amounting to 16 million hectares, an area nearly as big as Cambodia.

The Intergovernmental Panel on Climate Change (2007a) estimated that during the 1990s, 17.4 percent of greenhouse gas emissions arose from forestry (mostly deforestation). Rates of deforestation and forest degradation in South-East Asia were estimated to be around double those in tropical Africa or Latin America (Mayaux et al. 2005). Infrastructure development, expansion of industrial agriculture and population growth has been the primary drivers of change in the sub-region and will continue to threaten forest resources. Across South-East Asia, road development has provided access to markets for many isolated populations and has also increased opportunities for investment and trade. At the same time, forest resources have been depleted as loggers, farmers, agribusinesses and developers have moved in. Road development is having greater impacts on forests in continental South-East Asia than in insular South-East Asia. Areas particularly affected include the north-west and southern parts of Lao PDR and north-east Cambodia. In Lao PDR, Cambodia and Viet Nam, protected areas adjacent to areas of development are also threatened by loss of biodiversity and resources. With the expansion of infrastructure, investment in agriculture has expanded too and establishment of cash crop plantations has become a primary driver of forest conversion in South-East Asia. Deforestation and loss of canopy cover has been particularly intense in Sumatra, Malaysia and Indonesian Borneo, West Papua and Myanmar. Smaller scale forest loss has also been recorded in Lao PDR, Viet Nam, Cambodia and the remaining mountain forests in the Philippines (FAO, 2011).

While economic growth has progressed rapidly for much of the past decade, standards of governance have not kept pace with that rapid economic growth – with the exception of Indonesia, where indicators have improved significantly. Despite increased attention to forest law enforcement and governance around the subregion, significant changes on the ground have been slow in developing. Largely to blame for this are conflicting priorities, lack of resources and the reluctance of vested interests to stem the flow of forest products. Trade measures implemented in relation to the legality of wood and wood products imports in high-paying markets have considerable potential to influence the subregion's forestry sector and wood industries in the coming years (FAO, 2011).

5.2.2. REDD+ contexts in the Asia region

In the Asia-Pacific region, 16 countries are partners of the UN REDD Programme, Forest Carbon Partnership Facility (FCPF) and/or the Forest Investment Programme (FIP). The FCPF has signed agreements with five of these countries: Indonesia, Lao PDR, Thailand, Vanuatu and Nepal have received formulation grants of US$200,000 for the preparation of their REDD+ Readiness Preparation Proposals (R-PPs). Indonesia and Nepal have further received preparation grants to enhance their readiness. Cambodia, Indonesia, Papua New Guinea, the Philippines, the Solomon Islands and Viet Nam have received funding for their national programmes under REDD+.

Table 19.Status of countries in Asia

	Number of countries	Cambodia	Indonesia	Lao PDR	Papua New Guinea	Thailand	Vanuatu	Viet Nam	The Philippines	The Solom Islands	Sri Lanka	Bangladesh	Bhutan	Mongolia	Myanmar	Nepal	Pakistan
Forest Carbon Partnership Facility																	
Countries selected	7																
Participation agreement signed	7																
R-PP Informal Presentation	1																
R-PP assessed by the PC	5																
R-PP Formulation Grant ($200M) signed	5																
3.4 to 3.6 M$ grants signed	2																
UN REDD+																	
Participant countries	13																
Observer countries	6																
Members countries	7																
PN Signed	6																
PN in implementation	6																
Forest Investment Programme																	
Pilot Countries	2																

Source: UN-REDD Programme Partner Countries “at a glance” Updated March 2012 and FCPF DASHBOARD (Revised: June 29, 2012)

5.2.3. Financial aspects of REDD+ in the region

The total necessary finance for the 8 countries considered in the Readiness Preparation Protocol and National Programme Documents was approximately US$4.076 billion, generally for a period of two or three years (See Table 2). The allocation of funding for the region so far is about US$77.7 million. Of the

total funding needed in the region, 99 percent of the budget corresponds to Indonesia (US$4 billion, as indicated in its Readiness Preparation Protocol).

Table 20.Financial aspects of REDD+ in the region

Country	Total finance required (US$; thousand)	Funding Sources (US$; thousand)								Total funding secured (US$; thousand)	Secured funding as % of finance required
		FCPF		UN REDD+		Government		Others			
Indonesia	4,018,864	3,600	0.09 %	5,644	0.14 %			2,000 (a)	0.05 %	11,244	0.28 %
Lao PDR	23,327	3,389	15 %			319	1.37 %	19,619 (b)	84 %	23,327	100 %
Nepal	7,654	3,595	47 %			335	4.38 %	3,723 (c)	49 %	7,653	100 %
Viet Nam	8,709	3,599	41 %	4,384	50 %	1,500 (d)	17.22 %	7,434 (e)	85 %	16,917	194 %
Cambodia	10,905	3,600	33.01 %	3,001	28 %	410	3.76 %	4,090 (f)	37.51 %	11,101	102 %
PNG	6,388			6,388	100 %					6,388	100 %
The Philippines	500			500	100 %					500	100 %
The Solomon Islands	550			550	100 %					550	100 %
Total	4,076,897	17,783	0.44 %	20,467	0.50 %	2,564	0.06 %	36,866	0.90 %	77,680	2 %

a) Other sources of funding (AusAID)
(b) Forest Investment Programme
(c) Department for International Development (DFID)/Swiss Development Cooperation through funds already committed for Nepal National Forest Programme, Government of Finland through funds already committed to Forest Resource Assessment Project, JICA (TBC), USAID (TBC).
(d) The Government of Viet Nam is contributing on a large number of levels to the implementation of the National REDD+ Strategy. Support is given at the level of the Government itself, in particular through the Ministry of Agriculture and Rural Development but other ministries as well, through provincial and district authorities, and through parastatal organizations. Additional support comes from logistical and operational support (e.g. office use, use of other infrastructure). The scope of the National REDD+ Strategy is such that an accurate estimate of Government contributions, in particular when specified per component, is not feasible.
(e) Forest Management Information System (FORMIS) project, National Forest Assessment – FAO, JICA, SNV
(f) UNDP, FAO, JICA and Government of Japan

5.2.4. Budget Expenditure

Table 21.Cumulative disbursements/expenditure budget

Countries	Forest Carbon Partnership Fund		UN REDD+	TOTAL
	Formulation Grant Disbursements (of US$200,000)	Preparation Grant Disbursements (of US$3.4-3.6 thousand)	Cumulative expenditure to 31 December 2011	
Indonesia		518,051	3,652,457	4,170,508
Lao PDR	172,661			172,661
Nepal		700,000		700,000
Viet Nam			3,226,091	3,226,091
Cambodia			158,491	158,491
The Philippines			6,128	6,128
The Solomon Islands			6,128	6,128
Vanuatu	21,436			21,436
Thailand	36,905			36,905
Total	231,002	1,218,051	7,049,295	8,498,348

Sources: National Programmes 2011 Annual Reports: Indonesia – Viet Nam –Cambodia – The Philippines – The Solomon Islands and FCPF DASHBOARD (Revised: June 29, 2012)

The total disbursement/expenditure, up to the end of June 2012 for FCPF countries and until December 2011 for REDD+ countries, amounts to US$8,498,348, of which approximately 50percent corresponds to implementation in Indonesia and 38 percent corresponds to spending in Viet Nam.

	Total finance required (US$ thousand)	Total funding secured (US$ thousand)	Budget Expenses (US$ thousand)
ASIA	4,070,393	70,980	8,498

5.2.5. Others sources of funding

A multitude of donors have been actively supporting REDD+ readiness in the Asia region over the last few years. National governments are also engaged in regional intergovernmental institutions and platforms such as the Association of Southeast Asian Nations (ASEAN) and the Greater Mekong Subregion (GMS). USAID, the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) and the Asian Development Bank (ADB), who are supporting ASEAN and GMS REDD+ efforts, help provide additional support to enable REDD+ experiences and lessons to be shared between governments. A

number of the REDD+ national focal points within ASEAN have been holding informal meetings to coordinate their REDD+ policies, and share ideas about REDD+ implementation etc. The Australian Agency for International Development (AusAID), GIZ, Finland, Norway, JICA, SNV Netherlands Development Organization, and other bilateral donors have active forestry and national REDD+ programs in many countries across the region. USAID bilateral missions are also developing REDD+ and climate change programmes in Indonesia, Cambodia, India, Bangladesh, the Philippines, and Nepal. In addition, many pilot projects are being developed and implemented by non-governmental organizations, a number of which have a regional presence (e.g. Wildlife Conservation Society, The Nature Conservancy, the World Wildlife Fund, Fauna and Flora International, Pact, Conservation International (CI), Community Forestry International, the Center for Peoples and Forests (RECOFTC), the Institute for Global Environmental Strategies (IGES), etc.) and universities and academic institutions, some with regional presence such as the Centre for International Forest Research (CIFOR) and the Asian Institute of Technology (USAID, 2010).

The private sector is critical for the sustainability of REDD+ efforts as a long-term source of sustainable financing through the voluntary and compliance carbon offset markets. However, private sector engagement with REDD+ in Asia is currently rather low due to a perception of risk, high transaction costs, and little experience with forest offsets in the region. Some of the main regional organizations currently active in supporting REDD+ in Asia are highlighted below:

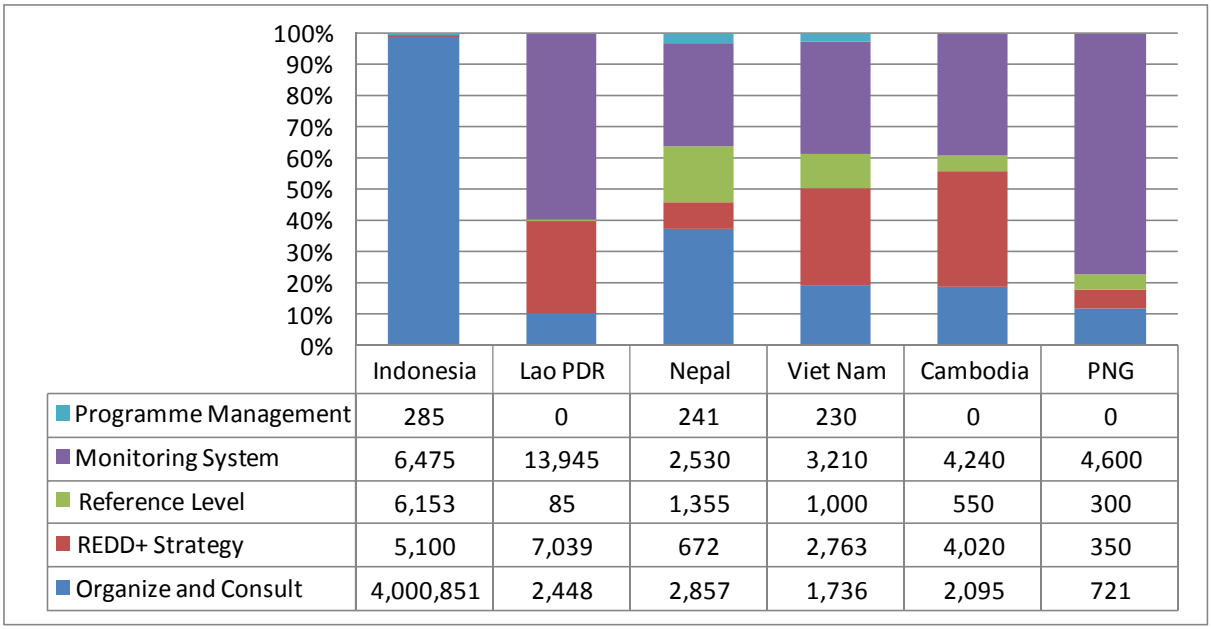
Table 22.Preliminary overview of organizations supporting REDD+ in Asia

Country	Donors	NGOs
Cambodia	UNDP, FAO, ADB, Blue Moon, JICA	WCS, Pact, Winrock, CI, RECOFTC
Laos	JICA, GIZ, Finland, ADB, Blue Moon	WCS
Thailand	ADB	WWF
Viet Nam	SNV, Finland, GIZ, JICA, ADB	Winrock, ICRAF, RECOFTC
Mekong sub region	ADB	WWF, RECOFTC
Indonesia	AusAID, GIZ, Finland	FFI, TNC, WWF, CCI, CIFOR, many
Malaysia	UNDP	WWF
Papua New Guinea	AusAID, European Union, JICA	TNC, WCS, WWF
Nepal	Finland	CARE, WWF, FECOFUN
ASEAN	GIZ	

Source: USAID, 2010. Asia Regional REDD+ Program Planning Assessment Report

5.2.6. Analysis of FCPF R-PPs and UN REDD+ NPDs by component

Figure 27.Structure of REDD+ budget requirements by component and country in Asia (in US$; thousands)



	Indonesia	Lao PDR	Nepal	Viet Nam	Cambodia	PNG
Programme Management	285	0	241	230	0	0
Monitoring System	6,475	13,945	2,530	3,210	4,240	4,600
Reference Level	6,153	85	1,355	1,000	550	300
REDD+ Strategy	5,100	7,039	672	2,763	4,020	350
Organize and Consult	4,000,851	2,448	2,857	1,736	2,095	721

NOTE:

- In Indonesia US$4 billion is assigned for assessment of investment and capacity building requirements; we have incorporated this under the Organize and consult component.
- The PNG costs do not consider the indirect support cost of the agencies

Table 23.Summary of R-PP and NPD budget requirements by component (in US$; thousands)

Component	Min	Max	Average	Total
Organize and Consult	721	4,000,851	98.40%	4,010,707
REDD+ Strategy	350	7,039	0.49%	19,944
Reference Level	85	6,153	0.23%	9,443
Monitoring System	2,530	13,945	0.86%	35,000
Programme Management	0	285	0.02%	756

Source: Preparation Proposals (R-PPs) and National Programme Documents (NPDs)

The component with the largest budget is Organize and Consult, mainly due to the weight of Indonesia. Without Indonesia, the Monitoring System and REDD+ Strategy components would have the highest budgets, mainly due to Lao People's Democratic Republic, where US$13.9 million are assigned to the Monitoring System component.

As Table 23 shows, the budget for each component varies greatly from country to country. It is therefore important to recognize and consider the challenges and context for each country in the regional context.

Organize and Consult

As mentioned, Indonesia has assigned US$4 billion to Organize and Consult. In other countries this component is also viewed as important, albeit on a much smaller scale: most countries allocated more than 15 percent of their budgets to activities within this component.

So far a number of procedures for Free, Prior and Informed Consent (FPIC) have been designed and implemented at project level (palm oil project in Indonesia), nevertheless Free, Prior and Informed Consent for REDD+ requires much larger scale implementation. The UN-REDD Programme has tested the Free, Prior and Informed Consent process for REDD+ in Viet Nam, and is finalizing plans for a similar project in Central Sulawesi, Indonesia.

Although the cost of the FPIC pilot project in Viet Nam was significant (about US$115,000 for 80 villages), the expansion to full implementation of REDD+ will not be so costly, not only due to economies of scale but also because Free, Prior and Informed Consent is only required in areas that have proposed REDD+ activities.

Within this component, the presence of local facilitators to improve communication of complex issues associated with REDD+ has been identified as important; intensive training is thus required in this field.

While REDD+ is highly technical, many of the important decisions to be made are actually more political in nature. For example, benefit-sharing involves both the technical question of how to incentivize forest protection, and also a political decision about how to trade off different internal government politics. Integrated planning across line agencies is currently rare, but coordinated policies will be necessary to minimize conflicting policy targets (e.g. between agricultural expansion and forest conservation). For example, in Indonesia the Ministry of Agriculture has a target of expanding oil palm by three million hectares, while at Copenhagen the Indonesian President committed to a greenhouse gas reduction of 26percent by 2020. The roles and responsibilities of various government ministries and other stakeholders will need to be clearly defined, including contentious issues related to community and indigenous rights. Supportive government policies will be needed, and in particular increased clarity over forest and carbon ownership and how REDD+ revenues would be distributed.

Issues related to governance are perhaps the most intractable to solve. During consultations, corruption and lack of accountability were frequently raised as impediments to creating a credible REDD+ system. A country wishing to participate in REDD+ will be required to at least partially address certain aspects regarding governance. In the region, the current lack of legal precedents and legislative ambiguity with relation to carbon rights, including taxation issues, was cited as a main cause for the absence of private sector investment in carbon projects. Results from the survey questionnaire indicated that legal uncertainty over carbon rights remains one of the most serious issues for most countries in the region. Even in Indonesia, which was the first country to develop REDD+ regulations, considerable legal ambiguity still lingers over carbon rights, including the lack of policy guidance on how carbon will be taxed, or how the benefits should be distributed (USAID, 2010).

REDD+ Strategy

Experience on the development of strategies in Indonesia, Cambodia and Viet Nam clearly indicates that processes involving stakeholders create a sense of involvement and trust. Planning for similar processes

in other partner countries should incorporate early awareness and the provision of information through appropriate media.

The REDD+ Programme of Cambodia and Indonesia are exploring how REDD+ can bring other benefits, in addition to reducing carbon emissions. Through careful planning and implementation, they can ensure the additional benefits of biodiversity and ecosystem services. In Cambodia, for example, 15 percent of the land earmarked for land concessions for economic purposes overlaps with areas of high to medium carbon density. But we also know that policymakers need more information in order to change existing plans or to make the multiple benefits a more important element in planning. In Indonesia, the REDD+ Programme (through UNEP's World Conservation Monitoring Centre) is developing a toolkit to support the identification of sites for REDD+ activities and guide decision-making that goes beyond carbon.

Experiences with road maps have been carried out in Cambodia and the UN-REDD Programme is currently moving to assist other countries such as Bangladesh and Mongolia with similar processes.

Indonesia has played a leading role in developing regulations addressing REDD+ and is probably the country with the greatest number of pilot carbon projects, with an array of different project developers and implementers. Projects range in scale from site-based, to district, to landscape scale. The status of all of these projects is not currently known, as some may be in flux, partly due to lack of funds and the uncertainty around how the government will tax revenues from carbon sales. In addition, a number of provinces (e.g. Jambi and Papua) have also been developing formal Low Emissions Development Strategies.

The challenge for Indonesia now is to capture the learning that is taking place in these pilot projects during this early phase of REDD+ development, and to disseminate lessons to a wider audience. Initially, the World Bank played a role in bringing project proponents together to share lessons learned, but no further follow up has been seen. Additionally, there appears to be little coordination among donor efforts with REDD+, and the projects that are working toward a national or subnational REDD+ system often view private sector voluntary projects with suspicion. There is clearly a need for an organization to provide institutional support to capture and help to disseminate lessons learned from these many different types of REDD+ projects (USAID, 2010).

Monitoring System and Reference Level

Current technical capacities to accurately monitor changes in forest cover and carbon stocks are variable across the region, and in some countries are rather limited. In order to set the foundation for a global REDD+ mechanism and strengthen market confidence in forest offsets, substantial capacity building efforts will be needed – to strengthen the scientific capacities for forest management and measurement, increase understanding of environmental economics and resource valuation, and promote informed decision-making and strategic investing. These capacity constraints make scaling-up REDD+ efforts very challenging, since appropriate expertise is not available and there is limited capacity to absorb the large amounts of money that are being pledged. Capacity building needs must therefore be balanced against the absorptive capacity of government agencies and other stakeholders. Some of the major technical challenges were the lack of capacity and of standardized methods for producing the estimates of carbon and greenhouse gas emissions that are needed to implement Monitoring, Reporting

and Verification at national or sub-national scales. Many countries also lack recent national forest inventories that could serve as assessments of carbon stocks (USAID, 2010).

Economic valuation methods and cost-benefit analyses should inform decision making, as these allow consideration of the range of choices and trade-offs that will need to be made with a REDD+ mechanism in place (e.g. conservation versus oil palm development, etc.). A key tool that requires capacity development is understanding the economic values of forests under different and changing scenarios (e.g. variable carbon prices), so that choices can be made based on what will result in the greatest benefit when the full range of values and co-benefits (biodiversity, livelihoods, resiliency, water, and carbon) are included (USAID, 2010).

5.2.7. National Development Strategies with REDD+

The countries that have developed a REDD+ strategy and or have included REDD+ under their development frameworks are Indonesia, the Philippines, Papua New Guinea and Fiji; Fiji has developed a REDD+ policy. Some key elements of these documents are summarized below.

The Philippines National REDD+ Strategy (PNRPS) presents a broad range of strategies and corresponding activities over a ten-year time horizon (2010-2020), and seeks to prepare forestlands managers throughout the country to assume responsibility in implementing REDD+ programmes, research, projects and activities with the support of international, national and local agencies, non-governmental organizations and other support groups. The Strategy offers an overview of the forestry sector in the Philippines, a legal review of national policies in the context of REDD+, and a strategic outlook for REDD+ development. It then specifies REDD+ strategies and activities to facilitate REDD+ development over a three-five year Readiness Phase, and gradual scaling up to a five year Engagement Phase.

The Papua New Guinea Interim Action Plan for Climate Compatible Development is the Government's attempt to prepare and implement the most immediate readiness activities over the next three years, which will put it on a long term course towards achieving a Vision for 2050. This action plan identifies activities that can achieve greenhouse gas abatement, particularly in the forestry and agriculture sectors. It prioritizes readiness activities for future Reduction in Emissions from Deforestation and Forest Degradation (REDD+), while looking for economic growth opportunities that minimize future emissions. At the same time, it emphasizes the most immediate actions that can help the country chart a course towards climate resilience and adaptation. The Interim Action Plan is a practical step towards realizing a 50percent decrease in Papua New Guinea's emissions by 2030, as set out in Vision 2050. It also reflects the integration of Papua New Guinea's climate-change objectives into its Medium-Term Development Plan (MTDP).

The Fiji REDD+ Policy is aligned with the objectives of the Fiji Sustainable Economic and Empowerment Development Strategy (SEEDS) and will strive to contribute to the overall sustainable development of the Fiji Islands, including poverty reduction. The Fiji REDD+ Policy is implemented within the National Forest Policy framework (2007) and contributes to the national forestry sector goal of "sustainable

management of Fiji's forests to maintain their natural potential and to achieve greater social, economic and environmental benefits for current and future generations".

The National Strategy (Nastra REDD+) and National Action Plan (NAP REDD+) of Indonesia comprise documents used as guidelines for conducting a series of strategic and integrated activities for the relevant sectors. These documents are inseparable from the policies contained in the country's Medium-Term Development Plan, particularly the National Medium-Term Development Plan of 2010-2014 and the Long-Term Development Plan of 2005-2025. This is intended to ensure there is an adequate supply of resources for implementation of Nastra and NAP REDD+.

Although the experience of Fiji, Indonesia, Papua New Guinea and the Philippines in integrating REDD+ into their development strategies, plans and actions seems to be a reasonable step towards readiness, it creates a different set of challenges and needs – needs that continue to require technical and strategic support. When considering other REDD+ countries in the region, this area offers an interesting opportunity for South-South cooperation, which would be beneficial for countries which are in early stages of the REDD+ process.

5.2.8. Main findings in Asia - regional analysis (by group of countries)

The countries that participated in the country needs assessment were Viet Nam, Bangladesh, Cambodia, Papua New Guinea, the Philippines, Sri Lanka and Myanmar. In order to facilitate assessment, countries were assigned to two groups based on the degree of their progress towards REDD+ readiness:

Group A: High progress towards REDD+ readiness: Viet Nam

Group B: Medium and low progress towards REDD+ readiness: Bangladesh, Cambodia, the Philippines, Papua New Guinea, Sri Lanka and Myanmar.

The responses of Group B countries from Asia to the overview questions are shown in Annex 6.

5.2.8.1. Analysis Group A (Viet Nam)

Group A country Viet Nam identified virtually all elements of readiness that were in the matrix as very urgent; the only component that it did not prioritize was the Forest Reference Level component.

Group A: VERY URGENT
Governance
Institutional capacity, coordination mechanisms and legal framework
a) Assessment of institutional reforms and new institutional arrangements needed for REDD+ design /implementation.
b) Effective institutions with technical capacity and administrative authority to manage the drivers of deforestation and forest degradation for REDD+ (esp. forest and land use sectors).
c) Identification of institutional strengthening requirements, for example to improve law enforcement capacities or MRV, among others.

d) Effective coordination mechanism across ministries at political, technical and administrative levels.
e) Effective coordination mechanisms with civil society, indigenous peoples and productive sectors for REDD+ design and implementation.
f) Legal evaluation of how to integrate carbon rights into existing legislation, including coordination and consultation on how to assign carbon rights.
Benefit Sharing
a) Design/test implementation of a transparent and accountable system to channel REDD+ benefits and income from REDD+.
b) Institutional framework for benefit sharing system (BSS).
c) National capacity to observe fiduciary standards for disbursement and reception of funds.
d) Identification, assessment and use of prior experiences, including Payments for Environmental Services and REDD+ demonstration activities to inform REDD+ strategy design/implementation.
Consultation and participation process (indigenous peoples, civil society organizations, private sector and other stakeholders).
a) Formal procedures for stakeholder consultations.
b) Capacity development and information dissemination to indigenous peoples, forest-dependent communities and others, to ensure their informed participation in the management of REDD+.
c) Formally recognized and applied mechanisms for conflict resolution under REDD+ (carbon rights, indigenous peoples' land tenure, and others).
REDD+ Strategy or Action Plan
Development of the REDD+ Strategy and Options
a) Use of experiences in natural resources management, forestry and agriculture at the local, regional and national level to inform REDD+ strategy design/implementation.
b) Assessment of drivers of land use change, including drivers from outside the forest sector at national and regional levels.
c) Systems to simulate and monitor impacts of REDD+ policies at the national, regional and local level.
d) Analyses of REDD+ scenarios and their possible impact on gross domestic product (GDP), forestry as a percent of GDP, and agriculture as a percent of GDP.
e) Cost assessments (opportunity, implementation, institutional and transaction costs) of REDD+ action at local, regional and national level to inform Policy and decision making.
f) Identification or assessment of major inconsistencies or conflicts between the objectives of the REDD+ strategy and policies and programmes in other sectors (e.g. transport, agriculture, energy, mining, tourism), and ways to address them.
g) Assessment of how existing laws, policies, programmes and practices incentivize deforestation and forest degradation.
h) Identification of specific reforms in legislation and policies that can be addressed in the short term.
i) Identification of priority areas for pilots and testing of REDD+ strategy options.
j) Testing of specific REDD+ Strategy Options.
Multiple benefits of forests and REDD+
a) Information systems on ecosystem-based multiple benefits of forests, REDD+ and social benefits.
b) Identification and selection of Natural Resource (NR) accounting methods and other National Resource valuation systems.

c) Identification, assessment and prioritization of environmental services per region, ecosystem etc. for REDD+ pilot programs.
d) Assessment to incorporate multiple benefits of forests in areas such as land use and spatial planning within national programmes and REDD+ strategies.
Social and environmental safeguards
Information on safeguards
a) Identification and understanding of key social, political, economic and environmental risks of REDD+ strategy options.
b) A methodology for estimating historic emissions and estimating emission scenarios based on expected trends in the drivers of change.
c) Assessment of key gender-based risks, potential benefits and opportunities of REDD+ strategy options and the implementation framework.
National forest monitoring systems and information on safeguards
National monitoring framework and capacities
a) Capacity and/or compliance with national and international reporting systems (e.g. UNFCCC national communications, FAO Forest Resources Assessments)
b) Capacity and systems for estimating terrestrial carbon, its dynamics, related human-induced changes, leakage, reversals and monitoring approaches.
Design of a monitoring system (change of area, precision, verification and reporting)
a) Agreement on definitions, monitoring goals, reference units and monitoring variables.
d) Capacity to review, consolidate and integrate the existing data and information (forest inventory, permanent sample plots, REDD+ demonstration activities).
e) Capacity, systems and procedures to estimate carbon stocks according to chosen IPCC tier levels and carbon pools and to monitor the changes.
f) System and capacity for statistical analysis and interpretation of data in a transparent manner, including the estimation of error.
g) Use of an independent system to verify data and its interpretation.
h) Institutions or platforms ensuring public accessibility to data and information for transparency and the capacity required to run and maintain it.
Design of an information system on multiple benefits, other impacts, governance and safeguards
a) A system for monitoring how safeguards are being addressed during the implementation of REDD+ activities, based on a practical methodology and tools.
b) Identification of the scope and roles for stakeholders and government agencies in the design and implementation of safeguards.
c) Identification of the capacity needed for design and implementation of safeguards.
e) Identification of mechanisms for establishing independent monitoring and reviews that allow the effective and appropriate participation of civil society, indigenous peoples, forest-dependent communities and other stakeholders.
Transition towards a framework for development with REDD+
a) Development of national roadmaps to identify what kinds of investments and strategies are needed to integrate REDD+ in development frameworks.
b) Protocols for integrated land use planning and decision-making to allow the integration of economic, biophysical and social information, by using multi-criteria decision-making tools.
c) Capacity to develop integrated visions and reach out to other sectors such as planning and finance to prioritize investment and public spending to promote more sustainable development

options.
d) Strengthening policies so that they are pro-poor. Capacity to develop better indicators to guide investments, such as 'GDP of the Poor'.
e) Case studies and comparison of probable impacts of 'business as usual' investment practices and trajectories with those with green economy options in pilot districts (such as agro forestry, more efficient processing of timber, REDD+ projects, payments for environmental services).

5.2.8.2. Analysis Group B (Bangladesh, Cambodia, the Philippines, Sri Lanka, Papua New Guinea, and Myanmar)

Group B countries identified the following readiness elements as very urgent:

Group B: VERY URGENT
Governance
Institutional capacity, coordination mechanisms and legal framework
a) Assessment of institutional reforms and new institutional arrangements needed for REDD+ design /implementation.
f) Legal evaluation of how to integrate carbon rights into existing legislation, including coordination and consultation on how to assign carbon rights.
Benefit Sharing
d) Identification, assessment and use of prior experiences, including Payments for Environmental Services and REDD+ demonstration activities to inform REDD+ strategy design/implementation.
Consultation and participation process (indigenous peoples, OSC, private sector and other stakeholders)
a) Formal procedures for stakeholder consultations.
c) Formally recognized and applied mechanisms for conflict resolution under REDD+ (carbon rights, indigenous peoples' land tenure, and others).
Social and environmental safeguards
Information on safeguards
a) Identification and understanding of key social, political, economic and environmental risks of REDD+ strategy options.
National forest monitoring systems and information on safeguards
National monitoring framework and capacities
a) Capacity and/or compliance with national and international reporting systems (e.g. UNFCCC national communications, FAO Forest Resources Assessments).
b) Capacity and systems for estimating terrestrial carbon, its dynamics, related human-induced changes, leakage, reversals and monitoring approaches.
Design of a monitoring system (change of area, precision, verification and reporting)
b) Legally defined institutional arrangements with clarified competencies and technical capabilities.
c) Capacity development plan to cover priority data and information needs (e.g. cover change, carbon flows, multiple benefits, opportunity costs and environmental risks).

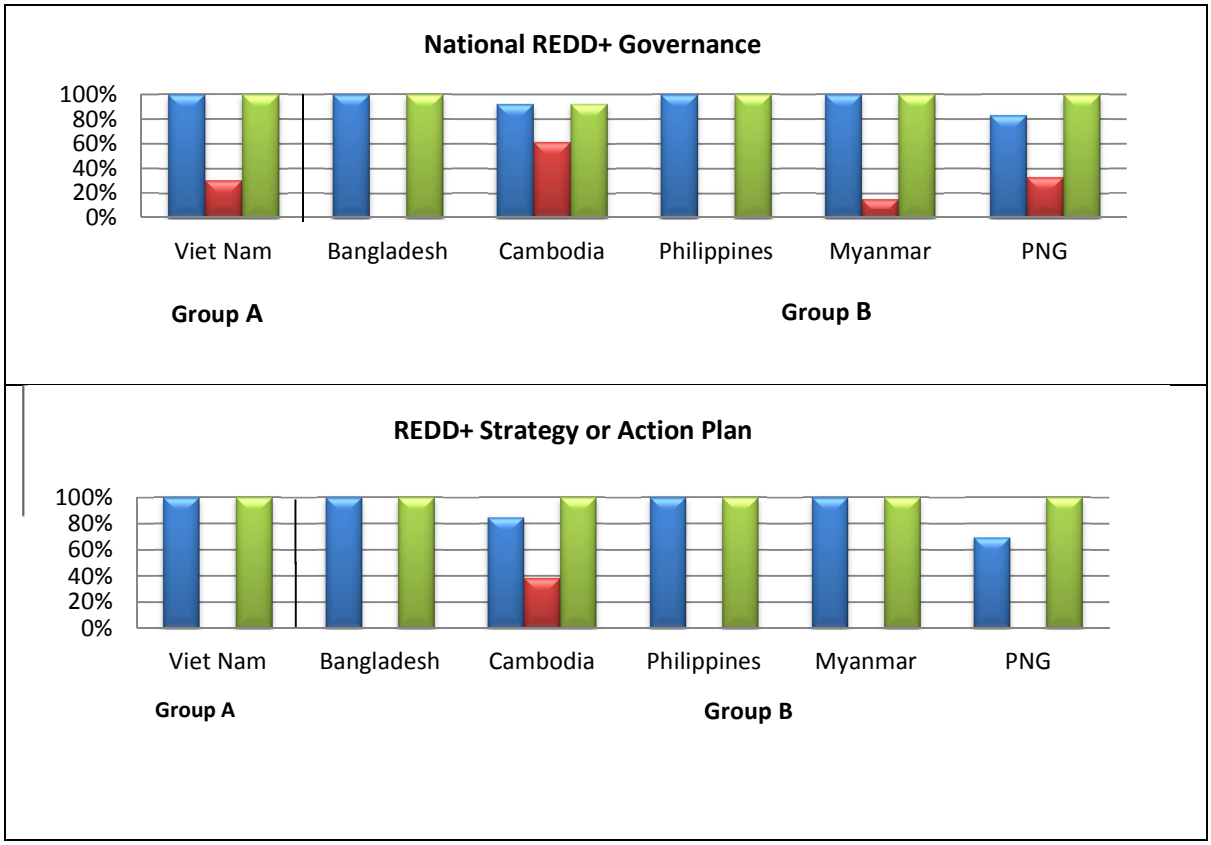
e) Capacity, systems and procedures to estimate carbon stocks according to chosen IPCC tier levels and carbon pools and to monitor the changes.
Design of an information system on multiple benefits, other impacts, governance and safeguards
b) Identification of the scope and roles for stakeholders and government agencies in the design and implementation of safeguards.
c) Identification of the capacity needed for design and implementation of safeguards.

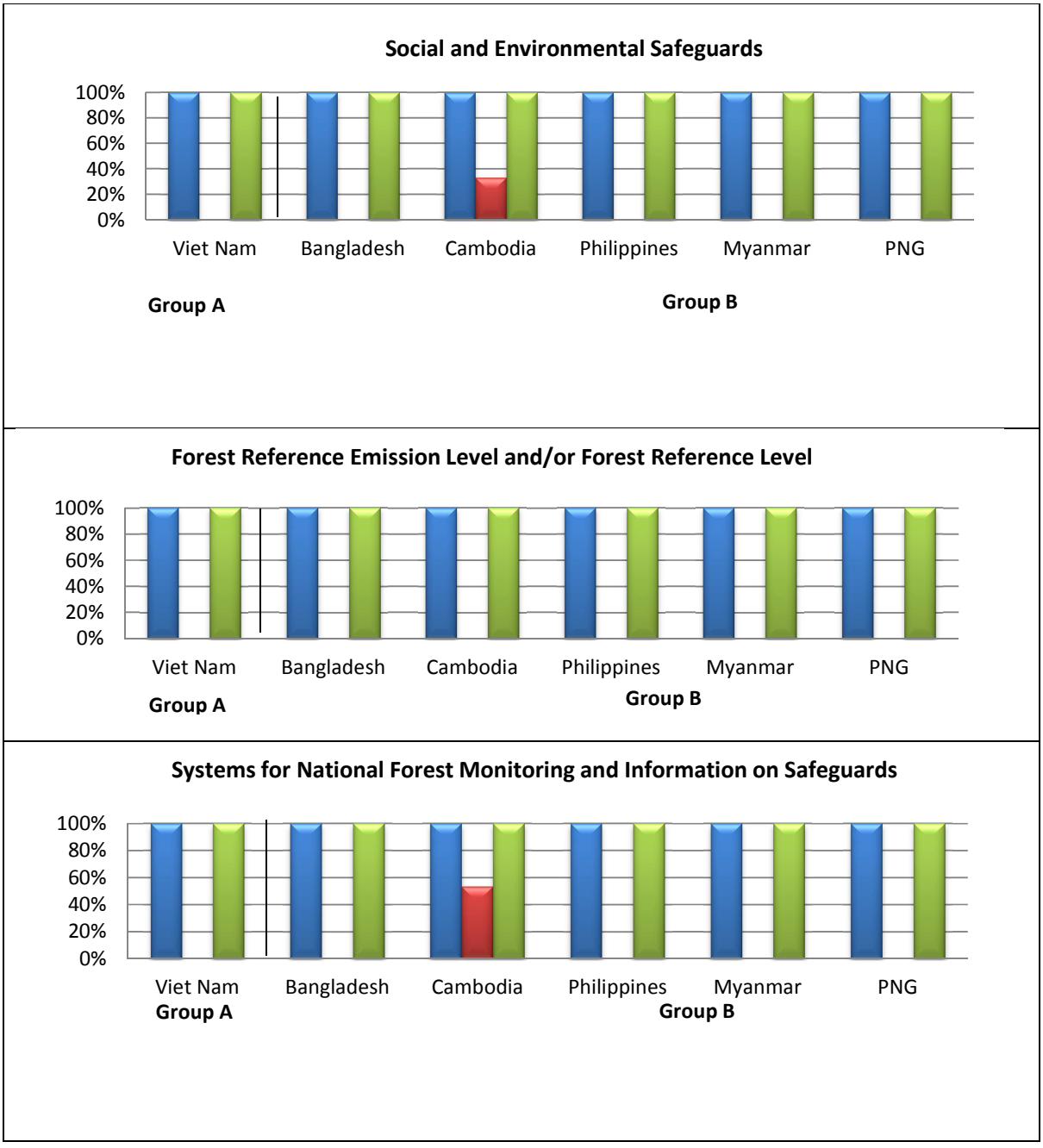
Note: The criterion for selection of the readiness elements in this table was that more than two of the five countries agreed on the answer; for details of what elements were the most urgent items by country, please see Annex 7.

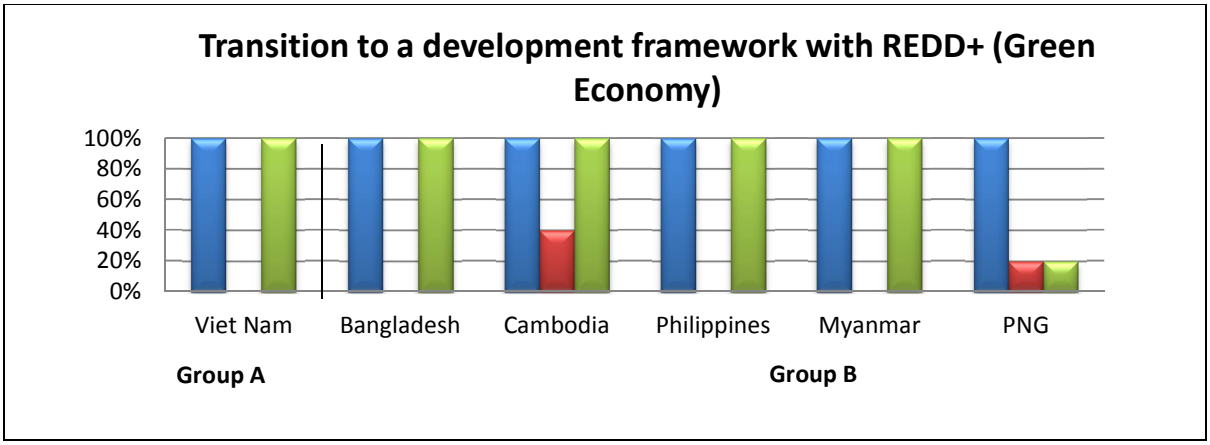
5.2.9. Support type preferred

As can be seen in the graphs below, in both groups of countries it is financial and technical support that is required. These types of support were requested for the six components analyzed. The need for administrative support is significant, specifically for Cambodia in the Governance, REDD+ Strategy, National Forest System for Monitoring and Green Economy components. Viet Nam required administrative support for the National REDD+ Governance component.

Figure 28.Typeofsupport preferred by Asian countries in REDD+



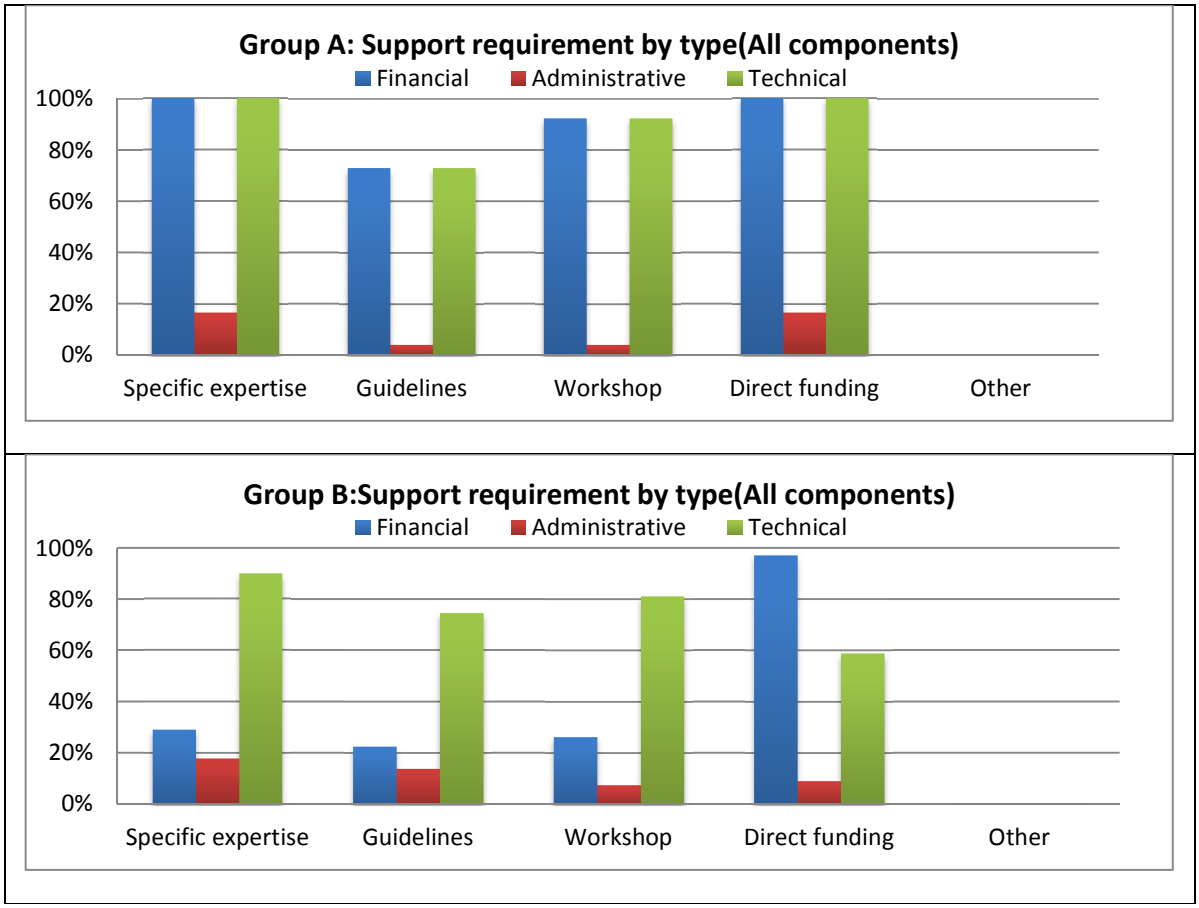

Social and Environmental Safeguards
100%
80%
60%
40%
20%
0%
Viet Nam
Bangladesh
Cambodia
Philippines
Myanmar
PNG
Group A
Group B
Forest Reference Emission Level and/or Forest Reference Level
100%
80%
60%
40%
20%
0%
Viet Nam
Bangladesh
Cambodia
Philippines
Myanmar
PNG
Group A
Group B
Systems for National Forest Monitoring and Information on Safeguards
100%
80%
60%
40%
20%
0%
Viet Nam
Bangladesh
Cambodia
Philippines
Myanmar
PNG
Group A
Group B



5.2.10. Preferred support mechanism

Mechanisms that have been proposed are: specific expertise, guidelines, workshop and direct funding. As can be seen in the graphs below, Viet Nam (Group A) prefers that the requested technical and financial support be granted through specific expertise, guidelines, workshops and direct funding. However, Group B countries prioritized mechanisms aimed at specific expertise and direct funding, with lower preference for workshops and guidelines.

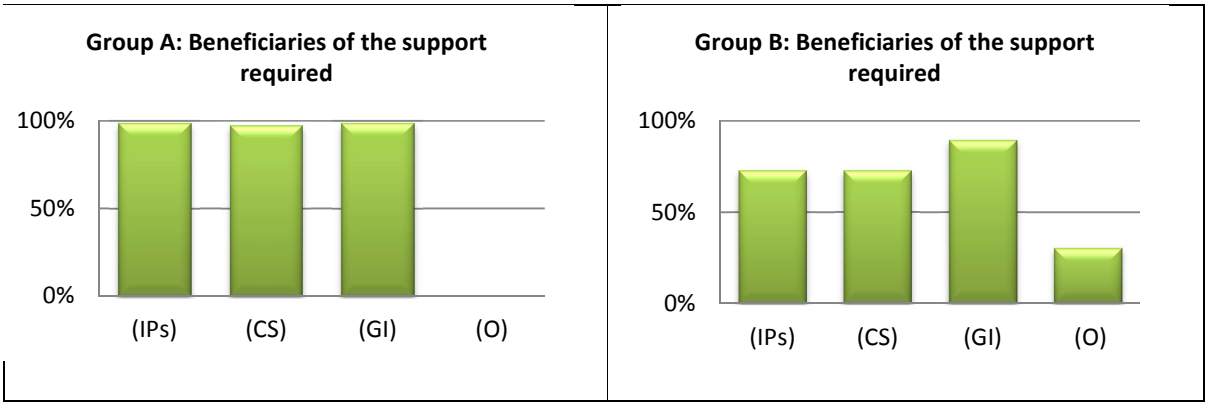
Figure 29. Support requirement by type (all components)



5.2.11. Beneficiaries of the support

Country responses indicate that the beneficiaries of the support identified above would be government institutions (GI), civil society (CS) and indigenous peoples (IPs).

Figure 30. Beneficiaries of the support required



5.3. Needs Assessment: Latin America and the Caribbean

5.3.1. Introduction

Forests, including planted forests, cover a surface area of around 4,000 million hectares worldwide, or31percent of the world's land surface area. Latin America and the Caribbean is home to 22 percent of the world's forests, with an area of approximately 860 million hectares (FAO, 2009). In South America, the greatest concentration of tropical forest is found in the Amazon Basin (97 percent), which contains a huge diversity of species, habitats and ecosystems and is home to a great number of people, especially indigenous peoples who live in close relationship with the Amazon forests (Cordero, 2011). The rate of deforestation in the region is one of the highest in the world, reaching an annual average of 0.48 percent. Of the 418 million hectares of natural forest lost at worldwide level in the 30 years up to2001, 190 million hectares were lost in Latin America (FAO, 2001).

Latin America and the Caribbean have maintained economic stability with steady growth over the past five years. Led by Brazil, it has had economic growth of 6 percent on average over the past five years, despite the fall in GDP resulting from the 2009 crisis.

Throughout the discussion processes under the UNFCCC, the countries of this region have supported the incorporation of a forest protection mechanism, ever since the clean development mechanism discussion in which conservation was not approved as an eligible activity, leaving only afforestation and reforestation. These countries have actively participated in discussions on the REDD+ mechanism and pilot conservation and REDD+ initiatives have been developed in the region, thus contributing to the international discussions.

Of the 44 forest countries in Latin America and the Caribbean, 45 percent are part of one of the REDD+ programmes and facilities. However, the progress of implementation of REDD+ strategies has been slower in Latin America and Caribbean than in other regions. This may be due to the fact that over the past five years changes in national constitutions in several countries, especially in South America (Bolivia, Ecuador, Argentina, Nicaragua), which have affected the political positions of these countries with regard to climate change, have set in motion process of reconstructing the vision of development. Radical changes in governments have also occurred in Panama and Guatemala, a principal cause of delays in the processes. Another key factor is staff turnover, considering that REDD+ is still a new issue and requires the development of additional capacities for its different aspects.

5.3.2. REDD+ contexts in the Latin America and Caribbean region

Of the 44 countries in Latin American and the Caribbean that have forest cover, 16 are partners of the UN-REDD Programme, the Forest Carbon Partnership Facility (FCPF) and/or Forest Investment Programmes. The FCPF has signed agreements with five of these countries (Colombia, Costa Rica, El Salvador, Guyana and Nicaragua) to provide formulation grants of US$200,000 for the preparation of their REDD+ Readiness Preparation Proposals (R-PPs). Of these five countries, Colombia and Costa Rica have already received almost the full grant amount.

Within the UN-REDD Programme, four of the partner countries (Bolivia, Ecuador, Panama and Paraguay), have had their national programme approved and are receiving direct financial support. Panama and Paraguay are the two countries in Latin America that are currently in the implementation phase of the strategy. Within the Forest Investment Programme, Brazil, Mexico and Peru are considered pilot countries, of which Mexico has had its investment plan approved and Peru has obtained the approval of its preparation grant request for their investment plan. The rest of the countries are in the phase of presenting and/or assessing their Readiness Preparation Proposals, National Programmes Documents or investment plans.

Table 24. Status of countries in Latin America and the Caribbean

	No. of countries	Argentina	Bolivia	Chile	Colombia	Costa Rica	Ecuador	El Salvador	Guatemala	Guyana	Honduras	México	Nicaragua	Panama	Paraguay	Peru	Suriname
FCPF																	
Countries selected	15	■	■	■	■	■		■	■	■	■	■	■	■	■	■	■
Participation agreement signed	15	■	■	■	■	■		■	■	■	■	■	■	■	■	■	■
R-PP Informal Presentation	8	■			■				■	■		■	■			■	■
R-PP assessed by the PC	7	■			■	■				■		■		■		■	
R-PP Formulation Grant signed	5				■	■		■		■			■				
3.4 to 3.6 M$ grants signed	0																
UN-REDD																	
Participant countries	14	■	■	■	■	■	■		■	■	■	■		■	■	■	■
Observer countries	12	■		■	■	■		■	■	■	■	■	■			■	■
Members countries	4		■				■							■	■		
NPD Signed	4		■				■							■	■		
PN in implementation	2													■	■		
FIP																	
Pilot Country	2																

Source: FCPF Dashboard, revised November 2011 and the UN-REDD Programme Partner Countries "at a glance" Updated January 2012

With regard to the UN REDD Programme, there are 14 partner countries, of which 12 are observers and 4 have prepared and signed their national programmes document. As at April 2012, an inception workshop had been carried out in two countries (Panama and Paraguay) and these countries are now in the implementation phase.

5.3.3. Financial aspects of REDD+ in the Latin America and Caribbean region

The table below shows identified budget requirements by countries and the allocation of funding from FCPF, the UN-REDD Programme, Government and other sources of funding.

Table 25.Financial Aspects of REDD+ in the Latin America and Caribbean Region

Countries	Total finance required (US$; thousand)	Funding Sources (US$; thousand)							
		FCPF		UN-REDD		Government		Others	
Argentina	9,206	3,490	38%			2,290	25%	3,426	37%
Colombia	14,472	3,400	18%			1,390	8%	9,682	52%
Costa Rica	13,649	3,484	26%			145	1%	10,020	73%
Guyana	5,835	3,600	62%			605	10%	1,630	28%
Mexico	23,015	3,600	16%			3,865	17%	15,550	68%
Peru	12,636	3,606	29%					9,030	71%
Guatemala	10,204	3,800	37%					6,404	63%
Ecuador	4,000			4,000	100%				
Bolivia	4,708			4,708	100%				
Paraguay	4,720			4,720	100%				
Panama	5,300			5,300	100%				
Total	107,745	24,980	23%	18,728	17%	8,295	8%	55,742	52%

Source: Preparation Proposals (R-PPs) and National Programme Documents (NPDs)

The finance figures established by Latin American countries in their Readiness Preparation Proposals and National Programmes Document total US$111 million, of which the Forest Carbon Partnership Facility will finance approximately US$25 million, 23 percent of the total, and the UN-REDD Programme $US 19 million (17 percent). Eigth percent of the budget required will be covered by governments and 52 percent of the budget remains to be covered by other sources, including the Forest Investment Programme, which plans to provide for example, between US$40 and 60 million of finance for Mexico.

The approved budgets in Latin America and the Caribbean under the Forest Carbon Partnership Framework and the UN-REDD Programme are:

Table 26. Approved funding and funding agreements signed in Latin America and the Caribbean

Country	Approved sum (US$)	Agreement signed
Bolivia	4,708,000	National Programme Document
Panama	5,300,000	
Paraguay	4,720,000	
Colombia	200,000	Formulation Grant
Costa Rica	200,000	
Peru	250,000	
El Salvador	200,000	
Guyana	200,000	
Nicaragua	200,000	
Total	**15,978,000**	

Source: Preparation Proposals (R-PPs) and National Programme Documents (NPDs)

The funding approved to date under the Forest Carbon Partnership Facility and the UN-REDD Programme in the region is approximately US$16 million, which includes the formulation grants for R-PP design and development approved to date.

With regard to the sums that have been paid out under the UN-REDD Programme, Panama has made the most progress of the three countries in terms of disbursed funds. Paraguay and Panama have both formally initiated implementation of their national programme activities, starting with inception workshops early in 2012.

5.3.4. Budget expenditure

Table 27. Cumulative budget disbursements/expenditure in the Latin America and Caribbean Region

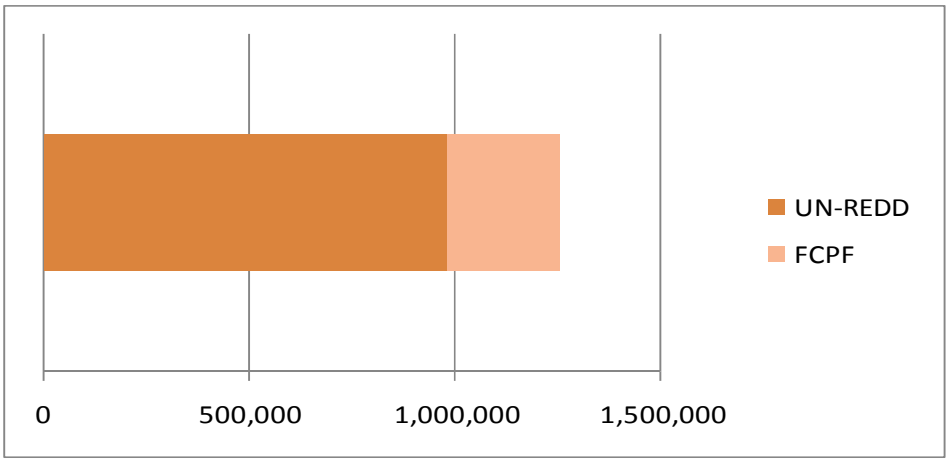
Countries	FCPF		UN-REDD Programme	TOTAL
	Formulation Grant Disbursements (of US$200,000)	Preparation Grant Disbursements (of US$3.4-3.6 million)	Cumulative expenditure to 31 December 2011	
Colombia	200,000			200,000
Costa Rica	160,915			160,915
El Salvador	52,148			52,148
Nicaragua	103,459			103,459
Bolivia			54,911	54,911
Paraguay			48,355	48,355
Panama			873,916	873,916
Total	**516,522**		**977,182**	**1,493,704**

Sources: National Programmes 2011 Annual Reports: Bolivia – Paraguay – Panama and FCPF DASHBOARD (Revised: 29June, 2012)

According to the country reports, the cumulative expenditures up to 31 December2011 have been used mainly for recruiting staff to manage the programme, capacity building activities[2], Forest Information Systems and institutional framework design.

In total, the two main sources of multilateral finance for REDD+ preparation in the region paid outUS$1,252,182from 2009 to December 2011, as shown in the figure below:

Figure 31.UN-REDD Programme and FCPF funds paid out in Latin America and the Caribbean up to December 2011 (US$)



Source: Preparation Proposals (R-PPs) and National Programme Documents (NPDs)

5.3.5. Analysis of FCPF R-PPs and UN-REDD Programme NPDs

5.3.5.1. Financing requirements in FCPF R-PPs and UN-REDD Programme NPDs

The total funding required for the 11 countries considered was approximately US$103 million, generally over a period of two or three years. The allocation of funding for the region so far is about US$20 million.

The biggest component is the monitoring system, which on average takes up 28 percent of the total finance needed[3], followed by preparation of the REDD+ strategy (27 percent) and the organization and consultation component (23 percent). The remaining 20 percent of the total requirements is taken up by the reference level and programme management components (Table 4).

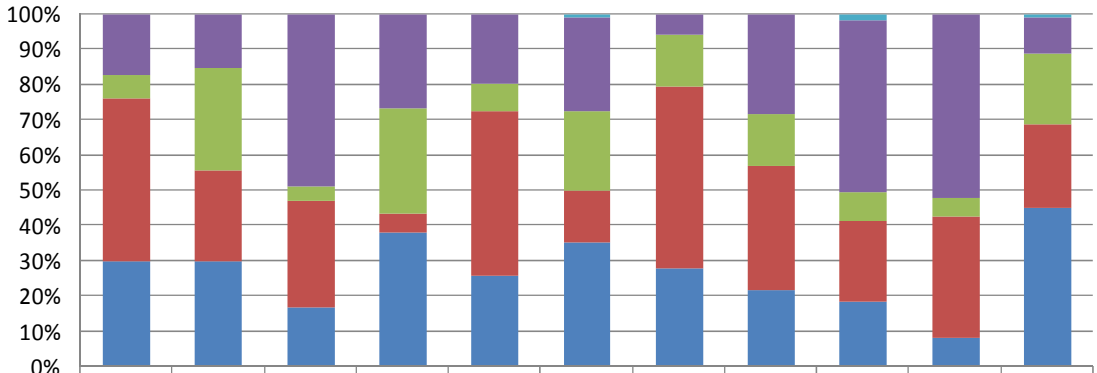
[2]The areas for capacity building were REDD+, costs and multiple benefits, indigenous peoples and other actors, reference level and Monitoring Reporting and Verification.
[3]In Mexico the budget for the monitoring system component was US$12 million, US$10 million above the average budget assigned to this component in the other countries.

There is significant variation in the use of the budgets between countries, as can be observed in the figure below. This is probably due to the different stages of REDD+ preparation that each country is at, as well as the support that is received from other finance sources.

This variation might also be explained in part by the interpretations given to some budgeted activities that defy easy classification into one of the four categories (mainly for the UN-REDD Programme countries).

The total requirements vary between countries from a minimum of US$3.5 million in Costa Rica to a maximum of US$23 million in Mexico. Colombia and Peru have finance requirements above US$10 million; the average of the remaining countries, i.e. those with finance requirements below US$10 million, is around US$5.3 million (Source: Readiness Preparation Proposals and National Programme Documents).

Figure 32.Structure of NP and R-PP budget requirements by component and country in Latin America and the Caribbean (in US$; thousands)



	Bolivia	Ecuador	Paraguay	Panama	Argentina	Colombia	Costa Rica	Guatemala	Guyana	Mexico	Peru
Programme Management						140			85		116
Monitoring System	750	527	2,149	1,414	1,875	4,930	248	2,887	2,850	12,000	1,294
Reference Level	300	1,030	187	1,580	765	4,177	642	1,520	480	1,175	2,512
REDD+ Strategy	2,030	907	1,327	278	4,450	2,735	2,240	3,581	1,355	7,940	3,027
Organize and Consult	1,320	1,054	748	2,028	2,456	6,490	1,219	2,216	1,065	1,900	5,687

Source: Preparation Proposals (R-PPs) and National Programme Documents (NPDs)

Table 28. Summary of R-PP and NP budget requirements by component (in US$; thousands)

Component	Min	Max	Average	Total
Organize and Consult	748	6,490	25.75%	26,183
REDD+ Strategy	278	7,940	29.37%	29,870
Reference Level	187	4,177	14.13%	14,368
Monitoring System	248	12,000	30.41%	30,924
Program management	85	140	0.34%	341

Source: Preparation Proposals (R-PPs) and National Programme Documents (NPDs)

The requirements budgeted for the Organize and Consult component vary between US$0.7 million and US$6.5 million (Ecuador and Costa Rica respectively). On average, 26 percent of the total amount is assigned to this component.

Costs reported with regard to the preparation of the REDD+ strategy vary between US$0.2 million in the case of Panama to US$7.9 million for Mexico. The average assigned to this component is 29 percent of the total requirement.

Within the monitoring system component too there is significant variation, from a minimum of US$0.2 million in Costa Rica to a maximum of US$12 million in Mexico. This can be explained by the fact that in Costa Rica the monitoring system has already been set up and is in operation within the National Forestry Financing Fund (FONAFIFO), whereas in Mexico the requirements are justified by the great area and diversity of territories.

Finally, the countries that require greatest investment according to their Readiness Preparation Proposals and National Programme Documents are Mexico with US$23 million (probably due to the size of the country), Guatemala with US$20 million and Colombia with US$18 million. In the remaining countries, the cost requirements identified are between US$3.5 million and 12 million.

It is evident that there is wide variation in countries' needs, and that this bears relation to the specific characteristics of each country, such as its size, the main drivers of deforestation and degradation and their relative importance, existing local capacities, other finance sources, previous investments, etc. This makes it difficult to assess the needs of all countries through the same approach. However, countries of similar size and at the same stage of REDD+ readiness could share similar needs.

This analysis will therefore only help to provide an estimate of where countries are in their preparation for REDD+. The in-depth analyses of Ecuador and Colombia can provide a better understanding of the actual and potential needs of these countries, which can be extrapolated to some extent to the rest of the region.

Component: Monitoring System

On average this component represents 28percent of the total costs assigned in the budgets of Latin American and Caribbean countries; in Mexico the proportion assigned to this component is much higher – US$12 million, which amounts to 52percent of the total budget. Like countries in other regions, Latin American and Caribbean countries also responded to questions regarding Measurement, Reporting and Verification within their existing or proposed REDD+ programmes, all of which were analysed and are presented in this section. In this regard, a useful reference conducted by Herold (2009) has been relied upon to provide corroborative evidence on the needs of Latin American and Caribbean countries in Measurement, Reporting and Verification. The study, entitled 'An assessment of national forest monitoring capabilities in tropical non-Annex I countries; Recommendations for capacity building', has made specific recommendations for each country in regards to its Measurement, Reporting and Verification needs and is presented in Annex 7.

Component: Organize and Consult

The Organize and Consult component represents a significant percent of the total budgeted costs in the majority of Latin American and Caribbean countries. This is explained by the fact that the forests of the region, especially those of the Amazon basin, support a large number of indigenous peoples that depend on the forests for subsistence.

The Coordinator of the indigenous peoples of the Amazon Basin (COICA) affirms that 390 ancestral peoples inhabit the region, with a total population of 2,780,000 inhabitants, in a territory of 10,270,000 square kilometres.

Table 29.Indigenous peoples in Latin America

Country	Total National Population	Indigenous Peoples Nationalities[4]	Indigenous Population	% Indigenous Population
Argentina (2001)	36,260,160	30	600,329	1.7%
Bolivia (2001)	8,090,732	36	5,358,107	66.2%
Chile (2002)	15,116,435	9	692,192	4.6%
Colombia (2005)	41,468,38	83	1,392,623	3.4%
Costa Rica (2000)	3,810,179	8	65,548	1.7%
Ecuador (2001)	12,156,608	12	830,418	6.8%
El Salvador (2007)	5,744,113	3	13,310	0.2%
Guatemala (2002)	11,237,196	24	4,487,026	39.9%
Guyana (2001)	751,223	9	68,819	9.2%
Honduras (2001)	6,076,885	7	440,313	7.2%
Mexico (2000)	100,638,078	67	9,504,184	9.4%
Nicaragua (2005)	5,142,098	9	292,244	5.7%
Panama (2000)	2,839,177	8	285,231	10.0%
Paraguay (2002)	5,163,198	2	108,308	2.1%
Peru (2008)	28,220,764	43	3,919,314	13.9%
Surinam (2006)	436,935	5	6,601	1.5%
Latin America and the Caribbean	283,152,165		28,064,567	9.9%

Source: Socio-linguistic Atlas of Indigenous Peoples in Latin America, 2009

There is significant variation in the distribution of indigenous peoples: Bolivia and Guatemala, with 66percent and 40percent respectively, have the highest percent of indigenous population on the continent. In terms of the absolute number of indigenous people in each country, Mexico, Bolivia, Guatemala, Peru and Colombia are home to 87 percent of the total indigenous population of Latin America and the Caribbean, with a high of 9,500,000 indigenous people in Mexico and a low of 1,400,000 in Colombia.

On average, indigenous peoples inhabit 10 percent of national territory, of which a significant percent live in forest areas. This characteristic, specific to the continent, is what makes the issue of participation and consultation so important, and also in some cases quite complex. In practical terms, in some countries, such as Guatemala, it is necessary for this consultation process to include almost 40 percent of the national population.

Many of the demands of these countries, as well as the work being done by the agencies, indicate the importance of this component. Many countries, such as Paraguay, have developed specific studies to support this component, such as the Proposed Protocol for a Consultation and Consent Process with the indigenous peoples of Paraguay or the Basic Orientation for Working with Indigenous Peoples for Civil

[4]Indigenous peoples nationalities are distributed across more thanone country in the Latin America and Caribbean region

Servants (also from Paraguay). These documents and other similar studies have been of vital importance and have served as guidelines for dealing with the issue of participation and consultation in these countries. The UN-REDD Programme and UNDP are working on Consent, which will incorporate lessons learned from the Asia-Pacific region, citing specific examples from the Philippines and Indonesia, and thus supporting knowledge creation on these key readiness issues. Consultation activities to develop these guidelines were undertaken in Panama, 2010.

Component: REDD+ Strategy

Another component identified as key is that of the REDD+ Strategy. The main activities identified by countries in their National Programme Documents within this component relate to creating validated and operational REDD+ payment and benefit distribution systems, developing socio-economic analysis of implementation experiences with regard to the REDD+ action plan, and frameworks for the implementation of REDD+ pilot projects.

According to the Readiness-Preparation Proposals and National Programme Documents of member countries, the aim is to have a National Measurement, Reporting and Verification system, but implementation will begin in selected pilot areas. There, it will be necessary to develop the reference level, perform specific land use change analysis identify alternative income-generation activities, and define a financial mechanism to address the specific context for each pilot area or priority region. It is not yet known how the MRV pilot areas or regions will support a national approach. As countries begin to understand the REDD+ challenges better, the subnational approach and the national approach become closely intertwined.

In most countries in the region, the REDD+ projects or programmes that are being implemented lack clear guidelines or minimum requirements for quality control and for avoiding unintended consequences.

5.3.6. National Development Strategies with REDD+

National REDD+ strategies must be prepared under a more strategic umbrella in order to ensure a positive impact on national natural resources management. In the context of a development strategy that includes potential REDD+ funding flows, it is important to consider scenarios in which forests can provide sustainable resource flows comparable with other activities, such as mining.

The countries that have developed or are developing Low Emission Developments Strategies include Guyana, Dominican Republic, Costa Rica, Mexico and Brazil, of which Brazil is formally integrating REDD+ into its development framework. In other regions, Papua New Guinea, the Democratic Republic of the Congo and Indonesia have already developed REDD+ strategies.

In Guyana, the Government is planning to include REDD+ in its development strategy in four main phases:

1. Interim payments to launch the Low Carbon Development Strategy (Includes funding for a Measurement, Reporting and Verification system) (2009)
2. Transitional funding that will be used for: capacity building, investment required to build a low carbon economy, human capital development (2010 – 2015)
3. Continued payments to avoid deforestation (payments will be used for: further investments in a low carbon economy, capacity building, climate change adaptation) (2013 – 2020)
4. At scale, the REDD+ mechanism should: provide incentives at or above the Economic Value to the Nation, account for increasing value for the forests (2020 onwards).

In September 2011,the Government of the Dominican Republic published 'A Journey to Sustainable Growth; The draft Climate-Compatible Development Plan (CCDP) of the Dominican Republic, which provides the vision for accelerating its strong track record in economic growth to become a high income country by 2030. The Government of the Dominican Republic looked at the experiences of other developing countries that have embarked on transformation journeys and identified five factors and core principles as key to implementing high-impact climate-compatible development plans.

Those factors and core principles require high-level commitment and leadership, which means meaningful involvement of and strong leadership from the head of State and head of government, following through on the National Development Strategy 2030, supporting current legislation under development, and kick-starting a holistic economic and social reform agenda. The key factors and core principles are:

1. Effective institutions and systems, requiring coordination between different ministries and progress monitoring.
2. Stakeholder mobilization, requiring wide stakeholder input and support from civil society, the public sector, the private sector, and the general public.
3. Comprehensive, government-wide capabilities, requiring capacity and capability building at multiple levels in all of the institutions involved in order to provide both the content ownership and process management necessary to continually drive and evolve the implementation of the CCDP.
4. Smart financing: implementing the Dominican Republic's CCDP will require funds of up to US$17 billion within the next two decades, on top of the required capital in the business as usual scenario, which will require a holistic "smart" financing strategy.

Finally, Brazil has made significant progress with regard to its climate change policies and its legal framework. It currently has an action plan for the prevention and control of legal deforestation in the Amazon, supported by National Decree since 2003. It also has a national policy of reducing national emissions by approximately 38percent by 2020, a challenge set down in Law Nº 12. 187, 'Política Nacional sobre Mudança do Clima', 2009.

The potential importance of the REDD+ component in a National Low Emissions Development Strategy is evident. However, the level of impact will differ from country to country according to the experiences

considered. The following needs have been identified as those that should be considered for integrating REDD+ into the national development strategy:

- High level political commitment;
- Capacity building at all levels, both centrally and within sectors;
- Efficient institutional system;
- Participation and agreements between key sectors involved;
- Develop a multi-step plan
- Prepare climate change profiles and vulnerability scenarios
- Identify strategic options leading to low-emission climate-resilient development trajectories;
- Identify policies and financing options to implement priority climate change actions;
- Prepare low-emission climate-resilient development roadmap;
- Understanding of similar processes elsewhere in the region.

5.3.7. Needs Assessment in Latin America and the Caribbean

5.3.7.1. Regional context: REDD+ process

Achievements in readiness to date are diverse and dependent on political commitment, and economic and social state of development. One key early component that needs to be in place to move into a readiness stage is a solid institutional network both public and private which includes the IPs sector for a participative and transparent readiness process. In Colombia for example, the progress achieved in their MRV system is significant, the relatively high importance the government is given to Natural Resources management, has provided a good technical base for a REDD+ readiness. In Ecuador REDD+ will contribute to the fulfilment of other national objectives as set in the Constitution, the National Development Plan, Environmental and Climate Change laws and policies which gives a clear strategic platform for REDD+ readiness. Identification of the current dynamics and level of organization and capacity building needs from indigenous, Afro-Colombian and peasant communities at national, regional and local levels is seen also as a vital information to carry out the REDD+ readiness process not only in Colombia but is a key element for all countries.

Other countries like Argentina and Honduras present readiness achievements related to establishing dialogue and consultation processes, training key stakeholders to generate information about carbon pools and identifying the causes of degradation and deforestation, and the start of pilot activities. As can be seen in this section and in greater detail in Annex 9, achievements in the countries are quite diverse: Mexico and Costa Rica top the list of countries who have made progress in REDD+ in Latin America and the Caribbean; Ecuador and Colombia are starting from a solid base; whereas countries such as Honduras, Paraguay and Argentina are in the very initial stages of the REDD+ readiness process.

5.3.7.2. Identified needs and challenges

On the basis of the general review of progress made on the issue of REDD+ in Latin America, it is evident that in countries in the implementation phase of their National Programmes, greater progress has been made on technical activities than on activities related to social and political issues.

UNDP requires certain local conditions to be in place in order to be able to start its work, given that the specialised components that this agency works with include sensitive issues, covering political, social and governance aspects. These aspects seem to significantly affect institutional and stakeholder coordination processes, which is important given that these processes are fundamental in structuring REDD+ in the national context.

On the other hand, it is important to consider that REDD+ is a relatively new issue and is therefore complex for the majority of Latin American countries. The lack of specialised capacities for dealing with REDD+ is therefore still a significant gap, especially in the National Programme implementation phase.

The review has highlighted the lack of human resources for coordinating National Programmes; in some cases the national focal points identified for REDD+ implementation do not have sufficient staff, or the staff time assigned to these issues is not sufficient to cover the needs of the process.

The political and social situation can hinder institutional coordination and coordination with other key stakeholders, delaying the process with regard to consultation, coordination and effective institutional coordination. It is therefore necessary to focus greater support on creating and/or strengthening the local structure for designing and implementing REDD+, as well as providing support for strengthening coordination processes that are required for structuring REDD+.

In the initial stages, additional technical support from REDD+, UN-REDD Programme and FCPF staff can help to move the country forward faster and more smoothly.

5.3.7.3. Main findings in Latin America and the Caribbean

The countries that participated in the Country Needs Assessment were Paraguay, Mexico, Argentina, Costa Rica, Honduras, Ecuador and Colombia.

In order to facilitate the assessment, countries were assigned to two groups, based on similar REDD+ readiness progress:

> Group A: High REDD+ readiness progress – Costa Rica and Mexico
>
> Group B: Medium and low REDD+ readiness progress– Paraguay, Ecuador, Colombia, Argentina and Honduras.

5.3.8. Regional analysis (by group of countries)

5.1.8.1.Analysis Group A (Mexico and Costa Rica)

It should be noted that Costa Rica only required support in the Governance Component; the rest of the components reflect only Mexico's requirements.

VERY URGENT
Group A
Governance
Institutional capacity, coordination mechanisms and legal framework
c) Identification of institutional strengthening requirements, for example to improve law enforcement capacities, MRV, among others
f) Legal evaluation on how to integrate carbon rights into the existing legislation, including coordination and consultation on how to assign carbon rights
Benefit Sharing
d) Identification, assessment and use of prior experiences, including PES and REDD+ demonstration activities to inform REDD+ strategy design/implementation
Consultation and participation process (indigenous peoples, civil society organizations, private sector and other stakeholders)
b) Capacity development and information dissemination to indigenous peoples, forest-dependent communities and others, to ensure their informed participation in the management of REDD+
Social and environmental safeguards
Information on safeguards
b) Frameworks to monitor and manage the risks and impacts during REDD+ strategy implementation (e.g. policies, governance, multiple benefits, participation)

Governance remains a key support component for this group.

5.3.8.2.Analysis Group B (Ecuador, Colombia, Honduras, Argentina and Paraguay)

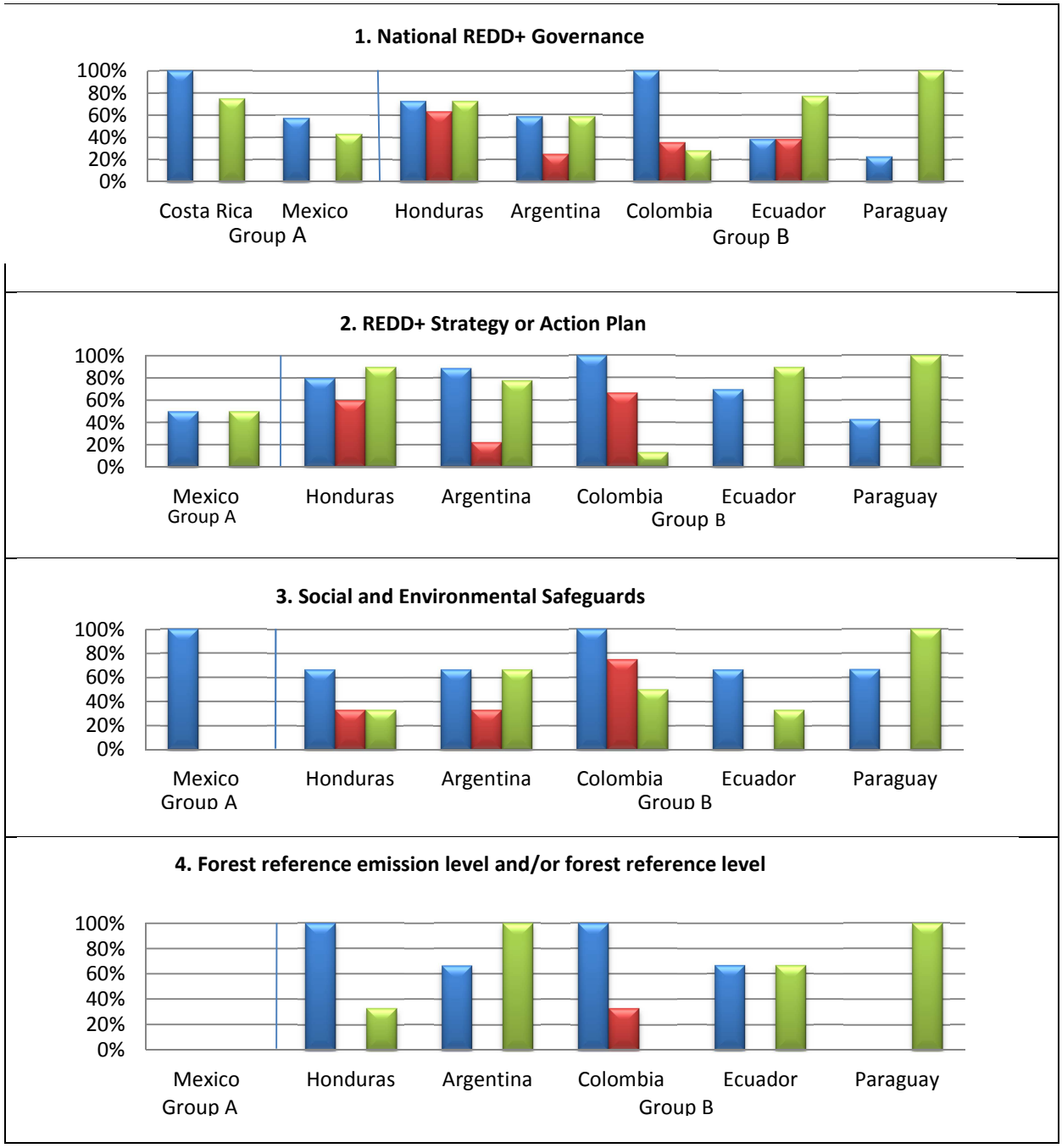
VERY URGENT					
Governance	**Honduras**	**Argentina**	**Colombia**	**Ecuador**	**Paraguay**
Institutional capacity, coordination mechanisms and legal framework					
a) Assessment of institutional reforms and new institutional arrangements needed for REDD+ design /implementation.					
f) Legal evaluation on how to integrate carbon rights into the existing legislation, including coordination and consultation on how to assign carbon rights					
Benefit Sharing					
d) Identification, assessment and use of prior experiences, including PES and REDD+ demonstration activities to inform REDD+ strategy design/implementation					
Consultation and participation process (indigenous peoples, civil society organizations, private sector and other stakeholders)					
a) Formal procedures for stakeholder consultations					
b) Capacity development and information dissemination to indigenous peoples, forest-dependent communities and others, to ensure their informed participation in the management of REDD+					
c) Formally recognized and applied mechanisms for conflict resolution under REDD+. (carbon rights, indigenous peoples' land tenure, others)					
REDD+ Strategy or Action Plan					
Development of the REDD+ Strategy and Options					
e) Cost assessments (opportunity, implementation, institutional and transaction costs) of REDD+ action at local, regional and National Level to inform Policy and decision making.					
f) Identification or assessment of major inconsistencies or conflicts between the objectives of the REDD+ strategy and policies and programmes in other sectors (e.g. transport, agriculture, energy, mining, tourism), and ways to address them.					
Multiple benefits of forests and REDD+					
a) Information systems on ecosystem based multiple benefits of forests, REDD+ and socials benefits.					
Social and environmental safeguards					

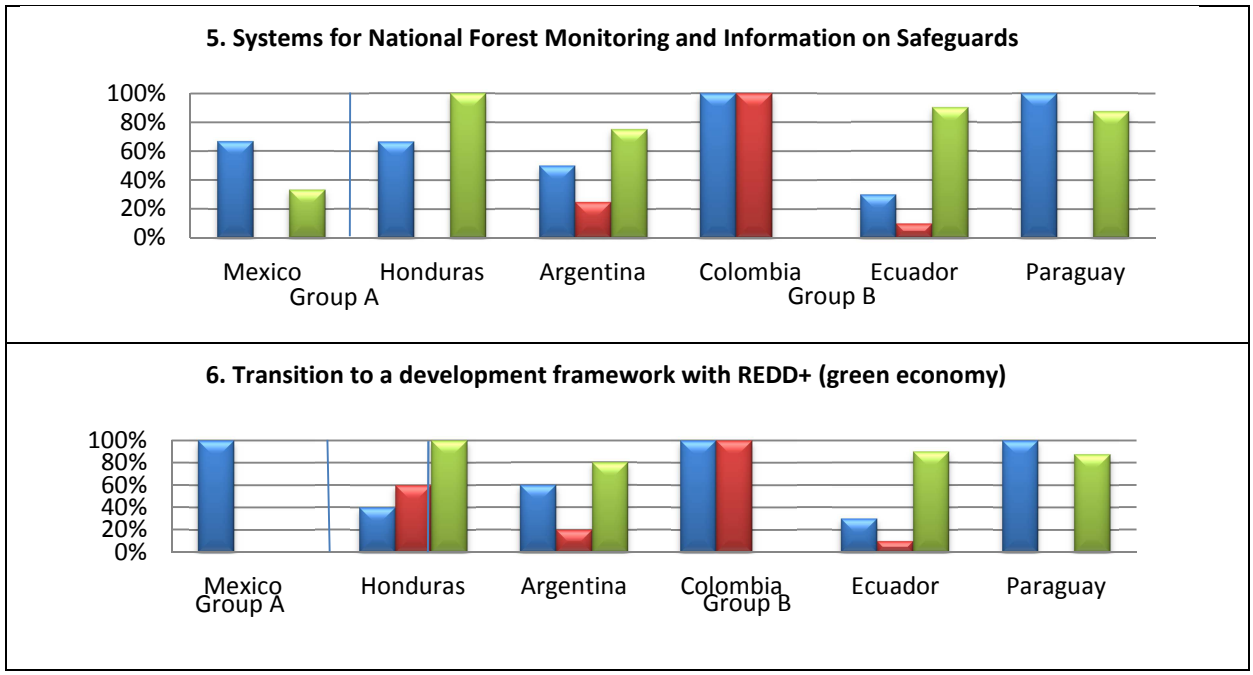
Information on safeguards					
a) Identification and understanding of key social, political, economic and environmental risks of REDD+ strategy options.					
c) Assessment of key gender-based risks and potential benefits, and opportunities of REDD+ strategy options, implementation framework					
National forest monitoring systems and information on safeguards					
Design of an information system on multiple benefits, other impacts, governance and safeguards					
e) Identification of mechanisms for establishing independent monitoring and reviews that allows the effective and appropriate participation of civil society, indigenous peoples, forest dependent communities, and other stakeholders.					

5.3.9.Preferred support mechanism

Financial Support
Administrative Support
Technical Support

Figure 33. Preferred support mechanism in Latin America and the Caribbean





As can be seen in the Figure above, the type of support required in Group A countries is predominantly financial; only the Governance and Monitoring and Information on Safeguards components require technical support. In Group A countries, financial and technical support are the most important types. Only for Colombia is Administrative support more important than technical and financial support in all components.

Table 30. Preferred Support Mechanism in Latin America and the Caribbean

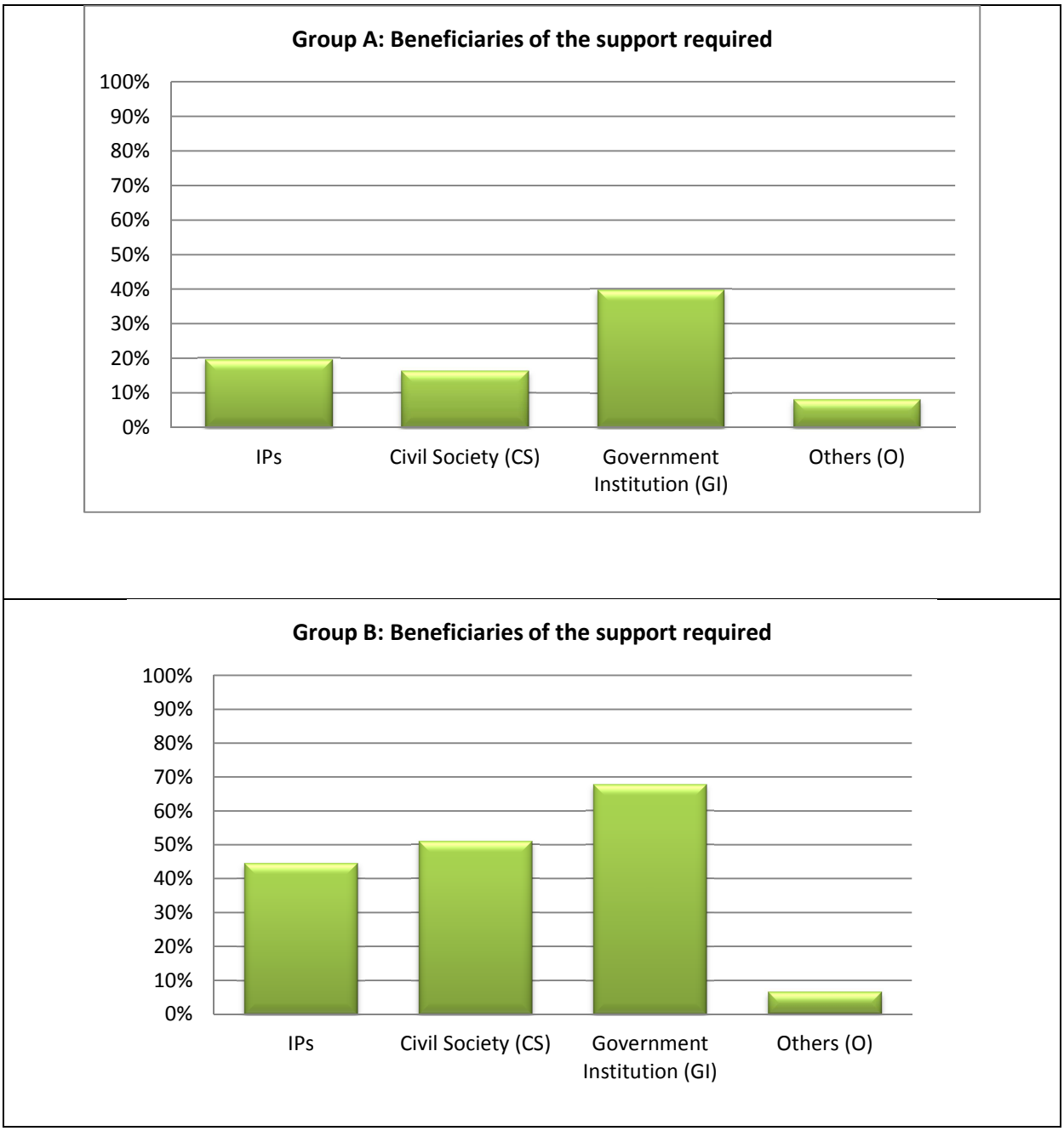
Component			Specific expertise	Guidelines	Workshop	Direct funding	Other
1. National REDD+ Governance	Group A	Financial	38%	0%	50%	25%	0%
		Administrative	0%	0%	0%	0%	0%
		Technical	67%	33%	17%	17%	0%
	Group B	Financial	29%	21%	67%	68%	29%
		Administrative	67%	67%	40%	50%	50%
		Technical	60%	27%	32%	7%	7%
2. REDD+ strategy or action plan	Group A	Financial	0%	0%	0%	50%	0%
		Administrative	0%	0%	0%	0%	0%
		Technical	50%	0%	0%	0%	0%
	Group B	Financial	50%	25%	69%	38%	25%
		Administrative	50%	50%	33%	50%	25%
		Technical	76%	33%	31%	36%	21%
3. Social and Environmental Safeguards	Group A	Financial	0%	0%	25%	25%	0%
		Administrative	0%	0%	0%	0%	0%
		Technical	0%	0%	0%	0%	0%
	Group B	Financial	50%	25%	50%	25%	50%
		Administrative	0%	50%	0%	50%	50%

		Technical	100%	75%	50%	25%	50%
4. Forest reference emission level and/or forest reference levels	Group A	Financial	0%	0%	0%	0%	0%
		Administrative	0%	0%	0%	0%	0%
		Technical	0%	0%	0%	0%	0%
	Group B	Financial	92%	0%	58%	50%	25%
		Administrative	0%	0%	0%	0%	0%
		Technical	100%	0%	67%	58%	42%
5. Systems for National Forest Monitoring and Information on Safeguards	Group A	Financial	25%	0%	25%	25%	0%
		Administrative	0%	0%	0%	0%	0%
		Technical	0%	0%	50%	0%	0%
	Group B	Financial	50%	0%	5%	60%	5%
		Administrative	50%	0%	0%	0%	0%
		Technical	90%	60%	37%	27%	0%
6. Transition to a development framework with REDD+ (green economy)	Group A	Financial	0%	0%	0%	50%	0%
		Administrative	0%	0%	0%	0%	0%
		Technical	0%	0%	0%	0%	0%
	Group B	Financial	58%	33%	25%	33%	17%
		Administrative	33%	33%	0%	0%	0%
		Technical	100%	70%	23%	13%	13%

The table above systematizes the matrices obtained with regard to the support mechanisms needed by countries. As can be seen in the table, for Group B the most important support mechanisms under administrative support for the Governance component were Specific Expertise and Guidelines; under financial support, workshops were required.

5.3.11 Beneficiaries of the support

Figure 34. Beneficiaries of the support in Latin America and the Caribbean



6. In-depth country needs assessments

6.1. Introduction:

The needs assessment was based on country responses to questions structured under the five components of REDD+ readiness in a response matrix and a set of six semi-structured questions. In the matrix, countries were requested to give an indication of where they had needs, the urgency of that need, the type of support they required to meet the needs and the preferred mechanism of delivery. They were also requested to estimate the costs of their needs but without any prescription

being made as to how those estimates should be calculated. In this section, in-depth assessments added more information to the two types of responses already described. In this sub-section, each country report starts with some background information on the forest sector, REDD+, socio-economic conditions and REDD+ governance. This is followed by a brief description of the approach to in-country interviews and description of the results of the interviews and the results of the assessment, the initial five priority needs (when that was provided), the context of those needs, the results of the matrices received by the government, indigenous peoples, civil society, universities and conclusions and recommendations. The country needs assessments were send to each of the governments for review, comments were received and final documents developed.

The countries visited were:

Africa: Democratic Republic of the Congo, and Tanzania

Asia: Cambodia and Papua New Guinea, the Philippines and Viet Nam

Latin America and Caribbean: Colombia and Ecuador.

6.2. Country Needs Assessment Reports

Please refer to the Country Reports - In-depth Assessments.

7. Results and discussion

7.1. Background

This section presents results based on analysis of data from the response matrices that were filled in by countries that participated in the study. It starts with results presented at the global level and arranged in two parts – first by Group A, which comprises countries that are at a relatively more advanced stage of REDD+ readiness, and then Group B countries, which are still in the initial stages.

The results presented at the regional level by countries in Group A and B for Africa, Asia and Latin America and the Caribbean are summarized in this section. The analysis is given with regard to both components and sub-components of readiness, including the additional component on transition to a green economy.

For the countries that were subject to in-depth needs assessments, the information in each of the six country reports is very rich in terms of the context of the needs and the specific national circumstances. The chapter concludes with a brief discussion of the findings and recommendations.

7.1.2. Limitations of the data

The data in the matrices that express whether countries have needs, the degree of urgency of each need, the type of need and the preferred methods or mechanisms of delivery are the main results of the exercise. A study of the responses from countries that were not visited suggests that in some cases, there was a tendency to ‘tick off’ or express needs under several or even all of the REDD+ components, sometimes without a strong degree of separation as to where the most urgent needs are. The possible effect of such cases is masking differences in priority needs, or not clearly

separating what the most urgent priority needs are. In the case of Asia Pacific, most of the countries indicated that all readiness elements were needed, and only Papua New Guinea had a more distinctive set of results in that regard.

The in-depth country needs assessments permitted deeper analysis of the countries' specific national circumstances, providing the context for the needs stated, and thus enabling the identification of more specifically focused technical assistance than was possible for those that were not visited. They in-depth assessments also allowed all stakeholders to present their concerns and visions on the needs of the country, especially in some countries where joint meetings were held to discuss the problems and priorities of each country openly and find ways of resolving some deficiencies together. The fact that each country visited had to review and give comments and agree with the information provided in the document was extremely useful, enabling joint work between the government officials and the consultants.

With regard to the costs of stated needs, the country needs assessment exercise did not prescribe a structure for the estimation of costs and the matrix even included a question as to whether support was required to estimate the costs. As a result, the cost estimates provided vary widely between countries and are not based on a shared set of budgeting guidelines and funding limits, as was the case in Readiness-Preparation Proposals and National Programme documents.

7.2. Global results

7.2.1. Analysis: by Group A and B countries

The readiness elements that were considered very urgent and that were common among the three regions are presented by component and by Group A (advanced countries) and Group B (countries in early stages of readiness). The countries were grouped as follows:

Table 31.Composition of analysis Groups A and B by region.

	Latin America and the Caribbean	Africa	Asia
Group A	Mexico and Costa Rica	Democratic Republic of the Congo, Republic of the Congo, Ghana and Tanzania	Viet Nam
Group B	Honduras, Argentina, Colombia, Ecuador and Paraguay	Nigeria, Central African Republic, Kenya and Zambia	Bangladesh, Cambodia, the Philippines, Sri Lanka, Myanmar and Papua New Guinea

NOTE: Countries listed in the table are those that returned their full matrices and therefore contributed to this analysis.

7.2.2. Summary of the results

The assessment based on the matrices shows that 71 percent of the Group A countries, considered comparatively more advanced in Governance Components, are very urgently in need of sufficient capacity to implement REDD+ programmes. As they move forward, they also need to consider further institutional reforms and any associated additional requirements. This may be a key issue for Mexico and Costa Rica, where the institutional framework for payment for environmental services (PES) is already in place but REDD+ might need adjustments or the consideration of new institutional requirements. *This scenario could offer an interesting resource, as information on the kind of institutional framework that has worked in the context of Mexico and Costa Rica may be useful for other countries to consider.*

In the REDD+ Strategy and Options component, 71percent of countries were seeking tools to better understand and simulate the impacts of REDD+ policies at regional and local levels, as well as to assess the drivers of land use change at these levels. For the National Forest Monitoring Framework, 57percent of countries have asked for financial and technical support for statistical analysis and interpretation capacities as well as capacity for estimating terrestrial carbon, leakage and reversals and monitoring approaches.

Group B countries rated more components and sub components readiness elements as very urgent compared to Group A countries. Under Governance, and in addition to the elements selected by Group A, the readiness elements identified as very urgent were Coordination and Effective Mechanisms with stakeholders, and also an inter-ministerial coordination mechanism at political, technical and administrative levels. REDD+ countries want to initiate and take the REDD+ process forward in a participatory way and are in need of efficient communications and coordination mechanisms to do so.

For Benefit Sharing, Consultation and Participation Process, 86 percent of countries require procedures for stakeholder consultations, 73 percent require capacity to improve information dissemination to stakeholders, 48percent require assessment of previous experiences related to REDD+ and 46percent require implementation of conflict resolution mechanisms.

With regard to REDD+ Strategy, 60 percent of countries required information systems on ecosystems-based multiple benefits and 46 percent need to determine opportunity costs and transaction costs at local, regional and national levels. For Safeguards, 60 percent of countries need to develop an understanding of the social, political, economic and environmental risks associated with REDD+ strategy options, and 46 percent want to go further and understand gender-based risks and opportunities.

In the area of National Forest Monitoring (MRV) and Information on Safeguards, 60 percent require capacity for estimating terrestrial carbon and to achieve compliance with International Monitoring Systems, 46percent need to identify the scope and roles of stakeholders in design and implementation of safeguards and determine the tier level for estimation of carbon stocks, changes and carbon pools. Under Reference Levels, 70 percent or more of countries from Africa and Asia require support and just over 50 percent in Latin American and Caribbean countries.

The type of support preferred varies by component, but financial support is more important for Group A, whereas Group B prefer financial and technical support. Only in Colombia was administrative support considered more important than technical and financial support for all components.

For Group A countries, the beneficiaries of the support will be governments institutions, but Group B countries ranked indigenous peoples, civil society and government institutions almost equally. This was especially true for Latin American countries, where consultation and participatory processes are seen as key to success in REDD+ and countries are devoting resources and time to building participatory processes from the outset.

7.2.3. Discussion of global results by readiness elements and by region.

As is to be expected and has already been discussed, country needs differ in type and scale depending on the size of their forest cover, stages of readiness and socio-economic conditions, including drivers of cover change. Based on the six countries that were visited, and the responses to the matrices of other countries, some general needs have emerged which are listed and explained below:

i. The analysis of the response matrices showed that 80 percent of all countries prioritized Governance (institutional strengthening, legal frameworks and benefit sharing) for support. This supports the findings of the six in-depth country studies, which revealed that the capacities (systemic, institutional and individual) of sub-national structures such as provincial or district structures should be prioritized as this is where REDD+ Programmes will be implemented. Democratic Republic of the Congo, for example, calls this priority "the decentralization of REDD+"; Papua New Guinea and Cambodia also identified this as a priority.

ii. Also under Governance, legal frameworks to support the implementation of REDD+ and to resolve land tenure and carbon rights issues in the REDD+ context are needed in virtually all existing and nascent REDD+ country strategies. This need is particularly important because it helps countries to develop incentive-based models that will generate stewardship over forests and wooded landscapes. For example, the need for legal frameworks and guidelines for pilot REDD+ programmes/projects is clear in the Latin American region, due to continuous complaints, particularly from indigenous peoples, of abusive contracts sometimes imposed on indigenous groups without the participation of their mother organizations or the government.

iii. For benefit sharing, consultation and participation process, 86 percent of countries require procedures for stakeholder consultations, 73 percent require capacity to improve information dissemination to stakeholders, 48 percent require assessment of previous experiences related to REDD+ and 46 percent require implementation of conflict resolution mechanisms.

iv. The sub-component on safeguards also came up as an area of high priority, particularly for Asian and Latin American countries, and even in Africa the response rate was over

60percent. This is also linked to the observed increase in REDD+ funding going on consultations in Latin America because of issues over land ownership and social risks. Similarly, Asian nongovernmental organizations stressed the need to test and improve the implementation of safeguards and also FPIC principles.

v. The need for more support to be put into REDD+ strategies is justified since it was the second highest priority after governance in the majority of countries, irrespective of region. In fact the testing of strategy options and use of pilot sites came up as a high priority. This is quite consistent with countries in Africa, Asia and Latin America expressing the need for REDD+ pilot programmes/projects, since they offer testing and learning and also help to create buy-in from communities and local and central governments.

vi. There was also an expressed need across all the three regions to receive more support on the core technical aspects of setting reference levels and MRV. This need implies an imperative to help countries to build national technical capacities to substantively participate in setting reference levels/reference emission levels, test models and build expertise in maintaining national forest and carbon databases. In the majority of countries visited, these two aspects of REDD+ tended to be run by external experts, with the exception of some countries in Latin America and, to the extent that monitoring a country's own valuable resources is of strategic importance, it definitely deserves priority support. Capacity for monitoring safeguards, co-benefits and the drivers of deforestation and forest degradation is also important.

In addition to the above needs, which are core to the REDD+ concept, there are also other issues that countries need support to deal with that are not normally expressed under the readiness components. These needs could be termed as supporting measures for managing REDD+, and while this study cannot claim any authority on them, the country visits suggested that attention should be paid to the following issues:

i. Overcoming what appears to be waning political interest in REDD+ within countries, mainly caused by the slow disbursement of REDD+ funds and lengthy processes before benefits accrue to local people, protracted international negotiations, limitations of voluntary markets and others. These lead to the suggestion that countries need support to demonstrate strong business cases for REDD+ in relation to other competing land policies. This could be supported by quantitative methods that can demonstrate the mid to long-term detrimental effects of drivers of deforestation and forest degradation in both ecological and economic terms. Both of these could help create a sense of urgency for REDD+ and justify the level of investment that is required.

ii. In all countries visited, particularly in Africa and Asia, there is an urgent need to strengthen local nongovernmental organizations and community groups, and improve their capacities to participate in REDD+ alongside decentralized government institutions. However, this should be done without alienating central governments.

iii. In a number of countries, such as the Democratic Republic of the Congo, Papua New Guinea and Cambodia, there is a strong desire to link pilot projects to carbon markets and in the process to build capacity and experiences in performance and result based payments.

iv. Another issue that could be worth further investigation is the setting of minimum investment thresholds in REDD+ needed by a given country, in order to create the desired impact for REDD+ and possibly produce transformative changes to enhance the adoption and sustainability of REDD+ within a country. Without a robust economic analysis, Democratic Republic of the Congo has suggested such a threshold for itself at US$500 million. It would be worthwhile investigating this threshold for a few representative REDD+ countries.

v. In countries where forest land is under pressure for commercial conversion that would inhibit the success of REDD+, suitable mechanisms need to be devised that would, among other things, strengthen forestry administrations, protect fragile and high conservation value forests and also enhance the potential for the rural poor to share in the benefits of legitimate investments that are associated with conversions of forest lands.

7.3. Regional Analysis

It is evident that there is wide variation in the needs of different countries, which bear relation to the specific characteristics of each country, such as its size, the main drivers of deforestation and degradation and their relative importance, existing local capacities, other finance sources, previous investments, etc. As a result, it is often difficult to assess the needs of all the countries through the same approach. However, countries of similar size and at the same stage of REDD+ readiness might have similar needs.

The results of the country needs assessment in the Latin American and Caribbean region indicate that for Group A countries (Mexico and Costa Rica), technical assistance is not perceived as necessary for all components, but governance, consultation and participation and monitoring of risk for REDD+ implementation and safeguards are elements that require some level of technical support, as well as funding.

For Group B countries, it is interesting that funding and technical support are ranked equally for most of the components, reflecting that most of these countries are in the initial stages of readiness, but the results also indicate that for some components there is perceived to be local capacity. In most of the countries the R-PP and NPD were developed by local personnel from governmental institutions with clear coordination and support from civil society, and this process has also acted as a capacity building activity for the stakeholders.

Group A countries can provide a good base for South-South cooperation in areas where they have more experience in implementation, such as MRV, payment for environmental or ecosystem services, and benefit sharing.

The participation and consultation process is creating additional unforeseen needs and requires better assessment and support in terms of funding and also guidelines and capacity building for the government personnel, indigenous peoples and civil society (in Group A and Group B countries).

The integration of the REDD+ mechanism into development frameworks is limited, but interesting experiences can be found in countries such as Guyana, Costa Rica and Dominican Republic, providing examples to be followed closely.

In Africa and Asia the distinction between Group A and B countries is not clear in terms of their expressed needs. So far Viet Nam, which has made considerable progress, alongside Indonesia, expressed generally the same type of needs as the others, although it did not need much support on the component of reference scenarios.

7.4. Discussion of global results in the context of earlier studies and limitations of the data

In this section, the results of the analysis of the response matrices are further discussed. The discussions and conclusions are not only based on the analysis of the responses from the matrices and questionnaires, but also on the results of earlier studies cited in the main literature review section of the report. In addition, information from in-depth country assessments is used to enrich the interpretation of the response matrices and provide context and insights that would be virtually impossible to discern from the structured answers in the country responses.

One of the questions put forward in the methodology of this study was whether this study would corroborate the findings of earlier studies. In his desk study on the costs of REDD+, Simula (2010) mostly restricted his search to R-PPs, NPDs and databases. His study and method provided a major justification for the mixture of desk study, use of a detailed matrix to organise responses under each REDD+ readiness component and in-depth assessments that this CNA employed.

So far, the findings of Simula (2010) that the majority of funding is claimed by the readiness components concerned with REDD+ Strategy Development and MRV are still essentially correct and consistent with this study. However the study did not foresee a surge in the costs of consultation, as seems to be the case in Latin America, as a result of indigenous peoples groups asserting their rights and making continuous dialogue and consultations a central process in REDD+ programmes globally. The same is true in Asia and Africa on the issue of indigenous peoples and the rights of forest-dependent people. The Eliasch Review (2008) which was done earlier and which looked at the broader aspects of costs, rather than the needs of REDD+ readiness, provides information that tends to agree with what is happening in the Democratic Republic of the Congo.

The situation in the Democratic Republic of the Congo suggests that as one makes progress towards Phase II stages, REDD+ programmes are not only costly but will also tend to take a long time to create the necessary impacts on the economy and emissions reductions. Hence a project such as the one proposed for reforestation and afforestation, that has a planting target of 3 million hectares by 2025, is expected to generate a minimum of 30,000 permanent jobs and 300,000 temporary jobs. As readers may also recall, Democratic Republic of the Congo has suggested the idea of estimating threshold investments in REDD+ programmes and suggested a figure of US$400-500 million in REDD+ programmes to produce the desired impacts in a country the size of Democratic Republic of the Congo. While such a figure can and should be challenged on grounds of the underlying assumptions and methods used to produce it, the concept makes intuitive sense and should not be dismissed.

The huge figures in the Eliasch Review and the Democratic Republic of the Congo's estimated levels of investment suggest that as countries move forward to Phase II of readiness, the needs and actual costs of running national REDD+ will not only be clearer but may be significantly higher than the currently allocated funding levels would suggest. In Latin America, this report has observed that the costs of consultations, under the governance component seem to have gone up significantly compared to those envisaged in the R-PPs and NPDs, caused in large part by the surge on indigenous peoples issues, land tenure, safeguards and carbon rights.

As stated at the beginning of the results section, some countries that gave priority to all or nearly all components may have masked the clearer separation of priority needs, since the data was pooled by region and also globally. The decision to mix in-country visits and remotely administered response matrices was a deliberate decision to put responses into context by having direct discussions with stakeholders in their own countries. It is therefore appropriate to comment on the responses from the remotely administered response matrices and the six overview questions. In general, countries identified their priorities more precisely during in-country visits than by just filling the matrices on their own. A possible explanation to this observation is that justifying priorities in collaboration or interaction with an independent third party or outsider, in this case a non-government employee tends to encourage a greater sense of prioritization than without it. The sense of urgency given to issues of governance, REDD+ strategies, safeguards and Monitoring Reporting and Verification is both interesting and relevant and shows that a number of countries still need support for their national coordination structures, seek cross-sector engagement on REDD+ programmes, setting reference levels and agreement on national REDD+ policies and policy frameworks. Above all it suggests the centrality of governance in the success of REDD+. The same can be said about REDD+ strategies, particularly strategy options and their potential utility for dealing with the drivers of deforestation and forest degradation and the high priority that many of the countries visited placed on the importance of pilot programmes as opportunities for testing and learning. The responses are therefore corroborated by the evidence from country visits.

The preference for financial support for governance is probably related to the desire of many countries to pay for consultations with stakeholders, strengthen and support the functions of their national and sub-national committees, engage their political leaders and pay for policy and legal reforms processes, among other things.

The fact that the majority of countries also chose financial and technical support to deal with benefit sharing, REDD+ strategy development, safeguards and reference levels is interesting. In general and during country visits, these same issues came up as priorities both in discussions and in remotely administered response matrices. Again, countries stressed the need for pilots, which require funding to set up and run, and to test the issues of safeguards, on which the majority of countries, even the more advanced ones, have no frameworks or guidelines. Setting reference levels is another aspect of readiness for which a number of countries need funding to build appropriate and sufficient capacity. Again, the general conclusions from Herold (2009) on the general lack of capacity for MRV seems to still be true; a conclusion that is supported by responses to the matrices.

Some countries do share common challenges and both technical and financial support can be used to support them, also allowing for learning processes that can be enhanced by the exchange of experiences, as is the case of Colombia and Ecuador.

7.5. The response of countries relative to their position in the Forest Transition Curve

There was a suggestion to check whether the expression of needs by individual countries may be strongly influenced by their relative position on the Forest Transition Curve. In practical terms, this says that a country such as Papua New Guinea with high forest cover and high deforestation rates should be expected to have different needs than Tanzania, which has relatively lower forest cover and a lower deforestation rate, since that would put them on different positions on the curve.

Another way of expressing this would be that a country such as Viet Nam, which after years of high deforestation is now showing growth in forest cover (an upward trend in forest cover), would be expected to express needs that are different from Cambodia or Papua New Guinea, which have high forest cover and high rates of deforestation. A comparison of the needs expressed by Viet Nam and the other two countries shows that they are essentially the same, except that Viet Nam has made relatively better progress on setting reference levels than others in the region.

As already described, the countries within the regions were divided into two groups based on their relative progress in the components of REDD+ and to check if there are discernible differences between Group A, which comprised the relatively more advanced countries in terms of REDD+ readiness, and Group B, which comprised countries in the early stages of REDD+ readiness. So far, what is clear is that Costa Rica and Mexico expressed fewer needs than others; a situation which can be attributed to their relatively more advanced status with respect to national REDD+ strategies, reference levels and the presence of functional PES schemes. However, they did request support to test and design information systems on safeguards.

Thus what is clear from the sample of countries assessed is that their needs appear to be influenced more by the relative progress they have made in preparation for REDD+ than by their position on the Forest Transition Curve.

7.6. Recommendations

The recommendations section is based on the key results that are summarized in section 7.2, with a focus on the areas of priority needs revealed during the exercise. The results are discussed in greater detail under sections 7.2.1, 7.2.2, 7.2.3, 7.3 and 7.4 in the report. Based on the results and their discussion, the following recommendations are proposed:

a. Given that a majority of countries, including those that did not participate in the study, are still in the early or middle stages of Phase I of REDD+ readiness, and thus would generally belong to Group B, a support system of multidisciplinary groups of professionals that can move the process forward for Group B countries by providing technical support is strongly recommended to work with countries that require support in the areas where countries have expressed their priority needs. In this regard, it may be important to realize that technical support may be just as important as financial support.

b. Group A countries which are already in Phase II or will be in 12 months or less can provide a good base for South-South cooperation in areas where they have more experience in implementation. For example, Mexico and Costa Rica in Latin America and the Caribbean could share their experiences in PES and benefit distribution. Brazil and

the DRC are also currently collaborating on forest resource monitoring – a development that is vital to the two countries. The facilitation of such South-South collaboration is therefore recommended among other approaches.

c. The participation and consultation process is creating additional unforeseen needs and requires better assessment and support. The Guidelines for FPIC developed by UNREDD are very useful but more work needs to be done to support countries on this issue.

d. There should be clear guidelines for REDD+ projects and programmes to facilitate the early participation of indigenous and forest-dependent peoples and ensure they get their fair share of any accrued or expected benefits.

e. The experience of Indonesia, Papua New Guinea, the Philippines, Fiji, the Democratic Republic of the Congo, Guyana, Costa Rica and Dominican Republic in integrating REDD+ as part of their developments strategies, plans and actions seems to be a reasonable step towards readiness, but nevertheless creates a different set of challenges and needs that continue to require technical and strategic or policy level support. When considering other REDD+ countries in each region, this offers an interesting opportunity for South-South cooperation in this area, which would be beneficial for countries which are in early stages of the REDD+ process.

f. From the responses of countries to the six overview questions, it is evident that the establishment of more REDD+ pilot programmes is an important aspect of learning, particularly for sub-national structures of government and civil society. A possible support mechanism for this purpose is therefore recommended and will primarily entail the development of clear guidelines for REDD+ Pilots Projects to enable a systematic learning process, with flexibility for adoption to national circumstances.

g. It is recommended that countries that are initiating REDD+ strategy programmes be provided with support to enable them to evaluate how REDD+ options can be aligned with their national development strategies and what possible trade-offs they could consider among various options. The component on a transition to a green economy tried to extract some specific need under this key element, and work done by UNEP in the UNREDD Programme partner countries is very much in line with technical support needs in this context.

h. It is recommended that more resources also go to economic studies that can demonstrate strong business cases for REDD+ as this could be a good way of generating political capital in favour of REDD+ within countries.

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Annexes

This section contains documents that detail how the assessment was conducted and the results obtained. They are intended to provide enhanced understanding of the methodology, and the key results, when read in conjunction with the main body of the report.

Annex 1 contains a shortened version of the methodology document on which the Country Needs Assessment was based; Annex 2contains the results of the global analysis of the data collected; and Annexes 3- 9 contain detailed results by region.

Annex 1. Methodology for Country Needs Assessments: a shortened version

A final draft was submitted to the UN-REDD Programme Policy Board at its eighth meeting and to the Forest Carbon Partnership Facility (FCPF) Participants Committee at the joint UN-REDD Programme – FCPF meeting, in Asuncion, Paraguay, on 25-27 March 2012[5].

General Introduction

The global initiative to reduce carbon emissions by mitigating the forces of deforestation and forest degradation and enhancing carbon stocks on forested and farmed landscapes (REDD+) is considered to be an economically significant contribution by the forest sector to the quest to mitigate and help adapt to climate change. It is this that has brought countries together to collaborate and manage forests for carbon sequestration and enhancement in protected and managed landscapes. Achieving the ambition of this quest in a manner that is recognized and can earn marketable credits in voluntary and regulated carbon markets requires there to be agreed approaches on how to account for carbon that is sequestered, what portion is added through management, how much is subtracted from a current carbon balance through sustainable forest management, and also the drivers of deforestation and forest degradation. It is in that connection that countries have joined the programmes coordinated by the UN-REDD Programme and the Forest Carbon Partnership Facility (FCPF) of the World Bank, among others, to work with Member States that have signed up to participate in REDD and REDD+.

The FCPF and the UNREDD Programme have both supported a number of countries over the last four years to develop their national REDD+ Programmes, and today countries are at various stages of readiness to participate in current and future carbon markets. This report was motivated by the need to take stock of what countries need in order to reach readiness and to use the findings thereof to influence the policy and funding decisions of the two global programmes.

The assessment of needs was contracted out to a team of consultants, who developed a methodology to conduct the assignment and conducted the assessment in close cooperation with

[5]This document is part of the CountryNeeds Assessment that is being undertaken by the UN-REDD Programme in collaboration with the Forest Carbon Partnership Facility – due June 2012. The document was written by Harrison Kojwang (leading consultant), Gisela Ulloa (consultant), Sheila Wertz-Kanounnikoff (consultant – advisor) and Lisen Runsten (Food and Agriculture Organization) in consultation with the UN-REDDPolicy Board working group for the CountryNeeds Assessment, including the UN-REDD Secretariat and the Forest Carbon Partnership Facility-Facility Management Team.

the Secretariats of both the FCPF and the UNREDD Programme, and a Working Group that was constituted to oversee the process by the Policy Board of the UNREDD Programme.

The report is organized into an introduction, a literature review covering needs assessments, the methodology of the assessment, in-depth case studies of six countries and the general findings from countries that responded to the questions that were mailed out.

Literature Review

Introduction

The rapid development of the UN-REDD Programme and the progress made by countries in their REDD+ efforts since the Cancun Agreements led the UN-REDD Programme Policy Board to request that a country needs assessment be conducted in order to inform the planning of future National Programmes and Global National Support Programmes. The Participants Committee of the FCPF also requested an assessment of REDD+ country readiness needs in order to provide information to guide up-scaling of efforts to support REDD+ countries in effective implementation of REDD+ readiness processes. The Participants Committee also instructed the Facility Management Team (FMT) to take into account similar existing or planned activities by other initiatives, including the Forest Investment Programme (FIP) and UN-REDD Programme. Based on the requests and recommendations of the UN-REDD Policy Board and the FCPF Participants Committee, a joint UN-REDD Programme- FCPF proposal was made to the Participants Committee; feedback has since been received from the Participants Committee and members have expressed a wish to understand the methodology used, in order to ascertain the extent to which the outcomes would apply to the FCPF mandate as per PC Resolution PC/10/2011/1, paragraph 6. The Participants Committee will provide further guidance on FCPF's participation in the joint assessment at its PC11 meeting in Paraguay.

Specifically, the country needs assessment will provide for:

(i) the development of a methodology for assessing country needs
(ii) a desk assessment of countries' needs (supported by a remotely administered questionnaire and response matrix) for all 52 UN-REDD Programme and FCPF partner countries
(iii) An in-depth country needs assessment in six selected UN-REDD Programme partner countries, to obtain directly data and information to fill the response matrices and also to seek responses in semi-structured interviews. In addition, relevant data and information will be collected from those countries to augment what is already available in existing literature on REDD+.

The document provides a methodological framework for undertaking a country needs assessment as described in the terms of reference provided for this purpose by the UN-REDD Programme and the Forest Carbon Partnership Facility of the World Bank (FCPF). It follows from the Technical Note which was developed by the team of consultants in January 2012 for consideration by the working group established by the UN-REDD Programme Policy Board to oversee the proposed assessment. The working group is composed of representatives of the UN-REDD Programme Policy Board and of the FCPF-Facility Management Team.

The methodology aims to allow identification of the technical, institutional and financial needs of UN-REDD Programme and FCPF partner countries to complete their REDD+ readiness phases (phases I and II), as defined by the UNFCCC Conference of the Parties decisions, in order to thereby facilitate the alignment of the activities of the UN-REDD Programme and FCPF with the needs and priorities of their partner countries. With a view to fulfilling this objective, the proposed methodology will adopt as reference the readiness components defined in the decisions of UNFCCC Conference of the Parties XVI and XVII, with additional elements added from the Readiness Preparation Proposal template (Version 6) and from the Support to National REDD+ Action – Global Programme of the UN-REDD Programme.

Main assumptions

The methodology described herein is based on the following assumptions:

i. That all partner or participating countries in the FCPF or UN-REDD Programme processes have access to and are familiar with the concept of REDD+ readiness, as defined or articulated under the components of readiness in the R-PP Template Version 6 and the Cancun Decisions (UNFCCC COP 16) and outcomes of COP 17 in Durban on REDD+ (Subsidiary Body for Scientific and Technological Advice and Long-term Cooperative Action Reports).

ii. That the original expressions of countries' readiness needs are contained in official documents such as Readiness Preparation Proposals (R-PPs) of the FCPF, UN-REDD Programme National Programme Documents (NPDs) and National Forest Programmes and others.

iii. That the needs of countries may have changed since the latest versions of the national programme documents were prepared and that national programmes are at various stages of implementation.

The decision to conduct in-depth needs assessments for six countries out of a total of 52 was made on the basis that it represents a reasonable initial sample sufficient for yielding useful information on the context of readiness and would complement and verify data and information from survey results and information drawn from the literature review. The need to undertake in-depth assessment in a larger number of countries will however be guided by the findings of the country needs assessment and the guidance of the UN-REDD Programme Policy Board and the FCPF Participants Committee.

Methodology

The proposed methodology is based on the main REDD+ readiness components as identified in the UNFCCC decisions, especially the Cancun Agreements (Decision 1/CP.16) and the draft COP 17 decision on REDD+ Safeguards and reference levels.

According to those decisions, countries aiming to implement REDD+ should develop a strategy or action plan, a national forest reference emission level and/or forest reference levels, a robust and transparent national forest monitoring system and a system to provide information on safeguards. Furthermore, countries are requested to address, inter alia, drivers of deforestation and forest degradation, land tenure, forest governance, gender considerations and a number of social and environmental safeguards. The readiness phase is defined as efforts for building capacities for development of national strategies or action plans, policies and measures and technology

development and transfer that will allow the implementation of the strategy/action plan and achievement of measurable, reportable and verifiable results on REDD+.

The components of REDD+ as defined in the UNFCCC decisions are the basis for the FCPF and UN-REDD Programme templates for national programmes and for the Support to National REDD+ Action – Global Programme Framework Document. Hence for the purpose of this country needs assessment, key indicative capacity[6] needs were distilled for each of the broad components defined in the UNFCCC decisions from operational documents of the UN-REDD Programme and FCPF[7], expert knowledge, independent literature (notably Brockhaus et al., 2011; Hoare et al., 2009; Herold 2009; Davis et al., 2009) and country strategy documents that directly include REDD+. Table 1 presents a summary of the components and subcomponents and the key capacities required which are proposed as a basis for this country needs assessment. Table 2 presents the relationship between the readiness components defined by the methodology and the UNFCCC decisions, the R-PP template version 6 and the UN-REDD Programme Support to National REDD+ Action – Global Programme Framework Document.

[6] *Capacity* in this sense refers to three levels: i*) systemic* (e.g. policies, legislation) ii) *institutional* (sector agencies such as ministries, department, research & academic institutions and other bodies which may be involved in implementation etc.) andiii) *individual* (e.g. education and skills sets).

[7] R-PP template (version 6), UN-REDD Programme Strategy 2011-2015, UN-REDD Support to National REDD+ Action - Global Programme Framework Document

Table A1: REDD+ Readiness components and the capacities required

Component	Sub component	Capacity required/Readiness elements
1. National REDD+ Governance	1.1. Institutional capacity, coordination mechanism, and legal framework	a) Assessment of institutional reforms, new institutional arrangements needed for REDD+ design/implementation
		b) Effective institutions (with technical capacity, administrative authority, financial capabilities) to manage the drivers of deforestation and forest degradation for REDD+ (esp. forest and land-use sectors)
		c) Identification of institutional strengthening requirements, for example to improve law enforcement capacities, MRV.
		d) Effective coordination mechanism across ministries at political, technical and administrative levels.
		e) Effective coordination mechanism with civil society, indigenous peoples and productive sectors for REDD+ design and Implementation.
		f) Legal evaluation on how to integrate carbon rights into the existing legislation, including coordination and consultation on how to assign carbon rights.
	1.2.Benefit-sharing	a) Design/ test implementation of a transparent and accountable system to channel REDD+ benefits and income from REDD+.
		b) Institutional framework for benefit-sharing system
		c) National capacity to observe fiduciary standards for disbursement and reception of funds.
		d) Identification, assessment and use of prior and early experiences, including payment for environmental services and REDD+ demonstration activities to inform REDD+ strategy design/implementation.
	1. 3. Consultation and participation process (indigenous peoples, civil society, other stakeholders)	a) Formal procedures for stakeholder consultations.
		b) Capacity development and information supply to facilitate the participation of indigenous peoples, forest-dependent communities and others, in the management of REDD+
		c) Formally recognized and applied mechanisms for conflict resolution under REDD+ (carbon rights, IP land tenure, others).
2. REDD+ strategy or action	2. 1. REDD+ strategy development and	a) Use of experiences in natural resources management, forest, agriculture at local, regional and national levels to inform REDD+

plan	options	strategy design /implementation.
		b) Assessment of drivers of land use change including drivers from outside the forest sector at national level and regional level.
		c) Systems to simulate and monitor impacts at national, regional and local levels for REDD+ policies.
		d) Analyses of REDD+ scenarios and their possible impacts on GDP, forestry as a percent of GDP and agriculture as a percent of GDP.
		e) Costs assessment (opportunity, implementation, institutional and transaction costs) of REDD+ action at local, regional and national level to inform policy and decision making.
		f) Identification or assessment of major inconsistencies or conflicts between the objectives of the REDD+ strategy and policies and programmes in other sectors (e.g. transport, agriculture, energy, mining, tourism), and ways to address them.
		g) Assessment of how existing laws, policies, programmes and practices incentivize deforestation and forest degradation
		h) Identify specific reforms in legislation and policies that can be addressed in the short term.
		i) Identification of priority areas for pilots and mechanism testing.
		j) Testing of specific REDD+ strategy options.
	2.2 Multiple benefits of forest and REDD+	a) Information systems on ecosystem-based multiple benefits of forests and REDD+.
		b) Identification and selection of natural resource accounting methods and other national resource valuation systems.
		c) Identification, assessment and prioritization of environmental services per region, per ecosystem etc. for REDD+ pilot programmes.
		d) Assessment to incorporate multiple benefits of forests in areas such as land-use and spatial planning within national programmes and REDD+ strategies
3. Social and environmental safeguards	3.1. Information on safeguards	a) Identification and understanding of key social, political economic, and environmental risks of REDD+ strategy options
		b) Frameworks to monitor and manage the risks and impacts during REDD+ strategy implementation (e.g. policies, governance, multiple benefits, participation)
		c) Assessment of key gender-based risks and potential benefits, opportunities of REDD+ strategy options, and the implementation framework.
4. Forest reference	4.1. Reference emission	a) Data and knowledge on priority deforestation and forest degradation processes and drivers, associated greenhouse gas

emission level and/or forest reference levels	level/reference level	emissions, and methods for assessing their future developments.
		b) A methodology for estimating historic emissions and estimating emission scenarios based on expected trends in the drivers of change.
		c) Expertise in spatial and temporal analysis and modelling tools and a system for networking of institutions/organizations working in the area.
5. Systems for national forest monitoring and information on safeguards	5.1. National monitoring framework and capacities	a) Capacity and/or compliance with national and international reporting systems (e.g. UNFCCC national communications, FAO Forest Resource Assessment)
		b) Capacity and systems for estimating terrestrial carbon, its dynamics, related human-induced changes, leakage and monitoring approaches.
	5.2 Design of monitoring system (area change, accuracy, verification and reporting)	a) Agreement on definitions, monitoring goals, reference units and monitoring variables.
		b) Legally defined institutional arrangements with clarified competencies and technical capabilities.
		c) Capacity development plan to cover the priority data and information needs (e.g. cover change, carbon flows, multiple benefits, opportunity costs and environmental risks).
		d) Capacity to review, consolidate and integrate the existing data and information (forest inventory, permanent sample plots, REDD+ demonstration activities).
		e) Capacity, systems and procedures to estimate carbon stocks according to chosen IPCC Tier levels and carbon pools and to monitor the changes.
		f) System and capacity for statistical analysis and interpretation of data in a transparent manner, including the estimation of error.
		g) Use of an independent system to verify data and its interpretation.
		h) Institutions or platforms ensuring public accessibility to data and information for transparency and the required capacity to run and maintain it.
	5.3 Designing an information system for multiple benefits, other impacts, governance, and safeguards	a) A system for monitoring how safeguards are being addressed during the implementation of REDD+ activities based on a practical methodology and tools.
		b) Identification of the scope and roles for stakeholders and government agencies in the design and implementation of safeguards.
		c) Identification of the capacity needed in design and implementation of safeguards.

		d) Coordination of the information system for safeguards with monitoring for other needs.
		e) Identification of mechanisms for establishing independent monitoring and reviews that allows the effective and appropriate participation of civil society, indigenous peoples, forest-dependent communities, and other stakeholders.
6.Transition to a development framework with REDD+ (green economy)	6.1.Transition to a development framework with REDD+ (green economy)	a) Development of national roadmaps to identify what kinds of investments and strategies are needed to integrate REDD+ in development frameworks.
		b) Protocols for integrated land-use planning and decision-making to allow the integration of economic, biophysical and social information, by using multi-criteria decision making tools.
		c) Capacity to develop integrated visions and reach out to other sectors such as planning and finance to prioritize investment and public spending to promote more sustainable development options.
		d) Strengthening policies so that they are pro-poor. Capacity to develop better indicators to guide investments, such as 'GDP of the Poor'.
		e) Case studies and comparison with probable impacts of 'business as usual' investment practices and trajectories and those with green economy options in pilot districts (such as agro forestry, more efficient processing of timber, REDD+ projects, payments for environmental services).

Table A2: Structure of the assessment matrix compared with existing frameworks[8]

Elements of readiness from Cancun and Durban UNFCCC COP decisions	R-PP (version 6)	Proposed Response Matrix	UN-REDD Support to National REDD+ Action - Global Programme Framework Document work areas
	1. Organize and Consult	1. National REDD+ Governance	
	1.a. National Readiness Management Arrangements	1.1. Institutional capacity, coordination mechanism, and legal framework	2. National REDD+ governance
	1.b. Information Sharing and Early Dialogue with Key Stakeholder Groups	*(not directly related to readiness needs)*	
	1.c. Consultation and Participation Process	1. 3 Consultation and Participation process (indigenous peoples, civil society, other stakeholders)	4. Engagement of indigenous peoples, civil society and other stakeholders
National strategy or action plan	2. Prepare the REDD+ Strategy	2. REDD+ strategy or action plan	
	2.a. Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance	2. REDD+ strategy or action plan	
	2.b. REDD+ Strategy Options	1.2 Benefit sharing	3. Transparent, equitable and accountable management of REDD+ funds
	2.c. REDD+ Implementation Framework	1. National REDD Governance	
	2.d. Social and Environmental Impacts during Readiness Preparation and REDD+	2.2 Multiple Benefits of forest and REDD+	5. Ensuring multiple benefits of forests and REDD+

[8]The numbering reflects how the matrix is organized.

	Implementation		
National forest reference emission level and/or forest reference levels	3. Develop a National Forest Reference Emission Level and/or a Forest Reference Level	4. Forest reference emission level and/or forest reference levels 4.1. Reference Emission Level / Reference Level	
	4. Design Systems for National Forest Monitoring and Information on Safeguards	3. Social and Environmental Safeguards 3.1. System for providing Information on safeguards	1. Measurement, reporting and verification (MRV) and monitoring
Robust, transparent national forest monitoring system	4.a. National Forest Monitoring System	5. Systems for National Forest Monitoring and Information on Safeguards 5.1. Assessment of existing national monitoring framework and capacities 5.2 Design of monitoring system (area change, accuracy, verification and reporting)	
System for providing information on safeguards	4.b. Designing an Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards	5. Systems for National Forest Monitoring and Information on Safeguards 5.1. Assessment of existing national monitoring framework and capacities 5.2 Design of monitoring system (area change, accuracy, verification and reporting)	
		6.Transition to a development framework with REDD+ (green economy)	6. REDD+ as a catalyst for transformations to a green economy

The inclusion of a comprehensive list of required capacities aims to allow countries to reflect on all the steps necessary in order for a readiness component to be fulfilled and ensure that the needs identified by this assessment are informed by a consistent understanding of the elements of readiness.

The identified readiness components and indicative capacity needs were used to develop a response matrix and accompanying questionnaire with the objective of systematically collecting and organizing the countries' stated needs to allow them to reach the capacity required for readiness under each readiness component. Responses were expected to vary depending on the country-specific context, and the matrix allowed for responses to reflect local circumstances. Respondents were asked to fill in

the matrix as precisely as possible, one component at a time. The ultimate purpose of the response matrix is to:

a) summarize the needs in a tabular format for easy reference;
b) rank the needs under each component in order of preference and urgency;
c) clearly identify who is targeted or is the beneficiary of support if and when the need is addressed; and
d) facilitate aggregations and comparisons of responses to each component across countries.

The response matrix is contained in Annex A1.

Having defined the overarching framework that would guide the countries needs assessment, the methodological approach proposed consisted of six main steps:

i. Administration of the matrix and questionnaire as a 'remote survey' to the UN-REDD and FCPF REDD+ countries.
ii. Semi-structured interviews and focus group discussions with six partner countries of the UN-REDD Programme to enrich the assessment with a detailed context and rationale regarding the readiness process in countries at different stages of readiness and with different circumstances. The six selected countries will respect a regional balance approach, being two from each region (Latin America, Africa and Asia-Pacific).
iii. Administration of a complementary questionnaire for enabling the six countries to be visited to express further key aspects of their current status in REDD+ readiness and perspectives on their priority needs for further progress[9].
iv. A review of literature and use of expert knowledge to develop the core products to guide the assessment; a matrix and questionnaire to facilitate data collection.
v. A literature review to compile background data for the assessment, complementing the information collected from the survey and country visits.
vi. Analysis of collected data which will entail the collation of data and information, interpretation and grouping of needs, and the formulation of recommendations derived from the stated needs.

These steps above are further explained in the sections below. A guide to the response matrix can be found in Annex A1; the questionnaire is contained in Annex A2.

As one of the objectives of this exercise is to develop a framework for future needs assessments, this process will also serve to test the proposed approach and methodology, providing insights as to how these might be refined for future applications.

The Country Needs Assessment data collection process will consist of three main steps – a remote survey, an in-depth country needs assessment, and a literature review. These are described below.

Remote Survey of Country Needs for REDD+ readiness

A remote survey will be administered to focal points in all 52 countries, using the response matrix, a short questionnaire and an accompanying guidance document to facilitate the completion of the matrix. The results of this survey will be presented in a narrative format and also in the form of tabulated summaries of data and graphs to describe and depict the needs of countries. In describing those needs, information that has been published in country documents such as R-PPs, NPDs and other reports will be taken into account and appropriately referenced.

In-depth Country Needs Assessment

For the in-depth country needs assessments, the work will be coordinated with country governments and the teams from the UN-REDD Programme and the Forest Carbon Partnership Facility. The assessment will benefit from inputs from key actors in the country, including government officials, the countries' REDD+ technical committees, if existing, and other stakeholders. The matrix and questionnaire will be used as tools to guide the discussions. The country visits for in-depth assessments in six out of the total 52 partner countries will bring clarity and offer different perspectives or nuances on readiness needs, the rationale behind them and more details on why they prefer certain mechanisms of support over others. The information gleaned from the sample of six countries will therefore primarily serve to complement and give context to the information extracted in the remote survey and literature review processes. The data collected during the semi-structured expert interviews will be analyzed and compared with data collected from documentation such as REDD+ action plans (R-PP/NPD), official statistics and other literature.

Completing the matrix in an interview or focus group setting will facilitate responses that include the context in which they are given, which is intended to improve the understanding of how, when and where support is most needed or is most effective.

The countries selected for in-depth assessment will also complete a questionnaire that is linked to the matrix.

The key rationale for in-country visits is that it:

i) enables stakeholders who may not be privy to the filling of matrices, to speak directly with the consultants;
ii) enables direct and detailed follow-up questions to be posed in order to reveal and articulate the context of needs in ways that a remote questionnaire or response matrix cannot; and
iii) offers stakeholders who may not be privy to the filling of matrices an opportunity to speak freely and frankly to an independent person on matters that are important for them.

Literature review:

This methodology has been informed by literature as well as the expertise of the consultants. Key sources include those that were aimed at assessing and/or meeting the capacity needs of countries, including financial needs. Examples of some of the literature that was reviewed to prepare the methodology and conceptual framework for this needs assessment are described briefly below.

i) The UN-REDD Framework Document of 2008 provided guidance on the priorities of UN-REDD and its Global Programme.
ii) The R-PP Template Document, Version 6 of 2011 provided the latest thinking of the UN-REDD Programme and Forest Carbon Partnership Facility to guide countries in their readiness process, details of the capacities required and what is considered 'good practice' in the application of such capacities. The R-PP template and the UN-REDD Framework Document of 2008 are considered crucial documents which will be appended to the final report as the main guiding documents that are also recognized by participating countries.
iii) Experiences of the Forest Carbon Partnership Facility Technical Advisory Panel with regard to the preparation of R-PPs shed some light on some capacity issues on REDD+ readiness from the perspective of independent reviewers. Their views on capacity needs and other aspects in the readiness process will provide further points of reference in compiling the final report.
iv) Since the response matrix and the current discourse on readiness emphasizes the issues of required capacity, this needs assessment has adopted the *UNDP Definition of Capacity*, expressed in three levels namely; systemic, institutional and individual capacities (Bellamy et al, 2010).
v) Studies on readiness issues such as MRV Capacity and others *(Brockhouse et al 2011, Herold 2009, Hoare et al, 2008,* Davis et al 2009) were consulted in defining the capacity required as contained in Tables 1 and 2.
vi) The report on financial needs (Simula 2010) also provided useful insights into the analysis of financial needs and some of its outputs will be incorporated into the literature review section in the final report.

The information and data collected from countries through visits, remotely administered questionnaires and literature will be collated in a final report to provide an overview of perceptions of country REDD+ readiness needs.

Justification for the proposed approach

This assessment will use a combination of literature reviews and questionnaires for direct country responses, which will be analyzed and compared with what is already in the published literature. It is therefore important to note a few studies that are relevant to the terms of reference of this assessment and were studied by the consultant team and used to construct the response matrix. The reports by Herold (2009) and Simula (2010) addressed respectively capacity for Measurement, Reporting and Verification (MRV) and Analysis of REDD+ Financing Needs and Overlaps, Herold (2009) relied on reports submitted to United Nations bodies such as the Food and Agriculture Organization and the United Nations Framework Convention on Climate Change, and also the World Bank, to extract data and information on existing capacity to monitor and analyze data on changes in forest cover, and also estimate greenhouse gas emissions that are associated with such changes. Simula (2010) also relied heavily on literature, particularly on documents such as Forest Carbon Partnership Facility Readiness-Preparation Proposals, UN-REDD National Programmes Documents and a REDD+ financing and activities survey report that was prepared for the Intergovernmental Task Force for the May 2010 Oslo Climate and Forest Conference.

While these two reports among others are clearly rational and understandable, it is instructive to note that they have not used questionnaires or directly interviewed country respondents, such as

focal points, to seek more clarity and justification on readiness needs which may not be stated in the existing literature. The proposed assessment approach should therefore enrich and add to the knowledge and information that already exists and reveal more interesting insights into how the identified needs should be addressed. The context of the needs, and the desired mechanisms to address them, are aspects that are not easy to glean from the current published literature. This is the value-added of the approach proposed in this document.

Country selection

Countries were selected for in-depth analysis according to a set of criteria to ensure diverse representation of regions and various stages of progress toward readiness. The six countries chosen for in-depth assessments are not targeted for increased future support (although the country needs assessment will inform programming by the UN-REDD Programme and the FCPF it will not predetermine the allocation of resources by those initiatives), but have been chosen because they represent various stages of development toward REDD+ readiness and are therefore expected to offer various lessons learned and depict a variety of needs that is representative of the 52 countries that are members of FCPF, the UN-REDD Programme or both. The key criteria for their selection were:

- Regional representation (Africa, Asia, Latin America)
- Extent of participation in multilateral REDD+ processes (UN-REDD, FCPF, FIP)
- Readiness stage (no strategy, draft strategy, strategy adopted)
- Readiness finance attained so far
- Forest type (humid forest, dry forest)

The consultants proposed the countries for the in-depth assessment, for working group approval. Guided by the criteria above, the working group selected and approved six countries: Tanzania and the Democratic Republic of the Congo (Africa), Papua New Guinea and Cambodia (Asia-Pacific), and Ecuador and Panama (Latin America).

It is important to note that the choice of countries finally selected for in-depth assessments through visits ultimately also depended on their willingness to participate, the availability of key country actors within the given timetable for the Country Needs Assessment exercise, and any other circumstances that could impede such an assessment. If selected countries could not be confirmed the consultants would submit alternative countries for approval by the working group.

Timeline

The country needs assessment timeline was adjusted due to delays in the administrative procedures and the complexity of the assessment. In order to provide a robust framework developed in an inclusive and participatory manner, the deadlines proposed in the original terms of reference were extended. The milestones in the development of the Country Needs Assessment also reflect the collaboration between the UN-REDD Programme and the Forest Carbon Partnership Facility as below:

- January/February 2012: Development of the methodology
  March 2012: Presentation of methodology to the UN-REDD Policy Board and to the FCPF Participants Committee; start piloting of matrix and questionnaire in some of the countries selected for the in-depth assessment; refinement of methodology upon comments by the UN-REDD Policy Board and the FCPF Participants Committee.
- April 2012: Distribution of matrix to all 52 countries and visits to countries selected for in-depth assessment; literature review.
- May 2012: Compilation of data; findings and conclusions; draft final report.
- June 2012: Presentation of draft report to the UN-REDD Policy Board and to the FCPF Participants Committee.

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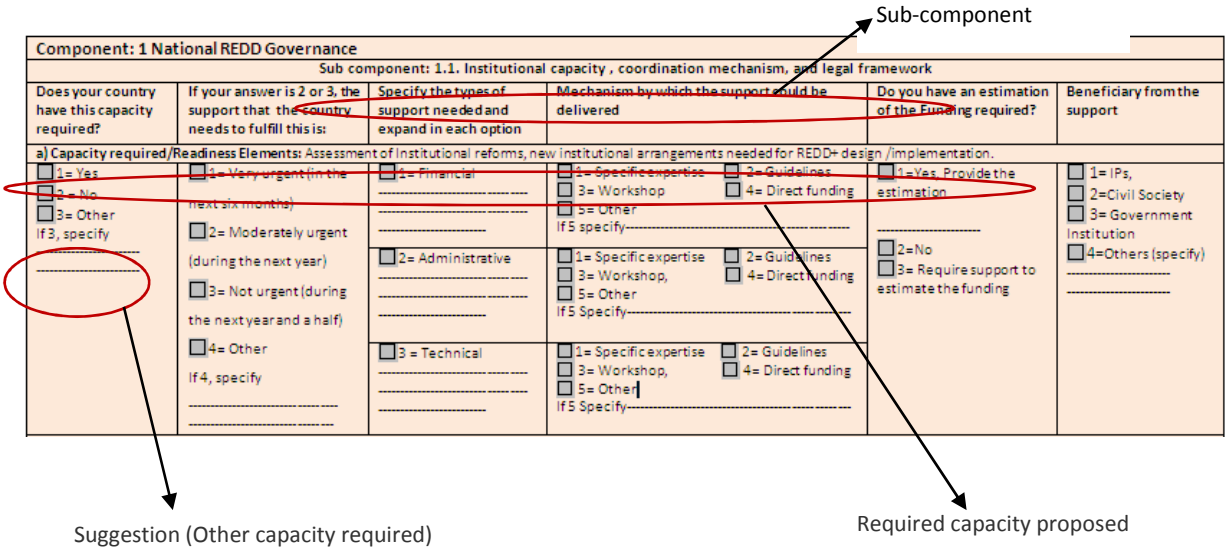
Annex A1.Guide to using the summary matrix on the UN-REDDProgramme/FCPF country needs assessment

The matrix is to be considered a tool to assess and qualify the actual and future needs of your country for reaching REDD+ readiness. It is organized based on the components of the R-PP template (v.6), and includes elements from the UN-REDD Global Program areas as well as from country progress reports and national strategic elements.

The *capacity required/readiness element* is not an exhaustive list but a suggested list of core capacity elements. The first column of the matrix provides an option for you to list other capacities or specify better the capacity you need under each component and sub component.



Structure and filling the matrix

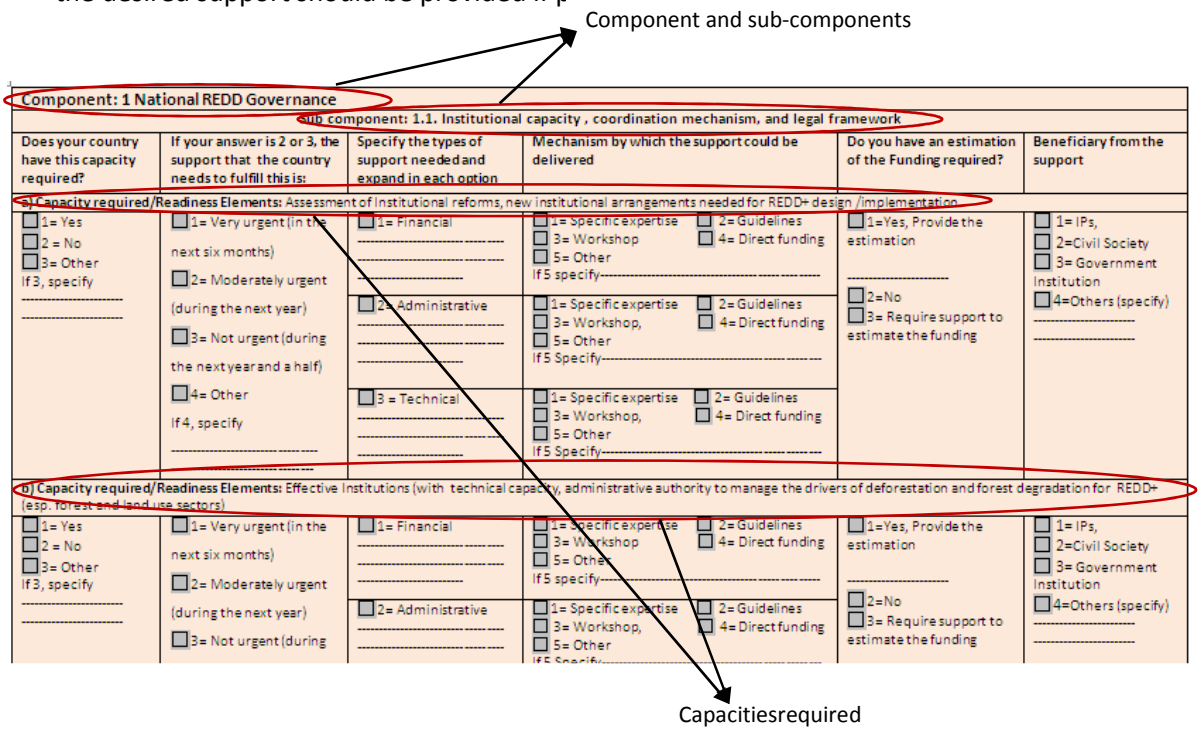
To fill the matrices, respondents are requested to follow the steps that are suggested below and also add more information if available and deemed necessary.

i. Please, read carefully the indicative capacity elements under each component and sub-component.

ii. Column 1 asks for the presence of a specified required capacity within a component and sub-component of REDD+ readiness. The required capacities under each component and sub-component are numbered by letters, and appear in rows running across columns 1 to 6 of the matrix. The respondents are requested to evaluate if the capacity suggested, fully describes their need or if further specifications are needed. The respondents may insert more rows in the table to accommodate additional specific needs/capacities that should be added to a particular component and subcomponent.

iii. Column 2 asks the respondent to evaluate and suggest when and how urgently the need should be addressed.

iv. Column 3 asks the respondent to check the type of support needed (technical, administrative or financial). One or more of the options may be relevant, and further specification of the nature of the desired support should be provided if possible



v. Column 4 asks the respondent to identify the preferred mechanism by which support could be delivered. Some alternatives are provided, but if they do not apply, respondents should specify the preferred mechanism.

vi. Column 5 asks the respondent for an estimation of the amount of money (USD) that would be needed to meet the required capacity in a given component or sub-component. If there is no estimation available respondents may specify if further support is required to estimate the financial needs in that regard.

vii. Column 6 asks for the identification of stakeholders who will be targeted as beneficiaries of the support to develop, improve, increase and later apply a specific capacity for readiness.

viii. After filling the whole matrix, respondents may identify and describe an issue of need that has not been considered, and add those in additional rows that they can create within the matrix or in supplementary notes, clearly referenced to the components and attached to the matrix.

Other useful information that countries could provide to the consultants:

- Any other information that may further clarify or motivate specific readiness needs
- Information on new policy developments with a bearing on REDD+.
- Latest information on local progress in REDD+ that has not been formally reported in formal reports and other literature.

Annex A2.UN-REDD / FCPF Country Needs Assessments

Overview Questions

Name of Country:
Date of Interviews (If applicable):
Interviewer (If applicable):

Objectives of the overview questions: *This section is meant to get the general views of respondents in any given country on their REDD+ Programme, Strategy or relevant Initiative and to create an atmosphere of interactive discussion and to get the specific country perspectives on some of the readiness issues. It is not meant to gather data that would be compared across countries. However, some of the general answers could yield similarities of trends in thinking, expectations, concerns on current levels and types of support, challenges to overcome and so on.*

1. What do you consider to be the top five achievements (achievements relevant to the readiness categories in the RPP Template Version 6, or as agreed in Cancun) that you have attained sofar with regards to REDD+ readiness?

2. What do you consider to be the top five needs or gaps (needed to meet the requirements implied in the readiness categories already defined) that should be addressed to bring your country closer to REDD+ readiness, and what support would you require in that regard? You may use a table as given below.

Need	**Support required**
1.	
2.	
3.	
4.	
5.	

3. Which mechanisms of support (the mode of delivery of support) have you appreciated or would you prefer going forward*? Provide examples to illustrate your response.*

4. Can you specify which of your needs can be more efficiently met through national or regional approaches?

5. In your country, outline and prioritize the areas where capacity development for REDD+ is needed among key stakeholder groups outside the government.

6. Drawing from your own country's perspective, what is your understanding of, or expectations from the term REDD+ Readiness?

Annex 2. Global Results. Responses on whether support is needed and nature of support

The responses of countries based on the matrix of readiness issues are presented in this Annex. The tables show the responses of all countries to the questions on; whether and under which component and sub-components, is support needed by the countries.

Urgency of support by continent

			Very urgent						Moderately urgent and not urgent					
			Africa		Asia		LAC		Africa		Asia		LAC	
Component	**Sub-component**	**Element**	**Count**	**%**	**Count**	**%**	**Count**	**%**	**Count**	**%**	**Count**	**%**	**Count**	**%**
Governance	Institutional capacity, coordination mechanism and legal framework	a) Assessment of Institutional reforms	7	88	5	83	4	57	1	13	1	17	3	43
		b) Effective Institutions	7	88	4	67	5	71	1	13	2	33	2	29
		c) Identification of inst'l. Strengthening requirements	5	63	4	67	3	43	3	38	2	33	4	57
		d) Effective coordination mechanisms.	5	63	5	83	5	71	3	38	1	17	2	29
		e) Effect. coordination mechanisms with c. society	5	63	5	83	3	43	3	38	1	17	4	57
		f) Legal evaluation for carbon rights	6	75	6	100	5	71	2	25	1	17	2	29
	Benefit sharing	a) Design testing implement benefit sharing (BSS).	5	63	6	100	6	86	3	38	1	17	1	14
		b) Institutional framework for BSS	3	38	6	100	5	71	5	63	1	17	2	29
		c) National capacity to observe fiduciary standards.	4	50	5	83	3	43	4	50	1	17	4	57
		d) Identify. and use of prior	6	75	6	10	5	71	2	25	2	33	2	29

		experiences.				0								
	Consultation and participation process	a) Formal proc. for stakeholder consultations.	6	75	5	83	5	71	2	25	1	17	2	29
		b) Capacity for information dissemination to IPs e.t.c	6	75	5	83	6	86	2	25	3	50	1	14
		c) Formally recognized mechanisms for conflict res	6	75	5	83	4	57	2	25	2	33	3	43
REDD+ Strategy	Development of REDD+ strategy and options	a)Use of experiences in NRM, Agric, SFM on REDD+	4	50	4	67	3	43	4	50	3	50	4	57
		b) Assess. of drivers of D&D	6	75	5	83	4	57	2	25	1	17	3	43
		c) Systems to simulate impacts of REDD+ policies.	3	38	3	50	5	71	5	63	1	17	2	29
		d) Analysis of REDD+ +scenario impacts on GDP	5	63	4	67	4	57	3	38	1	17	3	43
		e) Cost assessments of REDD+ actions	6	75	3	50	5	71	2	25	2	33	2	29
		f) Identification of inconsistencies between REDD+ and other policies	3	38	5	83	3	43	5	63	1	17	4	57
		g) Assessment of existing laws, policies that incentivize D&D	5	63	5	83	3	43	3	38	1	17	4	57
		h) Identifying legislative reforms to be addressed	6	75	5	83	2	29	2	25	2	33	5	71
		i) Identifying priority areas for pilot sites	3	38	4	67	2	29	5	63	1	17	5	71
		j) Test. REDD+ strategy options	4	50	5	83	4	57	4	50	2	33	3	43
	multiple benefits of REDD+	a) Info system for multiple ecosystem benefits	6	75	5	83	4	57	2	25	1	17	3	43
		b) Identify and select NRM accounting system	6	75	4	67	2	29	2	25	2	33	5	71
		c) Identify assess priority environ services / region.	6	75	5	83	3	43	2	25	1	17	4	57
		d) Assess. to incorporate. Multiple benefits	5	63	4	67	3	43	3	38	1	17	4	57

Social and Environmental Safeguards	Information on safeguards	a) Identify & understand risks of strategic options.	6	75	5	83	5	71	2	25	2	33	2	29
		b) Frameworks to monitor and manage risks	6	75	4	67	4	57	2	25	1	17	3	43
		c) Assess. of key gender based risks and benefits	6	75	5	83	4	57	2	25	1	17	3	43
Reference Scenarios	Reference emission levels and/ or reference level	a) Data and knowledge on D&D processes	7	88	5	83	4	57	1	13	1	17	3	43
		b) A method. for estimating historic emissions	7	88	4	67	5	71	1	13	2	33	2	29
		c) Expertise in spatial & temporal modelling in REDD+.	6	75	5	83	3	43	2	25	1	17	4	57
National Monitoring Systems	National monitoring frameworks and capacities	a) Cap to comply with nat'l. and internt'lreporting	7	88	5	83	4	57	1	13	1	17	3	43
		b) Cap.to estimate terrestrial carbon	7	88	5	83	4	57	1	13	1	17	3	43
	Design of a monitoring system (change of area, precision, verification and reporting)	a) Agree. on definitions, references and variables	4	50	4	67	2	29	4	50	1	17	5	71
		b) Legally defined. Institutional arrangement	6	75	5	83	1	14	2	25	1	17	6	86
		c) Cap. Dev. Plan to enable data collection	7	88	5	83	5	71	1	13	2	33	2	29
		d) Cap.to review, consolidate and integrate data	5	63	5	83	2	29	3	38	1	17	5	71
		e) Cap. and procedures to estimate C stocks	5	63	5	83	1	14	3	38	1	17	6	86
		f) Systems and capacityfor statistical analysis.	7	88	5	83	3	43	1	13	1	17	4	57
		g) Use independent. verification system	4	50	4	67	4	57	4	50	1	17	3	43
		h) Institutions for public accessibility to data.	4	50	5	83	3	43	4	50	1	17	4	57
	Design of an information system on multiple benefits,	a) A syst. for monitoring safeguards	5	63	5	83	3	43	3	38	1	17	4	57
		b) Identifying. scope, roles of	5	63	5	83	3	43	3	38	1	17	4	57

	other impacts, governance and safeguards	stakeholders												
		c) Identifying capacity needs	5	63	3	50	2	29	3	38	1	17	5	71
		d) Coord'n of information. Systems with other needs	3	38	7	117	2	29	5	63	1	17	5	71
		e) Ident. of mechanisms for independent monitoring	4	50	5	83	3	43	4	50	1	17	4	57
Transition to Green Economy	Transition towards a framework for development with REDD+	a) Dev. of national. roadmaps	5	63	5	83	3	43	3	38	2	33	4	57
		b) Protocols. for integrated. land use planning	5	63	5	83	3	43	3	38			4	57
		c) Capacity for Integrated Visions	4	50	5	83	4	57	4	50			3	43
		d) Strengthening pro-poor policies	4	50	5	83	4	57	4	50			3	43
		e) Case studies and comparisons.	4	50	4	67	2	29	4	50			5	71

Type of Support Required

Component	Sub-component	Element	Financial			Technical			Administrative		
			Africa	Asia	L. America	Africa	Asia	L. America	Africa	Asia	L. America
Governance	Institutional capacity, coordination mechanism and legal framework	a) Assessment of Institutional reforms	88	67	57	50	67	71	13	17	0
		b) Effective Institutions	88	67	57	75	67	71	13	17	0
		c) Identification of inst'l. Strengthening requirements	88	50	29	100	67	57	13	33	29
		d) Effective coordination mechanisms.	63	50	29	38	67	43	38	17	57
		e) Effect. coordination mechanisms with c. society	88	67	57	63	50	14	13	17	43
		f) Legal evaluation for carbon rights	75	83	57	75	83	57	25	17	43
	Benefit sharing	a) Design testing implement benefit sharing (BSS).	100	67	57	63	83	57	25	17	14
		b) Institutional framework for BSS	75	83	14	63	83	43	38	0	29
		c) National capacity to observe fiduciary standards.	63	83	29	38	83	14	25	17	43
		d) Identify. and use of prior experiences.	75	67	43	50	83	43	13	0	0
	Consultation and participation process	a) Formal proc. for stakeholder consultations.	75	67	43	63	67	43	38	0	29
		b) Capacity for information dissemination to IPs e.t.c	75	67	57	75	67	43	25	0	14

		c) Formally recognized mechanisms for conflict res	50	83	14	75	67	57	25	0	14
REDD+ Strategy	Development of REDD+ strategy and options	a)Use of experiences in NRM, Agric, SFM on REDD+	50	67	29	50	67	29	13	17	0
		b) Assess. of drivers of D&D	88	83	43	50	83	43	25	0	14
		c) Systems to simulate impacts of REDD+ policies.	88	83	43	63	83	71	0	0	29
		d) Analysis of REDD+scenario impacts on GDP	88	83	29	50	83	57	0	0	29
		e) Cost assessments of REDD+ actions	75	83	71	63	83	43	0	0	29
		f) Identification of inconsistencies between REDD+ and other policies	63	67	43	38	83	71	0	0	14
		g) Assessment of existing laws, policies that incentivize D&D	63	67	43	38	83	43	0	0	14
		h) Identifying legislative reforms to be addressed	75	50	14	38	67	29	0	0	14
		i) Identifying priority areas for pilot sites	25	50	29	25	50	29	25	0	14
		j) Test. REDD+ strategy options	63	83	57	38	67	43	13	17	14
	Multiple benefits of REDD+	a) Info system for multiple ecosystem benefits	88	83	57	88	83	43	13	0	29
		b) Identify and select NRM accounting system	88	83	29	63	83	29	25	0	14
		c) Identify assess priority	63	83	43	88	83	43	0	0	14

		environ services / region.									
		d) Assess.to incorporate. Multiple benefits	88	83	29	88	67	43	0	17	14
Social and Environmental Safeguards	Information on safeguards	a) Identify & understand risks of strategic options.	75	67	29	63	67	57	0	0	29
		b) Frameworks to monitor and manage risks	63	50	57	75	50	14	13	0	14
		c) Assess. of key gender based risks and benefits	75	83	86	50	83	57	0	0	14
Reference Scenarios	Reference emission levels and/ or reference level	a) Data and knowledge on D&D processes	75	67	29	75	83	43	0	17	14
		b) A method. for estimating historic emissions	88	83	57	88	83	29	0	0	0
		c) Expertise in spatial & temporal modelling in REDD+.	63	83	43	88	83	29	0	0	14
National Monitoring Systems	National monitoring frameworks and capacities	a) Cap to comply with nat'l. and internt'lreporting	75	67	29	75	67	43	0	0	14
		b) Cap.to estimate terrestrial carbon	75	67	57	63	67	43	0	0	14
	Design of a monitoring system (change of area, precision, verification and reporting)	a) Agree. on definitions, references and variables	63	67	14	63	67	14	0	0	14
		b) Legally defined. Institutional arrangement	75	67	14	75	67	29	25	0	14
		c) Cap. Dev. Plan to enable data collection	88	67	43	75	67	57	0	0	29
		d) Cap.to review, consolidate and integrate data	63	67	29	88	50	0	13	0	14
		e) Cap. and procedures	75	67	14	88	50	14	13	0	14

		to estimate C stocks									
		f) Systems and capacity for statistical analysis.	50	67	29	88	50	43	0	0	29
		g) Use independent. verification system	63	67	57	75	50	43	0	0	14
		h) Institutions for public accessibility to data.	63	67	29	75	50	43	13	0	14
	Design of an information system on multiple benefits, other impacts,	a) A syst. for monitoring safeguards	63	50	29	75	50	29	25	0	14
		b) Identifying. scope, roles of stakeholders	63	67	14	50	67	29	13	0	14
		c) Identifying capacity needs	63	50	29	38	50	14	13	0	14
		d) Coord'n of information. Systems with other needs	38	83	14	38	83	14	0	0	14
		e) Ident. of mechanisms for independent monitoring	38	67	14	50	67	14	13	0	14
Transition to Green Economy	Transition towards a framework for development with REDD+	a) Dev. of national. roadmaps	63	83	29	63	83	57	0	0	29
		b) Protocols. for integrated. land use planning	63	83	0	63	67	57	0	0	29
		c) Capacity for Integrated Visions	75	83	14	50	67	57	0	0	43
		d) Strengthening pro-poor policies	88	83	29	63	67	43	0	17	14
		e) Case studies and comparisons.	88	83	43	75	67	29	13	0	57

Type of support required by element

Number of countries requiring technical support by method of delivery

	Element	Specific Expertise			Direct Funding			Guidelines			Workshops		
		Africa	Asia	LAC	Africa	Asia	LAC	Africa	Asia	LAC	Africa	Asia	LAC
Institutional capacity, coordination mechanism and legal framework	a) Assessment of Institutional reforms	2	4	3	4	4	2	3	3	4	3	3	3
	b) Effective Institutions	4	4	4	4	3	1	3	3	3	3	3	2
	c) Identification of inst'l. Strengthening requirements	3	4	3	6	3	1	4	3	2	5	3	2
	d) Effective coordination mechanisms.	2	4	2	2	4	1	2	4	2	3	4	2
	e) Effect. coordination mechanisms with c. Society	1	3	0	4	2	0	3	3	1	3	3	1
	f) Legal evaluation for carbon rights	3	5	3	4	4	1	4	4	3	4	4	2
Benefit sharing	a) Design testing implement benefit sharing (BSS).	2	5	4	3	4	2	3	3	3	3	5	3
	b) Institutional framework for BSS	2	5	2	4	3	2	2	4	2	3	4	2
	c) National capacity to observe fiduciary standards.	2	4	1	2	4	0	1	4	0	2	5	1
	d) Identify. and use of prior experiences.	2	4	2	2	3	2	3	4	2	3	5	3
Consultation and participation process	a) Formal proc. for stakeholder consultations.	1	4	2	1	3	1	2	4	2	3	4	2
	b) Capacity for information dissemination to IPs e.t.c	2	4	2	3	3	1	1	4	2	2	4	2
	c) Formally recognized mechanisms for conflict res	1	4	4	1	3	1	3	4	4	4	4	1
Development of REDD+ strategy and options	a)Use of experiences in NRM, Agric, SFM on REDD+	3	4	2	4	4	0	2	3	1	3	4	1
	b) Assess. of drivers of D&D	2	4	3	2	4	2	2	4	2	2	4	2
	c) Systems to simulate impacts of REDD+ policies.	4	4	4	5	4	2	3	4	3	2	4	2
	d) Analysis of REDD+ +scenario impacts on GDP	2	5	4	3	3	2	3	5	4	2	5	2
	e) Cost assessments of REDD+ actions	1	5	3	3	3	2	3	5	3	3	5	2

	f) Identification of inconsistencies between REDD+ and other policies	2	5	4	2	4	2	1	5	4	2	5	4
	g) Assessment of existing laws, policies that incentivize D&D	2	5	3	3	4	2	2	5	3	3	5	2
	h) Identifying legislative reforms to be addressed	1	4	2	2	1	1	1	4	2	2	4	1
	i) Identifying priority areas for pilot sites	1	3	2	2	2	1	2	3	2	2	3	1
	j) Test. REDD+ strategy options	2	3	3	3	3	1	3	3	2	3	4	2
Multiple benefits of REDD+	a) Info system for multiple ecosystem benefits	3	5	3	4	5	1	6	4	2	5	5	2
	b) Identify and select NRM accounting system	3	4	2	3	4	1	3	4	2	4	5	1
	c) Identify assess priority environ services / region.	3	5	3	6	5	1	3	5	2	5	4	1
	d) Assess.to incorporate. Multiple benefits	4	3	3	5	3	1	5	4	2	4	4	1
Information on safeguards	a) Identify & understand risks of strategic options.	3	3	4	3	4	2	3	4	4	5	4	2
	b) Frameworks to monitor and manage risks	3	2	1	4	3	0	5	2	1	6	3	1
	c) Assess. of key gender based risks and benefits	3	4	4	3	5	1	3	4	2	3	5	2
Reference emission levels and/ or reference level	a) Data and knowledge on D&D processes	3	5	3	5	4	2	3	5	2	4	5	2
	b) A method. for estimating historic emissions	4	5	2	5	5	0	3	4	1	6	5	2
	c) Expertise in spatial & temporal modelling in REDD+.	4	5	2	5	5	1	5	4	2	6	5	1
National monitoring frameworks and capacities	a) Cap to comply with nat'l. and internt'l reporting	4	3	1	4	4	2	4	3	1	5	3	2
	b) Capacity to estimate terrestrial carbon	4	4	3	4	4	3	3	3	1	4	3	3
Design of a monitoring system (change of area,	a) Agree. on definitions, references and variables	3	4	1	5	4	0	3	3	1	4	3	0
	b) Legally defined. Institutional arrangement	3	4	2	4	4	0	3	3	2	4	3	1
	c) Cap. Dev. Plan to enable data collection	3	4	3	6	4	2	3	3	4	4	3	4

precision, verification and reporting)	d) Capacity to review, consolidate and integrate data	4	3	0	5	3	0	4	3	0	5	3	0
	e) Cap. and procedures to estimate C stocks	3	3	0	3	3	0	4	3	1	5	3	0
	f) Systems and capacity for statistical analysis.	4	3	2	5	3	2	4	3	3	6	3	2
	g) Use independent. verification system	3	3	3	5	3	0	4	3	2	5	3	2
	h) Institutions for public accessibility to data.	4	3	2	3	3	3	5	3	3	5	3	2
Design of an information system on multiple benefits, other impacts,	a) A syst. for monitoring safeguards	4	3	1	5	3	0	4	3	2	4	3	1
	b) Identifying. scope, roles of stakeholders	2	3	1	2	3	0	1	2	2	2	2	1
	c) Identifying capacity needs	1	3	1	1	3	0	2	2	1	2	2	1
	d) Coord'n of information. Systems with other needs	1	4	1	2	4	0	3	3	1	3	3	1
	e) Ident. of mechanisms for independent monitoring	2	3	1	3	3	0	2	2	1	4	2	1
Transition towards a framework for development with REDD+	a) Dev. of national. roadmaps	3	4	4	4	5	1	3	4	1	5	4	1
	b) Protocols for integrated. land use planning	3	4	4	4	4	2	4	3	4	5	4	2
	c) Capacity for Integrated Visions	2	4	4	3	4	2	3	3	4	4	4	1
	d) Strengthening pro-poor policies	2	3	3	2	3	1	2	3	1	4	3	1
	e) Case studies and comparisons.	4	4	2	5	4	1	4	4	1	5	4	2

Number of countries requiring financial support by preferred method of delivery

Sub-component	Element	**Specific Expertise**			**Direct Funding**			**Guidelines**			**Workshops**		
		Africa	**Asia**	**LAC**	**Africa**	**Asia**	**LAC**	**Africa**	**Asia**	**LAC**	**Africa**	**Asia**	**LAC**
Institutional capacity, coordination mechanism and legal framework	a) Assessment of Institutional reforms	1	4	2	6	4	2	3	3	2	4	3	1
	b) Effective Institutions	4	4	3	5	3	1	3	3	2	2	3	2
	c) Identification of inst'l. Strengthening requirements	3	3	1	6	3	1	3	2	1	4		1
	d) Effective coordination mechanisms.	2	3	2	4	3	2	4	3	2	4	3	2
	e) Effect. coordination mechanisms with c. Society	2	4	2	5	3	3	4	3	2	4	3	4
	f) Legal evaluation for carbon rights	3	5	2	5	4	1	4	4	3	4	4	2
Benefit sharing	a) Design testing implement benefit sharing (BSS).	3	4	3	5	3	2	4	2	2	5	4	3
	b) Institutional framework for BSS	3	5	1	5	3	1	3	4	1	4	4	1
	c) National capacity to observe fiduciary standards.	3	4	2	4	4	0	3	4	0	3	5	1
	d) Identify. and use of prior experiences.	3	4	1	3	3	2	4	4	0	4	4	2
Consultation and participation process	a) Formal proc. for stakeholder consultations.	1	4	0	2	3	2	2	4	0	3	4	3
	b) Capacity for information dissemination to IPs e.t.c	2	4	1	3	3	2	1	4	1	2	4	4
	c) Formally recognized mechanisms for conflict res	1	5	1	1	4	0	3	4	1	3	4	1
Development of REDD+ strategy and options	a)Use of experiences in NRM, Agric, SFM on REDD+	2	4	2	4	4	1	2	3	0	2	4	2
	b) Assess. of drivers of D&D	3	4	3	3	4	3	3	4	1	4	4	3
	c) Systems to simulate impacts of REDD+ policies.	5	4	3	7	4	3	4	4	2	3	4	3
	d) Analysis of REDD+ scenario impacts on GDP	3	5	2	6	3	1	5	5	1	4	5	2
	e) Cost assessments of REDD+ actions	1	5	3	4	3	3	3	5	4	3	5	4
	f) Identification of inconsistencies between REDD+ and other policies	3	4	2	4	3	1	2	4	2	3	4	3

	g) Assessment of existing laws, policies that incentivize D&D	3	4	3	5	3	3	2	4	3	3	4	3
	h) Identifying legislative reforms to be addressed	2	3	1	3	1	1	1	3	1	4	3	1
	i) Identifying priority areas for pilot sites	1	3	2	2	2	2	2	3	2	2	3	2
	j) Test. REDD+ strategy options	2	4	3	5	3	3	3	4	1	3	5	3
Multiple benefits of REDD+	a) Info system for multiple ecosystem benefits	3	5	3	4	5	3	6	4	1	5	5	3
	b) Identify and select NRM accounting system	5	4	2	5	4	1	5	4	1	6	5	2
	c) Identify assess priority environ services / region.	2	5	3	4	5	1	2	5	2	3	4	2
	d) Assess.to incorporate. Multiple benefits	4	4	2	5	4	1	5	5	1	4	5	1
Information on safeguards	a) Identify & understand risks of strategic options.	4	3	2	3	4	2	4	4	2	6	4	1
	b) Frameworks to monitor and manage risks	2	2	3	4	3	3	4	2	3	5	3	3
	c) Assess. of key gender based risks and benefits	3	4	5	4	5	2	4	4	3	4	5	4
Reference emission levels and/ or reference level	a) Data and knowledge on D&D processes	3	4	2	5	3	1	3	4	0	4	4	0
	b) A method. for estimating historic emissions	4	5	3	5	5	2	3	4	1	6	5	1
	c) Expertise in spatial & temporal modelling in REDD+.	3	5	3	5	5	3	4	4	2	4	5	0
National monitoring frameworks and capacities	a) Cap to comply with nat'l. and internt'l reporting	4	3	0	5	4	1	3	3	1	4	3	1
	b) Capacity to estimate terrestrial carbon	4	4	4	5	4	4	3	3	2	4	3	4
Design of a monitoring system (change of area, precision, verification	a) Agree. on definitions, references and variables	3	4	1	5	4	1	3	3	0	4	3	0
	b) Legally defined. Institutional arrangement	3	4	1	5	4	0	4	3	1	4	3	1
	c) Cap. Dev. Plan to enable data collection	3	4	2	7	4	1	3	3	3	5	3	3
	d) Capacity to review, consolidate and integrate data	4	4	2	4	4	2	4	3	2	4	3	2
	e) Cap. and procedures to estimate C stocks	3	4	0	3	4	0	4	3	1	4	3	0

and reporting)	f) Systems and capacity for statistical analysis.	2	4	2	4	4	1	2	3	2	3	3	1
	g) Use independent. verification system	3	4	4	5	4	1	2	3	3	3	3	3
	h) Institutions for public accessibility to data.	4	4	2	4	4	2	4	3	2	3	3	1
Design of an information system on multiple benefits, other impacts,	a) A syst. for monitoring safeguards	4	3	2	5	3	1	3	3	2	3	3	2
	b) Identifying. scope, roles of stakeholders	3	3	1	3	3	1	1	2	1	2	2	1
	c) Identifying capacity needs	1	3	2	2	3	1	3	2	2	2	2	2
	d) Coord'n of information. Systems with other needs	1	4	1	2	4	1	2	3	1	2	3	1
	e) Ident. of mechanisms for independent monitoring	2	3	1	3	3	1	1	2	1	2	2	1
Transition towards a framework for development with REDD+	a) Dev. of national. roadmaps	3	4	2	5	5	1	3	4	1	4	4	0
	b) Protocols for integrated. land use planning	3	5	0	5	5	0	3	4	0	4	5	0
	c) Capacity for Integrated Visions	2	5	1	4	5	1	3	4	1	4	5	0
	d) Strengthening pro-poor policies	2	4	2	4	4	0	2	4	0	4	4	0
	e) Case studies and comparisons.	4	5	2	6	4	0	4	4	1	5	5	2

Annex 3. Summary of Key contextual issues AFRICA

In this Annex, a summary of the responses from African countries who responded and the priority needs closely match the matrices.

RESPONSE OF SOME COUNTRIES IN AFRICA TO OVERVIEW QUESTIONS TO THE SIX OVERVIEW QUESTIONS OF THE CNA				
Question	**DRC**	**Liberia**	**Tanzania**	**Zambia**
What do you consider to be the top five achievements that you have attained sofar with regards to REDD+ readiness?	• Functional NationalREDD+ Steering Committee and Coordination Office with High Level Political Support • In the process of drafting a REDD+ strategy supported by 16 Technical Working Groups • Has developed a National MRV Framework and expects to set REL in by 2013 • Has secured funding from FCPF, UN-REDD+ and FIP and prepared 6 projects which will implemented in Phase II • Has initiated Pilot Projects in the Provinces to provide learning and inform REDD+ Strategy	• Established a stakeholder's matrixes/ listing that enable us to easily know those involve with different sectors and how they can be engaged • Political support for the REDD+ process • the development of the national gender & climate change strategy for Liberia • A National REDD+ communication, consultation and participation taskforce headed by civil society	• National Inventory System: The presence of permanent sample plots that are currently being used to conduct a national forest inventory being done in conjunction with FAO and NAFORMA • REDD+ Strategy: A draft strategy in place • REDD+ Pilots: A total number of 9 REDD+ relevant pilot projects in place and providing lessons • A carbon monitoring and accounting unit centre being set up at Sokoine University	• High level government support & leadership • A bottom up awareness raising in the country • Awareness and Capacity development in MRV at all levels, supporting the setting up of GIS systems in all 10 provinces • Initiated key studies on; drivers of deforestation, Stakeholder assessment and Engagement Plan, Forest practices with potential for REDD+, Development of REL Legal preparedness for REDD+;
What do you consider to be the top five needs or gaps ?	• Decentralization of REDD+ in the Provinces • Capacity building at both National and Provincial levels	• AREDD+ national Forest cover mapping and inventory • Awareness and education • National expertise building in developing country driven REDD+ program	• Carbon Production and benefit sharing: Need for capacity building and a system of transparent and equitable • Legal framework: a	• Setting up demonstration projects to support the national REDD+ strategy • Strengthen capacities at provincial and District levels – knowledge, skills and

		• REDD+ technicians • National REDD+ information center • REDD+ national Forest cover mapping and inventoryREDD+ national Forest cover mapping and inventory	strengthened legal framework that is enforceable both at the national and regional levels to stem illegal trade in forest products "carbon leakage" • Sustainable Financing Mechanisms for REDD+ in Phase II	equipment • Setting up demonstration projects to support REDD+ strategy, to test & provide lessons • Safeguards for REDD+ in Zambia need to be explored • Civil Society capacity development in forest governance, forest resource monitoring and REDD+ communication
Which mechanisms of support have you appreciated or would you prefer going forward?		• Should be in the form of building the capacity of in- country individuals, provide tools and equipment, and establishing a processing center as a work place. In additional, direct financial support is also relevant	• Technical expertise working with Tanzanians to transfer skills • Direct funding to improve compliance with international fiduciary standards	• Support to the real needs of the stakeholders has been appreciated. The program has initiated support to actual needs at provincial level by providing technical and financial support
Can you specify fulfill which of your needs can be more efficiently met through national or regional approaches?		• REDD+ trainer- of- trainers can be met through regional and national level training approaches.	• Regional – dealing with illegal trade in wood and non-wood products from forests and joint training workshops	• National level - the setting up of guidelines and standards for effective implementation of REDD+; • Provincial - the knowledge and skills including the tools required for field level activities
Outline and prioritize the areas where capacity development *is* needed among key stakeholder groups outside the government	• Capacity of NGOs and local communities to engage in REDD+Programmes and SFM i.e. under the process of decentralizing REDD+	• Knowledge and information sharing • Research and data collection • Project developments • MRV	• Capacity of CBOs and CSOs to monitor safeguards: • Create awareness on rights, impacts on policies and how to improve the continued flow of direct and co-benefits of	• Awareness raising in REDD+ as well as sustainable forest management and land-use planning and management • Training in various aspects of REDD+ as well as land-use, and integrated approaches • Provision of tools and skill for

			managing forests under REDD+. • Need to implement REDD+ within the current Participatory Forest Management Programme in Tanzania – particularly in the area of forest monitoring and assessments	effective forest/land monitoring of governance • Civil society capacity development in REDD+, Coordinated approaches and sustainable forest management and land-use
What is your understanding of, or expectations from the term REDD+ Readiness?	A full REDD+ Strategy Document Reference Levels MRV System that is compliant with Phase II Key Reforms and Institutional Arrangements for the Implementation of REDD+	Another rhetorical activity that is intended to showcase the interest of the developed countries, but has never succeeded in African countries, especially, when REDD+ finances are still being considered a dream and not a reality which they can touch, feel and calculate by themselves.	• National REDD+ Strategy and Action Plan • A functional MRV system • An information system for safeguards • Equitable and transparent carbon benefit sharing framework in place • Capacity in place by Phase II of Readiness	• A nation is able to take leadership of priorities required to respond to the implementation of REDD+ at national or regional level based on the nation's development priorities; • Put in place sustainable, cost effective mechanisms to coordinate and implement REDD+; • A country driven national Strategy to reduce deforestation including an investment plan is in place to address drivers of deforestation

Annex 4. Very Urgent readiness elements AFRICA

Countries selected different elements as very urgent but some commonalities were found from the analysis:

Group A

Group A: VERY URGENT				
Governance	**DRC**	**Congo**	**Ghana**	**Tanzania**
Institutional capacity, coordination mechanisms and legal framework				
a) Assessment of Institutional reforms and new institutional arrangements needed for REDD+ design /implementation.				
b) Effective Institutions with technical capacity and administrative authority to manage the drivers of deforestation and forest degradation for REDD+ (esp. forest and land use sectors)				
c) Identification of institutional strengthening requirements, for example to improve law enforcement capacities, MRV, among others.				
d) Effective coordination mechanism across ministries at political, technical and administrative levels				
e) Effective coordination mechanisms with, civil society, indigenous peoples and productive sectors for REDD+ design and Implementation.				
f) Legal evaluation on how to integrate carbon rights, under the actual legislation, including coordination and consultation on how to assign carbon rights				
Benefit Sharing				
a) Design/ Test Implementation of a transparent and accountable system to channel REDD+ benefits and income from REDD+				
b) Institutional Framework for benefit sharing system BSS				
c) National capacity to observe fiduciary standards for disbursement and reception of funds.				
d) Identification, assessment and use of prior experiences, including PES and REDD+ demonstration activities to inform REDD+ strategy design/implementation				
Consultation and participation process (indigenous peoples, OSC, private sector and other stakeholders)				
a) Formal procedures for stakeholder consultations				
b) Capacity development and information dissemination to IPs, forest dependent communities and others, to ensure their informed participation in the management of REDD+				
c) Formally recognized and applied mechanisms for conflict resolution under REDD+. (carbon rights, IP land tenure, others)				
REDD+ Strategy or Action Plan				

Development of the REDD+ Strategy and Options				
a)Use of experiences in natural resources management, forestry, agriculture at local, regional and national levels to inform REDD+ strategy design /implementation.				
b) Assessment of drivers of land use change, including drivers from outside the forest sector at national and regional levels.				
c) Systems to simulate and monitor impacts at national regional and local levels for REDD+ policies.				
d) Analyses of REDD+ +scenarios and their possible impact on GDP, Forest% GDP, Agriculture% GDP.				
e) Cost assessments (opportunity, implementation, institutional and transaction costs) of REDD+ action at local, regional and National Level to inform Policy and decision making.				
f) Identification, or assessment of major inconsistencies or conflicts between the objectives of the REDD+ strategy and policies and programs in other sectors (e.g. transport, agriculture, energy, mining, tourism), and ways to address them.				
g) Assessment of how existing laws, policies, programs and practices incentivize deforestation and forest degradation.				
h) Identify specific reforms in legislation and policies that can be addressed in the short term.				
i) Identification of priority areas for pilots and testing of REDD+ strategy options.				
j) Testing of specific REDD+ Strategy Options.				
Multiple benefits of forests and REDD+				
a) Information systems on ecosystem based multiple benefits of forests, REDD+ and socials benefits.				
b) Identification and selection of Natural Resource (NR) accounting methods and other NR valuation systems.				
c) Identification, assessment and prioritization of environmental services per region, ecosystem and others for REDD+ pilot programs.				
d) Assessment to incorporate multiple benefits of forests in areas such as land use and spatial planning within national programs and REDD+ strategies.				
Social and environmental safeguards				
Information on safeguards				
a)Identification and understanding of key social, political, economic and environmental risks of REDD+ strategy options.				
b) A methodology for estimating historic emissions and to estimate emission scenarios based on expected trends on the drivers of change				

c) Assessment of key gender based risks and potential benefits, and opportunities of REDD+ strategy options, implementation framework				
National forest monitoring systems and information on safeguards				
National monitoring framework and capacities				
a)Capacity and/or compliance with national and international reporting systems (e.g. UNFCCC national communications, FAO FRA)				
b) Capacity and systems for estimating terrestrial carbon, its dynamics, related human-induced changes, leakage, reversals and monitoring approaches				
Design of a monitoring system (change of area, precision, verification and reporting)				
a) Agreement on definitions, monitoring goals, reference units and monitoring variables				
b) Legally defined institutional arrangements with clarified competencies and technical capabilities.				
c) Capacity development plan to cover the priority data and information needs (e.g. cover change, carbon flows, multiple benefits, opportunity costs and environmental risks).				
d) Capacity to review, consolidate and integrate the existing data and information (forest inventory, permanent sample plots, REDD+ demonstration activities).				
e) ACapacity, systems and procedures to estimate carbon stocks according to chosen IPCC Tier levels and Carbon Pools and to monitor the changes.				
f) System and capacity for statistical analysis and interpretation of data in a transparent manner, including the estimation of error.				
g) Use of an Independent System to verify data and its interpretation.				
h) Institutions or platforms ensuring public accessibility to data and information for transparency and the required capacity to run and maintain it.				
Design of an information system on multiple benefits, other impacts, governance and safeguards				
a) A system for monitoring how safeguards are being addressed during the implementation of REDD+ activities based on a practical methodology and tools.				
b) Identification of the scope and roles for stakeholders and government agencies in the design and implementation of safeguards.				
c) Identification of the capacity needed in design and implementation of safeguards.				
d) Coordination of the information system for safeguards with monitoring for other needs.				

e) Identification of mechanisms for establishing independent monitoring and reviews that allows the effective and appropriate participation of civil society, indigenous peoples , forest dependent communities, and other stakeholders.				
Transition to a development framework with REDD+ (green economy)				
a)Development of national roadmaps to identify what kinds of investments and strategies are needed to integrate REDD+ in development frameworks.				
b) Protocols for integrated land use planning and decision-making to allow the integration of economic, biophysical and social information, by using multi-criteria decision making tools.				
c) Capacity to develop integrated visions and reach out to other sectors such as planning and finance to prioritize investment and public spending to promote more sustainable development options.				
d) Strengthening policies so that they are pro-poor. Capacity to develop better indicators to guide investments; such as 'GDP of the Poor'.				
e) Case studies and comparison with probable impacts of 'business as usual' investment practices and trajectories and those with green economy options in pilot districts (such as agro forestry, more efficient processing of timber, REDD+ projects, payments for environmental services).				

Group B

Group B: VERY URGENT	Nigeria	CAR	Kenya	Zambia
Governance				
Institutional capacity, coordination mechanisms and legal framework				
a) Assessment of Institutional reforms and new institutional arrangements b) needed for REDD+ design /implementation.				
c) Effective Institutions with technical capacity and administrative authority d) to manage the drivers of deforestation and forest degradation for REDD+ (esp. forest and land use sectors)				
c) Identification of the capacity needed in design and implementation of safeguards.				
d) Effective coordination mechanism across ministries at political, technical and administrative levels				
e) Effective coordination mechanisms with, civil society, indigenous peoples and f) productive sectors for REDD+ design and Implementation.				
g) Legal evaluation on how to integrate carbon rights, under the actual legislation, h) including coordination and consultation on how to assign carbon rights				
BenefitSharing				
c) National capacity to observe fiduciary standards for disbursement and reception of funds.				
Consultation and participation process (indigenous peoples, OSC, private sector and other stakeholders)				
a) Formal procedures for stakeholder consultations				
b) Capacity development and information dissemination to IPs, forest dependent communities and others, to ensure their informed participation in the management of REDD+				
REDD+ Strategy or Action Plan				
Development of the REDD+ Strategy and Options				
b) Assessment of drivers of land use change, including drivers from outside the forest sector at national and regional levels.				
g) Assessment of how existing laws, policies, programs and practices incentivize deforestation and forest degradation.				

h) Identify specific reforms in legislation and policies that can be addressed in the short term.				
i) Identification of priority areas for pilots and testing of REDD+ strategy options.				
Multiple benefits of forests and REDD+				
a) Information systems on ecosystem based multiple benefits of forests, REDD+ and socials benefits.				
Social and environmentalsafeguards				
Information on safeguards				
a)Identification and understanding of key social, political, economic and environmental risks of REDD+ strategy options.				
c) Assessment of key gender based risks and potential benefits, and opportunities of REDD+ strategy options, implementation framework				
National forest monitoring systems and information on safeguards				
National monitoring framework and capacities				
a)Capacity and/or compliance with national and international reporting systems (e.g. UNFCCC national communications, FAO FRA)				
b) Capacity and systems for estimating terrestrial carbon, its dynamics, related human-induced changes, leakage, reversals and monitoring approaches				
Design of a monitoring system (change of area, precision, verification and reporting)				
a) Agreement on definitions, monitoring goals, reference units and monitoring variables				
e) ACapacity, systems and procedures to estimate carbon stocks according to chosen f) IPCC Tier levels and Carbon Pools and to monitor the changes.				

Annex 5. Summary of Key contextual issues ASIA

In this Annex, a summary of the responses from Asia countries who responded and the priority needs closely match the matrices.

RESPONSE OF SOME COUNTRIES IN ASIA – PACIFIC TO THE SIX OVERVIEW QUESTIONS OF THE CNA			
Question	**The Philippines**	**Papua New Guinea**	**Viet Nam**
What do you consider to be the top five achievements that you have attained sofar with regards to REDD+ readiness?	• Crafting of the Philippines National REDD+ Plus Strategy (PNRPS) and its adoption by the Philippine Government through Climate Change Commission (CCC • Initiation of three demonstration sites • Policy studies namely: a) Clarifying Carbon Rights, b) Analysis of Drivers of Deforestation and Forest Degradation, c) Assessment of implementation, d) Analysis of Forest Policy • UN REDD+ Programme Executive Board in place	• National Readiness Management Arrangements in place in line with National Climate Compatible Pla • Consultation framework in places and being implemented • MRV: An MRV Action Plan has been developed • REDD+ Strategy: Key drivers of emissions in the forestry identified • REDD+ Implementation Framework – key components identified	• National MRV Framework is in place • BDS Design is available • FPIC exercise on the ground and lessons learnt drawn • Communication strategy developed and awareness raisings nationally • National REDD+ Program (Strategy) drafted and consulted
What do you consider to be the top five needs or gaps ?	• Cost assessments (opportunity, implementation, institutional and transaction costs) of REDD+ action at local, regional and National Level to inform Policy and decision making. (national) • Expertise in spatial and temporal analysis and modelling tools. (national and regional) • Capacity and systems for estimating terrestrial carbon, its dynamics, related human-induced changes, leakage, reversals and monitoring approaches	• Legal framework for REDD+ • Payment mechanisms • REDD+ Pilot Projects • Setting reference emission levels (Require technical and financial support to achieve them)	• RL and REL development • BDS piloting • Institutional capacity enhancement for better coordination • Legal framework review and revision • Information on safeguards

	(national and regional • Protocols for integrated land use planning and decision-making to allow the integration of economic, biophysical and social information, by using multi-criteria decision making tools		
Which mechanisms of support have you appreciated or would you prefer going forward?	• Direct funding • Guidelines • Workshops • Specific Expertise	• Legal framework • REDD+ payment mechanism • REDD+ pilot projects • Reference emission levels	Direct funding and specific expertise
Can you specify fulfill which of your needs can be more efficiently met through national or regional approaches?	• National: Cost assessments of REDD+ actions at local, regional and National Level to inform Policy and decision making. • Protocols for integrated land use planning and decision-making • Regional : Assessment of key gender and rights-based risks and potential benefits, and opportunities of REDD+ strategy options, implementation framework • Expertise in spatial and temporal analysis and modelling tools • Capacity and systems for estimating terrestrial carbon, its dynamics, related human-induced changes, leakage, reversals and monitoring approaches	• Difficult to say as most funding has been from government.	• **National**: RL and REL development • BDS piloting • Institutional capacity enhancement for better coordination • Legal framework review and revision • **Regional**: Information on safeguards
Outline and prioritize the areas where capacity is needed among key stakeholder groups outside the government	• Technical issues such as inventory and assessment • Financing Issues such as REDD+-plus financing and the carbon market, funds management • Governance issues such as law enforcement, negotiating skills;	• All aspects relevant to the 4 components identified above require national stakeholder capacity development.	• Private sector • Local community • Research and training agencies • Local NGOs

	participatory decision-making; basic legal procedures		
What is your understanding of, or expectations from the term REDD+ Readiness?	Sees REDD+ readiness in terms of key targets such as: • Action planning and budgeting & Securing short and long term funding • Establishment of pilot / demonstrationsites • Identifying and testing appropriate carbon MRV approaches • Establishednationalbodies • National-level policy reform, establishment of national REL and targets, establishment of clear safeguards, national-level institutional development and research.	REDD+ Readiness: To prepare PNG for a future REDD+ fund mechanism where PNG for performance based payments based and enable an alternative finance flow for the many communities and stakeholders to sustain their livelihoods – as an alternative options such as timber harvesting, mining	• Legal framework relevant to REDD+ full implementation is in place • Institutional and technical capacity enhanced • MRV/RL/REL developed • Sets of measures to address drivers of deforestation and degradation identified for the areas eligible for REDD+ • Comprehensive BDS available • Sets of measures of safeguards developed

Annex 6. Very Urgent readiness elements ASIA

Countries selected different elements as very urgent but some commonalities were found from the analysis:

Group B: VERY URGENT						
Governance	**Bangladesh**	**Cambodia**	**Philippine**	**Srilanka**	**Myanmar**	**PNG**
Institutional capacity, coordination mechanisms and legal framework						
a) Assessment of Institutional reforms and new institutional arrangements needed for REDD+ design /implementation.						
b) Effective Institutions with technical capacity and administrative authority to manage the drivers of deforestation and forest degradation for REDD+ (esp. forest and land use sectors)						
c) Identification of institutional strengthening requirements, for example to improve law enforcement capacities, MRV, among others.						
d) Effective coordination mechanism across ministries at political, technical and administrative levels						
e) Effective coordination mechanisms with, civil society, indigenous peoples and productive sectors for REDD+ design and Implementation.						
f) Legal evaluation on how to integrate carbon rights, under the actual legislation, including coordination and consultation on how to assign carbon rights						
Benefit Sharing						
a) Design/ Test Implementation of a transparent and accountable system to channel REDD+ benefits and income from REDD+						
b) Institutional Framework for benefit sharing system BSS						
c) National capacity to observe fiduciary standards for disbursement and reception of funds.						
d) Identification, assessment and use of prior experiences, including PES and						

REDD+demonstration activities to inform REDD+ strategy design/implementation						
Consultation and participation process (indigenous peoples, OSC, private sector and other stakeholders)						
a) Formal procedures for stakeholder consultations						
b) Capacity development and information dissemination to IPs, forest dependent communities and others, to ensure their informed participation in the management of REDD+						
c) Formally recognized and applied mechanisms for conflict resolution under REDD+. (carbon rights, IP land tenure, others)						
REDD+ Strategy or Action Plan						
Development of the REDD+ Strategy and Options						
a)Use of experiences in natural resources management, forestry, agriculture at local, regional and national levels to inform REDD+ strategy design /implementation.						
b) Assessment of drivers of land use change, including drivers from outside the forest sector at national and regional levels.						
c) Systems to simulate and monitor impacts at national regional and local levels for REDD+ policies.						
d) Analyses of REDD+ +scenarios and their possible impact on GDP, Forest% GDP, Agriculture% GDP.						
e) Cost assessments (opportunity, implementation, institutional and transaction costs) of REDD+ action at local, regional and National Level to inform Policy and decision making.						
f) Identification, or assessment of major inconsistencies or conflicts between the objectives of the REDD+ strategy and policies and programs in other sectors (e.g. transport, agriculture, energy, mining, tourism), and ways to address them.						
g) Assessment of how existing laws, policies, programs and practices incentivize deforestation and forest degradation.						
h) Identify specific reforms in legislation and policies that can be addressed in the short term.						

i) Identification of priority areas for pilots and testing of REDD+ strategy options.						
j) Testing of specific REDD+ Strategy Options.						
Multiple benefits of forests and REDD+						
a) Information systems on ecosystem based multiple benefits of forests, REDD+ and socials benefits.						
b) Identification and selection of Natural Resource (NR) accounting methods and other NR valuation systems.						
c) Identification, assessment and prioritization of environmental services per region, ecosystem and others for REDD+ pilot programs.						
d) Assessment to incorporate multiple benefits of forests in areas such as land use and spatial planning within national programs and REDD+ strategies.						
Social and environmental safeguards						
Information on safeguards						
a)Identification and understanding of key social, political, economic and environmental risks of REDD+ strategy options.						
b) A methodology for estimating historic emissions and to estimate emission scenarios based on expected trends on the drivers of change						
c) Assessment of key gender based risks and potential benefits, and opportunities of REDD+ strategy options, implementation framework						
Forest reference emission level and/or forest reference levels						
Reference Emission Level / Reference Level						
a)Data and knowledge on priority deforestation and forest degradation processes and drivers, associated GHG emissions, and methods for assessing their future developments.						
b) A methodology for estimating historic emissions and to estimate emission scenarios based on expected trends on the drivers of change						
c) Expertise in spatial and temporal analysis and modeling tools.						

National forest monitoring systems and information on safeguards						
National monitoring framework and capacities						
a)Capacity and/or compliance with national and international reporting systems (e.g. UNFCCC national communications, FAO FRA)						
b) Capacity and systems for estimating terrestrial carbon, its dynamics, related human-induced changes, leakage, reversals and monitoring approaches						
Design of a monitoring system (change of area, precision, verification and reporting)						
a) Agreement on definitions, monitoring goals, reference units and monitoring variables						
b) Legally defined institutional arrangements with clarified competencies and technical capabilities.						
c) Capacity development plan to cover the priority data and information needs (e.g. cover change, carbon flows, multiple benefits, opportunity costs and environmental risks).						
d) Capacity to review, consolidate and integrate the existing data and information (forest inventory, permanent sample plots, REDD+ demonstration activities).						
e) Capacity, systems and procedures to estimate carbon stocks according to chosen IPCC Tier levels and Carbon Pools and to monitor the changes.						
f) System and capacity for statistical analysis and interpretation of data in a transparent manner, including the estimation of error.						
g) Use of an Independent System to verify data and its interpretation.						
h) Institutions or platforms ensuring public accessibility to data and information for transparency and the required capacity to run and maintain it.						
Design of an information system on multiple benefits, other impacts, governance and safeguards						
a) A system for monitoring how safeguards are being addressed during the implementation of REDD+ activities based on a practical methodology and tools.						
b) Identification of the scope and roles for stakeholders and government agencies in the design and implementation of safeguards.						

c) Identification of the capacity needed in design and implementation of safeguards.						
d) Coordination of the information system for safeguards with monitoring for other needs.						
e) Identification of mechanisms for establishing independent monitoring and reviews that allows the effective and appropriate participation of civil society, indigenous peoples, forest dependent communities, and other stakeholders.						
Transition towards a framework for development with REDD+						
a) Development of national roadmaps to identify what kinds of investments and strategies are needed to integrate REDD+ in development frameworks.						
b) Protocols for integrated land use planning and decision-making to allow the integration of economic, biophysical and social information, by using multi-criteria decision making tools.						
c) Capacity to develop integrated visions and reach out to other sectors such as planning and finances to prioritize investment and public spending to promote more sustainable development options.						
d) Strengthening policies so that they are pro-poor. Capacity to develop better indicators to guide investments; such as 'GDP of the Poor'.						
e) Case studies and comparison with probable impacts of 'business as usual' investment practices and trajectories and those with green economy options in pilot districts (such as agro forestry, more efficient processing of timber, REDD+ projects, payments for environmental services).						

Annex 7.Recommendations for capacity building by Martin Herold, 2009.

Excerpt from 'An assessment of national forest monitoring capabilities in tropical non-Annex I countries, Recommendations for capacity building', by Martin Herold, 2009, a study that identified specific recommendations for each LAC country listedin this Annex.

Country: Bolivia
Infrastructure. Institutional framework must be strengthened including an improved coordination among the various governance and administration agencies on the different levels of decentralized government. Legal premises should be issued to promote sustainable management, resolve claims of forest ownership and competency. Poor internet connectivity should be improved to ensure reliable access to required data

sources.

Human resources. Expertise in processing and analysis of remote sensing data is available, additional training may become necessary for the launch of a degradation monitoring system. Improvement of human capacity should mainly focus on the establishment of a national forest and carbon inventory.

Annual forest area change monitoring. It is suspected that much of deforestation and forest degradation activities takes place on a rather small scale requiring high resolution remote sensing data for a reliable detection. Bolivia can improve its forest monitoring strategy by the use of Landsat and CBERS data that will allow a significant better assessment of forest area change. Due to high cloud coverage and pronounced in-country variability, radar data may help to fill data gaps to ensure an annual updated data base when going for a wall-to-wall approach. Less frequent wall-to-wall coverage complemented by an adequate sampling strategy for annual updates could be a viable alternative. Capacity building for such a monitoring system is necessary. ASTER data proved to deliver most cost-effective results for the detection of degradation. Semiannual approach is recommended to detect forest degradation.

Carbon measurements. A national forest carbon inventory needs to be established. Expertise may be transferred from work done with existing permanent sample plots of Bolivia; however, additional human and technical resources will be needed for measurements as well as data analysis and interpretation to implement a consistent country-wide system. Required steps include:

- Identification of national key categories
- Develop sampling design and national stratification
- Implement field sample plots to derive the following parameters:
    - o Allometric data (for biomass conversion and expansion)
    - o Carbon fraction values considering country-specific stratification
    - o Disturbance matrices tracking transfers between carbon pools

Country: Brazil

Infrastructure. Technical capacity (hard- and software) for image processing and analysis is very good. For the implementation of a national forest inventory strategy, equipment for in-situ measurements is required.

Human resources. Human capacity in remote sensing is solid but adequate personnel numbers and training is necessary to implement a thorough national inventory strategy.

Annual forest area change monitoring. Brazil has excellent remote sensing capacity Monitoring of forest area change is well established and several programs (DETER, DEGRAD, DETEX) are targeted to detect

forest degradation. Brazil should provide support to other countries based on experiences concerning the development and implementation of a comprehensive monitoring strategy and in providing free and pre-processed CBERS adat.

Carbon measurements. Brazil requires the development and implementation of a national forest carbon measurement system. Activities are ongoing and efforts can build upon existing experience from various study sites and participation in the FAO NFMA program. A systematic, consistent inventory approach on the national level generating data adequate for carbon reporting according to IPCC Tier 2 will require the following steps:

- Identification of national carbon stock key categories
- Develop country specific sampling design and stratification
- Implement field sample plots to derive the following parameters:
    - o Allometric data (for biomass conversion and expansion)
    - o Carbon fraction values considering country-specific stratification
    - o Disturbance matrices tracking transfers between carbon pools

Country: Colombia

Infrastructure. Technical capacity (hard- and software) is required for image processing and analysis. Internet connectivity is relatively slow, better internet access needs to be established to develop data access for annual coverage. Improving technology used for forest monitoring, such as ALOS imagery that also surpasses barriers of imagery interpretation due to clouds. Technical capacity should be built in local communities to promote sustainable forest management using appropriate technologies and implementing good practice guidance.

Human resources. The required monitoring efforts are currently hampered by lacking financial, technical and institutional support. Hence, basic training of specialized personnel is necessary. A REDD+ monitoring system requires greater efforts and capacities to collect in-situ data.

Annual forest area change monitoring. A national monitoring system should be developed and implemented, which can be based on Landsat, SPOT and CBERS as primary source of remote sensing data. Additional radar data should be used to fill data gaps. Regarding this issue, partnerships to bordering countries should be established.

Carbon measurements. A national forest carbon inventory needs to be established and requires the necessary technical and human resources fieldwork, measurements as well as the data interpretation and analysis. Steps for moving to Tier 2:

- Identification of national carbon stock key categories

- Develop country specific sampling design and stratification - Implement field sample plots to derive the following parameters: o Allometric data (for biomass conversion and expansion) o Carbon fraction values considering country-specific stratification - Expertise to estimate historical emissions from deforestation and degradation
Country: Costa Rica
Infrastructure. The governmental institutions already host some infrastructure useful for regular forest monitoring purposes. Existing technical capacity (hard- and software) for image processing and analysis should be assessed and expanded to increase detail and accuracy for measurements and monitoring. **Human resources.** Expertise in processing and analysis of remote sensing data is available, additional training may become necessary for the launch of a degradation monitoring system. Improvement of human capacity should mainly focus on the establishment of a national forest and carbon inventory. Therefore, human capacity is needed to undertake regular forest monitoring i.e. more technical staff and technical training for processing and analyzing of remote sensing data to assess forest area change (optical and radar). **Annual forest area change monitoring.** A national monitoring system for degradation and cover quantification is in planning and this process should be fostered and supported; including the monitoring of forest regrowth. Regular coverage or higher-resolution resolution data will be needed to assess degradation. **Carbon measurements.** A national forest carbon inventory needs to be established. A permanent forest inventory is proposed for the country, which would make it possible to determine the forest (re-)growth, increases in carbon stocks and structure and composition. Expertise may be transferred from work done with existing permanent sample plots of Costa Rica; however, additional human and technical resources will be needed for measurements as well as data analysis and interpretation to implement a consistent country-wide system. Required steps include: - Identification of national carbon stock key categories - Develop sampling design and national stratification - Implement field sample plots to derive the following parameters: o Allometric data (for biomass conversion and expansion) o Carbon fraction values considering country-specific stratification o Disturbance matrices tracking transfers between carbon pools
Country: Ecuador
Infrastructure. Hard- and software for data processing required to monitor forest cover change and forest

degradation by the means of remote sensing and GIS will be premises to implement a solid national monitoring and inventory program. Building on existing experience from CLIRSEN, Ecuador may be able to assess the required effort to achieve this goal. Equipment for field measurements will be required to implement a national forest inventory. Data accessibility would benefit from the improvement of Ecuador's moderately fast internet connectivity.

Human resources. The implementation of a national forest carbon inventory and the establishment of a REDD+-compliant monitoring system will require substantial effort regarding the training of qualified personnel. Especially regarding capacity building in the domain of forest inventory, carbon stock assessment and GHG/carbon emission estimation according IPCC guidelines, Ecuador will rely on support from FAO, NGOs or other external consultancy.

Annual forest area change monitoring. An annual monitoring system for Ecuador will require the incorporation of radar data to complement available optical imagery. (Although steep terrain in considerable parts of the country (13%) may further complicate the use of remotely sensed data.) A strategy for regular national monitoring of forest cover and forest degradation must be developed.

Carbon measurements. A national forest carbon inventory needs to be established and requires the implementation of adequate human and technical resources for fieldwork and measurements as well as data analysis and interpretation. Tier 2 reporting will require the following steps:
- Identification of national carbon stock key categories
- Develop country specific sampling design and stratification
- Implement field sample plots to derive the following parameters:
    - o Allometric data (for biomass conversion and expansion)
    - o Carbon fraction values considering country-specific stratification
    - o Disturbance matrices tracking transfers between carbon pools

Country: Guyana

Infrastructure. More technical capacity (hard- and software) is required for image processing and analysis. Internet connectivity is relatively slow, better internet access needs to be established to improve data access or data access provided. Assess whether internet speed is suitable to obtain annual national coverage with remote sensing.

Human resources. Basic institutional capacities, staff number and technical skills to implement forest monitoring in Guyana need to be established. Human capacity is needed to undertake regular forest monitoring i.e. more technical staff and technical training for processing and analyzing of remote sensing data to assess forest area change (optical and radar). A related plan has been developed and submitted to

FCPF and partners are already identified.

Annual forest area change monitoring. Foster the starting national planning process for a national monitoring system use existing data sources to start implementation. Landsat/CBERS should be the primary source of remote sensing data. Additional radar data should be used to fill data gaps. Regarding this issue, a partnership to Netherlands has been established already.

Carbon measurements. A national forest carbon inventory needs to be established and requires the necessary technical and human resources field work, measurements as well as the data interpretation and analysis. Steps for moving to Tier 2:
- Identification of national carbon stock key categories
- Develop country specific sampling design and stratification
- Implement field sample plots to derive the following parameters:
    - o Allometric data (for biomass conversion and expansion)
    - o Carbon fraction values considering country-specific stratification
- Expertise to estimate historical emissions from deforestation and degradation

Country: México

Infrastructure. Technical capacity (hard- and software) is available for image processing and analysis but may need to be updated when moving to a national carbon accounting and for annual monitoring. Capacity for accuracy assessments and error analysis is required to assess existing data sources and ensure continuous monitoring over time.

Human resources. The institutional capacities, staff number and technical skills to implement forest monitoring in Mexico is partially limited. Therefore, additional human capacity development is needed to undertake regular forest monitoring and in the context of carbon measurements, addressing degradation for national estimation and international reporting.

Annual forest area change monitoring. The national monitoring system is in progress and needs to be established as a continuous program. Regarding this issue, partnerships to Germany, Brazil and Canada have been established and should be fostered.

Carbon measurements. The national forest inventory needs to be improved towards a national carbon stock and carbon stock change measurements system. This requires the necessary technical and human resources field work, measurements as well as the data interpretation and analysis.

Country: Panamá

Infrastructure Forest law enforcement should be improved which will require considerable effort to

increase technical capacity to make use of advanced methodology from remote sensing and GIS. Institutional and technical capacities should also be improved to enable a reliable coordination for the monitoring and management of forests in Panama (to ensure data access among participating agencies and stakeholders, and to clearly distribute responsibilities). Internet connectivity is comparatively good and should not hamper data access. **Human resources.** Additional human resources will be necessary to develop and implement a standardized national monitoring and inventory strategy meeting the requirements of REDD+. ANAM staff needs to be enlarged and training for data collection, interpretation and analysis is essential. Of particular interest for Panama on the technical side may be capacity building for the application of radar data. To promote sustainable management of forest resources, capacity building on the level of local communities will be necessary. **Annual forest area change monitoring.** Current 8-year monitoring interval is too long, Panama aims for a 3-year interval. More frequent updates could be realized by a systematic sampling approach. The integration of CBERS data into the national monitoring system should be investigated. However, cloud cover is a serious issue in Panama and the use of Radar data is highly recommended to achieve the required annual coverage. **Carbon measurements.** Panama states to currently update and systematize its national forest inventory to provide, inter alia, reliable information on biomass stocks. It appears that much work has still to be done to achieve this, including the assessment of historical data sources to establish a baseline. The monitoring of forest biomass via NDVI (as envisaged by Panama) is not recommended since reliable estimates cannot be expected due to signal saturation at low biomass stocks. Panama should establish permanent measurement plots to assess biomass and carbon stocks and apply the following steps to ascertain carbon reporting according to IPCC Tier 2: - Identification of national carbon stock key categories - Develop country specific sampling design and stratification - Implement field sample plots to derive the following parameters: Allometric data (for biomass conversion and expansion), Carbon fraction values considering country-specific stratification, Disturbance matrices tracking transfers between carbon pools
Country: Paraguay
Infrastructure. Improve technical resources and data access procedures: Building upon existing hard- and software, additional technical resources are needed to implement operational forest monitoring. Internet speed analyses suggest that data access is very slow, this needs to be improved or other means of regular data access explored. National IPCC reporting requirements suggests that all relevant data should be made

available in a national forest carbon information system.

Human resources. SEAM has good GIS and remote sensing team, but more human capacity is needed to undertake regular forest area change analyses building upon remote sensing and GIS knowledge in responsible institutions. Capacity needs to be build for working with different type of remote sensing data (optical and potentially radar). Technical capacity building is needed for monitoring forest degradation processes.

Annual forest area change monitoring. Use available remote sensing data to monitor historical forest changes and establish system for future efforts. Landsat/CBERS should be the primary source of remote sensing data. Additional radar data may be needed to achieve annual wall-to-wall coverage.

Carbon measurements. A national forest carbon inventory needs to be established. Therefore, the implementation of human and technical resources is needed for field work, measurements as well as the data interpretation and analysis. Establishment of national forest carbon inventory for Tier 2 reporting is needed:

- Identification of national key categories
- Develop sampling design and national stratification
- Implement field sample plots to derive the following parameters:
    - o Allometric data (for biomass conversion and expansion)
    - o Carbon fraction values considering country-specific stratification
    - o Disturbance matrices tracking transfers between carbon pools

Country: Peru

Infrastructure. Technical capacity (hard- and software) is required for image processing and analysis. Internet connectivity is rather slow, better internet access needs to be established to improve data access.

Human resources. Institutional capacities, staff number and technical skills to implement a forest monitoring system in Peru need to be strengthened. There is need to develop a strategy to clarify the roles and responsibilities of each stakeholder according to legal regulations for identifying institutional gaps that will need to be incorporated in the Organizations and Functions Regulations of different organizations in order to implement the National Strategy. A national REDD+ planning process has started and respective consultations “in situ” will be done through regional workshops in selected areas.

Annual forest area change monitoring. Landsat/CBERS provide the primary source of remote sensing data and should be used to implement a regular forest monitoring system. Additional radar data should be used to fill data gaps. Technical and financial support is required for identification and quantification of

causes or drivers of the deforestation by region, direct causes as well as indirect that influence the deforestation and/or degradation of forests. In April 2008 two initiatives at local sample sites were started. This information will be compared with existing maps of deforestation, protected areas, native communities, forest concessions, biodiversity, endemism, conservation high value areas, endangered species, among others.

Carbon measurements. A national forest carbon inventory needs to be established and requires the necessary technical and human resources fieldwork, measurements as well as the data interpretation and analysis. Steps for moving to Tier 2:

- Identification of national carbon stock key categories
- Develop country specific sampling design and stratification
- Implement field sample plots to derive the following parameters:
    - o Allometric data (for biomass conversion and expansion)
    - o Carbon fraction values considering country-specific stratification
- Expertise to estimate historical emissions from deforestation and degradation

Country: Suriname

Infrastructure. Improved institutional capacity is needed to carry out regular forest inventories and forest mapping. Basic technical equipment is needed i.e. hard- and software for satellite data interpretation as well as equipment for field measurements.

Human resources. For a regular monitoring system, more human capacity is required. Technical capacity for processing and interpreting remote sensing data must be built and strengthened. Possibilities for training in forest monitoring with both optical and RADAR data have been established together with partners (see above). Building upon present basic GIS knowledge, the improvement of data management skills and GIS analysis skills require improvement. Furthermore, knowledge is needed on how to measure and monitor biomass and carbon stocks.

Annual forest area change monitoring. Expertise is needed to develop a national strategy for regular forest monitoring and, subsequently resources are needed for implementation. Radar data are needed in addition to optical data to achieve full country coverage. The necessary knowledge is developed by partners and will be transferred to Suriname. It will then be important to ensure that this expertise is used to implement a regular national monitoring system. In Suriname, deforestation and degradation occurs in scattered small-scale patterns. Monitoring must be able to detect these changes, perhaps based on high resolution data.

Carbon measurements. There is a need to install a continuous, systematic and standardized national

inventory approach to quantify above-/belowground carbon and soil carbon. Relevant governmental agencies need capacity building for biomass monitoring activities, carbon accounting and implementing measurement plots. Further steps:

- Identification of national carbon stock key categories
- Develop country specific sampling design and stratification
- Implement field sample plots to derive the following parameters:
    - o Allometric data (for biomass conversion and expansion)
    - o Carbon fraction values considering country-specific stratification

Annex8. Summary of key contextual issues LAC

This Annex contains a summary of the responses from LAC countries who participated and whose priority needs closely match the matrices.

	Argentina	Colombia	Costa Rica	Honduras
What are the most important achievements to date with regard to REDD+ preparation?	• Establishment of a dialogue, consultation and training process with key stakeholders during R-PP preparation. • Creation of standardized databases on carbon reservoirs and their relationship with social and environmental factors. • Start of pilot experiences.	• Knowledge of national and regional institutional framework. • Identification of the current situation of the dynamics and level of organization of indigenous, afrocolombian and peasant communities at national, regional and local levels. • On the basis of dialogue with this sector, identification of the most sensitive issues with respect to problems and expectations on forests and territories. • Information that facilitates an approximation of the areas most affected by changes in land use. • Proposal of a methodology for DD monitoring.	• Inclusion of gender in Readiness. • Inclusion of a safeguards information system and inclusion of standards for measuring compliance. • Recognition of the use of good practices. • Thorough explanation of how to develop the SESA. • Cancun agreements included.	• The implementation of a mechanism that enables effective communication between all sectors (Sub-committee of REDD+ work) • Development of a study to analyse the identification of DD causes. • Initiation of the process to generate the baseline of GHG emissions from deforestation for the East and Atlantic region of the country. • Preparation of the draft R-PP for the FCPF. • Identification of potential areas for pilot projects.
What are the main needs and gaps that should be tackled to bring the country closer to REDD+ preparation and what support would be	• Extension of the consultation and training process (US$ 420000) • Generation of the Readiness management structure (US$ 630000)	• Consultation and participation processes with indigenous peoples, afrocolombians and peasants, through financing and specific knowledge. • Dissemination and communication strategy through technical and financial support. • Emissions reference levels through financial resources and technical support. • Identification, evaluation and monitoring of	• Development of a safeguards information system through technical and economic support. • Inclusion of gender aspects following the Cancun agreements through technical and	• Have a regulatory framework that enables the integration of carbon rights legislation and REDD+ projects, as well as a benefits and impacts distribution system, through finance, technical support and

required?	• Inter-sectoral dialogue between ministries, nation and provinces, and legal articulation (US$ 430,000) • Updating of the information of carbon reservoirs and deforestation and associated factors (US$ 400,000) • Creation of capacities for developing models, reference scenarios, investment strategies, case studies and mechanisms for channelingREDD+ finance (US$ 550,000)	environmental and social risks and benefits in REDD+ through methodologies, experiences and specific knowledge (procedures and knowledge to articulate SESA with ESFM). • Institutional arrangements for REDD+ through knowledge of institutional schemes that enable efficient and effective management for REDD+ preparation (alliances with FLEGT processes or initiatives that are moving forwards at regional level)	economic support. • Exchange of experiences in MRV through technical and economic support • Improvement of capacities for administration of resources by indigenous peoples and peasants through training. • Exchange of experiences and good practice in MRV through financing.	through workshops. • Complete the baseline of GHG emissions from deforestation at national level, through finance and technical-administrative support (technical advisory services) • Generate and disseminate experiences of natural resource, forests and agricultural management with the aim of generating information for the design and implementation of REDD+, through financial-technical support. • Create capacities for establishing systems and procedures for estimating and monitoring carbon reserves, through technical support (training) and finance (purchase of equipment)
What support mechanisms are contemplated or would be preferable for use from here onwards?		• 1. Public-private alliances	• Integration of other finance sources. • Experience exchange platform.	• Direct finance • Workshops • Training (diplomas, courses, talks, etc,) • Development of guidelines.

What is the order of priorities between the areas in which REDD+ capacity development is necessary amongst key participating non-government groups?	• Strengthening of capacities of communities and other forest-related stakeholders. • Private sector • Academic and scientific sectors.	• Strengthening of indigenous afrocolombian and peasant organizations in participation and consultation processes as well as in monitoring. • Dissemination and information on REDD+ • Training on REDD+ (voluntary market, conflict resolution and rights protection)	• Administration of financial resources • How to incorporate gender without affecting culture • Handling of safeguards and the information system • REDD+ rights and duties, good practices.	• Indigenous peoples • Civil society • Private companies
What is your understanding and expectation of the term "REDD+ preparation"?	Creation of integrated mechanisms to channel incentives for conservation and carbon reservoir increases and promote sustainable territory occupation.	Promote a national dialogue between stakeholders related to the management, use and/or loss of forests, for the development of mechanisms and institutional arrangements for participating in the development of a financial instrument for REDD+ in the medium term; for the updating of forest policy, the promotion of forest governance and the implementation of actions for forest conservation, management, restoration and sustainable use.	Have a socially responsible emissions reductions programme with the participation of all key stakeholders.	The preparation of the R-PP establishes a working route to follow for the next four years, in order to be prepared as a country for a REDD+ regimen.

Annex 9. Very Urgent readiness elements LAC

Countries selected different elements as very urgent but some commonalities were found from the analysis:

Very Urgent (in the next 6 months)
Moderately Urgent (during next year)
Not Urgent (during the next year and a half)
Does not required support
Urgency not determined

Component 1: National REDD+ Governance

Group A

Sub Component: Institutional capacity , coordination mechanism, and legal framework		
Readiness elements	**Costa Rica**	**México**
a) Assessment of Institutional reforms and new institutional arrangements needed for REDD+design /implementation.	Not urgent Financial support (Consulting, Specific expertise) Technical support (Advice) Beneficiaries (IP's)	Not urgent Financial support (Specific expertise, Direct funding) Beneficiaries (GI)
b) Effective Institutions with technical capacity and administrative authority to manage the drivers of deforestation and forest degradation for REDD+ (esp. forest and land use sectors)		Not
c) Identification of institutional strengthening requirements, for example to improve law enforcement capacities, MRV, among others.	Very urgent Financial support (Consult) Technical support (Specific expertise) Beneficiaries (GI)	Urgency not determined Technical support (Specific expertise, Guidelines) Beneficiaries (IP's, GI, local communities)
d) Effective coordination mechanism across ministries at political, technical and administrative levels		Not
e) Effective coordination mechanisms with, civil society, indigenous peoples and productive sectors for REDD+ design and Implementation.		Not

f) Legal evaluation on how to integrate carbon rights, under the actual legislation, including coordination and consultation on how to assign carbon rights		Very urgent Financial support (Workshop, Direct funding)
1.2. Benefit Sharing		
a) Design/ Test Implementation of a transparent and accountable system to channel REDD+benefits and income from REDD+	Moderately urgent Financial support (Consulting, Workshop) Beneficiaries (IP's, CS, GI)	Not
b) Institutional Framework for benefit sharing system BSS		Moderately urgent Technical support (Workshop, Direct funding) Beneficiaries (IP's, CS, GI)
c) National capacity to observe fiduciary standards for disbursement and reception of funds.	Moderately urgent Financial support (Workshop) Technical support (Specific expertise) Beneficiaries (IP's, CS, GI)	Not
d) Identification, assessment and use of prior experiences, including PES and REDD+ demonstration activities to inform REDD+ strategy design/implementation		Very urgent Financial support (Specific expertise) Beneficiaries (GI)
Sub Component: Consultation and Participation process (IPs, Civil society, private sectors and other stakeholders)		
a) Formal procedures for stakeholder consultations		
b) Capacity development and information dissemination to IPs, forest dependent communities and others, to ensure their informed participation in the management of REDD+		Very urgent Financial support (Workshop) Beneficiaries (IP's, CS, GI)
c) Formally recognized and applied mechanisms for conflict resolution under REDD+. (carbon rights, IP land tenure, others)		Moderately urgent Technical support (Specific expertise, Guidelines) Beneficiaries (GI)

Group B

Sub Component: Institutional capacity , coordination mechanism, and legal framework					
Readiness elements	**Honduras**	**Argentina**	**Colombia**	**Ecuador**	**Paraguay**

a) Assessment of Institutional reforms and new institutional arrangements needed for REDD+design /implementation.	Not	Moderately urgent Financial support (Specific expertise, Guidelines, Workshop, Direct funding) Technical support Estimate funding : 45,000 Beneficiaries (CS, GI)	Very urgent Financial support (Financing a consultancy on institutional REDD+) Technical support (Guidelines) Estimate funding : 40,000 Beneficiaries (IP's, CS, GI)	Very urgent Financial support (Benefit-sharing rules,Guidelines prior, free and informed)Technical support (Specific expertise, Guidelines, Workshop)	Very urgent Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries (GI)
b) Effective Institutions with technical capacity and administrative authority to manage the drivers of deforestation and forest degradation for REDD+ (esp. forest and land use sectors)	Moderately urgent Financial support (Workshop) Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's, CS, GI)	Moderately urgent Financial support (Specific expertise) Technical support (Specific expertise) Estimate funding 125,000 Beneficiaries (CS, GI, O)	Very urgent Financial support (Direct funding) Technical support (Workshop, Direct funding) Beneficiaries (GI)	Very urgent Technical support (Specific expertise)	Very urgent Technical support (Specific expertise, Guidelines) Beneficiaries (O)
c) Identification of institutional strengthening requirements, for example to improve law enforcement capacities, MRV, among others.	Moderately urgent Administrative support (Specific expertise, Guidelines) Technical support (Workshop) Beneficiaries(IP's, CS, GI,)	Very urgent: Technical support Estimate funding of: 75,000 Beneficiaries (CS, GI,O, Universities and Scientific Institutions)	Very urgent Financial support (Workshop) Beneficiaries (IP's CS GI)	Urgency not determined Financial support Administrative support (Guidelines) Technical support (Guidelines, Workshop)	Very urgent Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's, CS, GI)
d) Effective coordination mechanism across ministries at political, technical and administrative levels	Moderately urgent Administrative support (Specific expertise, Guidelines) Technical support (Specific expertise) Beneficiaries (GI)	Very urgent Financial support (Specific expertise, Guidelines, Workshop, Direct funding, Other) Administrative support (Specific expertise, Guidelines, Workshop, Direct funding, Other) Technical support (Specific expertise, Guidelines Workshop Direct funding Other)	Moderately urgent Financial support (Specific expertise) Beneficiaries (IP's, GI, O, Universities and Scientific Institutions)	Not	Very urgent Technical support (Guidelines, Workshop)- Beneficiaries (IP's, CS, GI)

		Estimate funding : 145000 Beneficiaries (CS, GI)			
e) Effective coordination mechanisms with, civil society, indigenous peoples and productive sectors for REDD+ design and Implementation.	Not	Not urgent Financial support (Workshop, Direct funding, Other) Administrative support (Workshop, Direct funding, Other) Beneficiaries (IP's, CS, GI)	Very urgent Financial support (Specific expertise, Workshop, Direct funding) Estimate funding of: 400,000 Beneficiaries (GI)	Urgency not determined Financial support (Workshop, Direct funding) Administrative support (Specific expertise, Guidelines, Workshop)	Very urgent Financial support Technical support (Specific expertise, Guidelines, Workshop)- Beneficiaries (IP's, CS, GI)
f) Legal evaluation on how to integrate carbon rights, under the actual legislation, including coordination and consultation on how to assign carbon rights	Very urgent Financial support (Workshop, Direct funding) Administrative support (Specific expertise, Guidelines) Technical support (Specific expertise) Beneficiaries (IP's, CS, GI)	Not urgent Technical support (Specific expertise) Beneficiaries (IP's, CS)	Very urgent Financial support (Specific expertise, Guidelines, Workshop, Direct funding) Administrative support (Other) Estimate funding of: 400,000 Beneficiaries (IP's CS GI)	Urgency not determined Administrative support (legal) Technical support (distribution of benefits and carbon rights) Beneficiaries (IP's, CS)	Very urgent Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's, CS, GI)
Benefit sharing					
a) Design/ Test Implementation of a transparent and accountable system to channel REDD+ benefits and income from REDD+	Moderately urgent Financial support (Direct funding) Administrative support (Specific expertise, Guidelines) Technical support (Specific expertise, Guidelines) Beneficiaries (IP's, CS, GI)	Moderately urgent: Financial support (Specific expertise, Direct funding) Technical support	Moderately urgent Financial support (Specific expertise, Workshop) Beneficiaries (IP's, CS, GI)	Urgency not determined Financial support Technical support (Specific expertise)	Very urgent Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's, CS, GI)

b) Institutional Framework for benefit sharing system BSS	Moderately urgent Administrative support (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's, CS, GI,)	Not Urgent	Moderately urgent Financial support (Direct funding) Technical support (Specific expertise, Guidelines, Workshop, Direct funding) Beneficiaries (IP's, CS, GI)	Very urgent Technical support (Specific expertise) Beneficiaries (IP's, CS)	Very urgent Financial support (Specific expertise, Guidelines, Workshop) Technical support needed (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's, CS, GI)
c) National capacity to observe fiduciary standards for disbursement and reception of funds.	Moderately urgent Financial support (Direct funding) Administrative support (Specific expertise, Guidelines) Beneficiaries (IP's, CS, GI)	Not Urgent	Not urgent Financial support (Specific expertise, Workshop) Beneficiaries (IP's, CS, GI)	Not urgent	Very urgent Financial support (Specific expertise, Guidelines, Workshop) Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's, CS, GI)
d) Identification, assessment and use of prior experiences, including PES and REDD+ demonstration activities to inform REDD+ strategy design/implementation	Very urgent Financial support (Guidelines, Workshop) Technical support (Specific expertise) Beneficiaries (IP's, CS, GI)	Not	Very urgent Financial support (Specific expertise, Workshop, Direct funding) Estimate funding of: 200,000 Beneficiaries (IP's, CS, GI)	Urgency not determined Technical support (Specific expertise) Beneficiaries (IP's, CS)	Very urgent Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's, CS, GI)
Sub Component: Consultation and Participation process (IPs, Civil society, private sectors and other stakeholders)					
a) Formal procedures for stakeholder consultations	Very urgent Financial support (Direct funding) Technical support (Workshop) Beneficiaries (IP's, CS, GI)	Very urgent Financial support (Workshop, Direct funding, Other) Administrative support (Direct funding, Other) Estimate funding of: 220,000	Very urgent Financial support (Workshop, Direct funding) Estimate funding of: 500,000 Beneficiaries (IP's, GI)	Very urgent Technical support (Specific expertise) Beneficiaries (IP's, CS)	Very urgent Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's, CS, GI)
b) Capacity development and information dissemination to IPs, forest dependent communities and others, to ensure their informed participation in the management of	Very urgent Financial support (Workshop) Technical support (Workshop)	Very urgent Financial support (Workshop, Direct funding, Other) Estimate funding of:	Very urgent Financial support (Specific expertise, Guidelines, Workshop, Direct	Very urgent Administrative support (Guidelines) Technical support (Specific expertise)	Very urgent Technical support (Specific expertise, Guidelines Beneficiaries (IP's, CS,

REDD+	Beneficiaries(IP's, CS, GI)	130000 Beneficiaries (IP's, CS)	funding) Estimate funding of: 400,000 Beneficiaries (IP's, CS, GI)		GI)
c) Formally recognized and applied mechanisms for conflict resolution under REDD+. (carbon rights, IP land tenure, others)	Very urgent Financial support(Workshop) Administrative support (Specific expertise, Guidelines) Support needed for funding estimation Beneficiaries (IP's, CS, GI)	Not urgent Technical support (Specific expertise Guidelines) Beneficiaries (GI)	Very urgent Financial support (Specific expertise, Workshop, Direct fundin) Estimate funding of: 300,000 Beneficiaries (IP's, CS, GI)	Not urgent Technical support (Specific expertise)	Very urgent Technical support needed (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's, CS, GI)

Component 2: REDD+ Strategy or Action Plan

Group A

Sub Component: REDD+ Strategy Development and Options		
Readiness elements	**Costa Rica**	**México**
a)Use of experiences in natural resources management, forestry, agriculture at local, regional and national levels to inform REDD+ strategy design /implementation.		Not
b) Assessment of drivers of land use change, including drivers from outside the forest sector at national and regional levels.		Not
c) Systems to simulate and monitor impacts at national regional and local levels for REDD+ policies.		Not urgent Technical support (Specific expertise) Beneficiaries (GI)
d) Analyses of REDD+ +scenarios and their possible impact on GDP, Forest% GDP, Agriculture% GDP.		Not
e) Cost assessments (opportunity, implementation, institutional and transaction costs) of REDD+ action at local, regional and National Level to inform Policy and decision making.		Moderately urgent Financial support (Direct funding) Beneficiaries (Academy)
f) Identification, or assessment of major inconsistencies or conflicts between the objectives of the REDD+ strategy and policies and programs in other sectors (e.g. transport, agriculture, energy, mining, tourism), and ways to address them.		Not
g) Assessment of how existing laws, policies, programs and practices incentivize deforestation and forest degradation.		Not
h) Identify specific reforms in legislation and policies that can be addressed in the short term.		Not
i) Identification of priority areas for pilots and testing of REDD+ strategy options.		Not
j) Testing of specific REDD+ Strategy Options.		Not
Sub component: Multiple Benefits of forest and REDD+.		
a) Information systems on ecosystem based multiple benefits of forests, REDD+ and socials benefits.		Not
b) Identification and selection of Natural Resource (NR) accounting methods and other NR valuation systems.		Not

c) Identification, assessment and prioritization of environmental services per region, ecosystem and others for REDD+ pilot programs.		Other
d) Assessment to incorporate multiple benefits of forests in areas such as land use and spatial planning within national programs and REDD+ strategies.		Not

Group B

Sub Component: REDD+ Strategy Development and Options					
Readiness elements	**Honduras**	**Argentina**	**Colombia**	**Ecuador**	**Paraguay**
a)Use of experiences in natural resources management, forestry, agriculture at local, regional and national levels to inform REDD+ strategy design /implementation.	Very urgent Financial support (Workshop) Technical support (Specific expertise, Workshop)	Not answer	Moderately urgent Financial support (Specific expertise, Workshop, Direct funding) Estimate funding of: 300,000 Beneficiaries (IP's, CS, GI)	Not urgent	Very urgent Technical support (Specific expertise, Guidelines) Beneficiaries (IP's, CS, GI)

b) Assessment of drivers of land use change, including drivers from outside the forest sector at national and regional levels.	Not	Moderately urgent Financial support (Specific expertise, Workshop, Direct funding) Technical support (Specific expertise Direct funding) Estimate funding of: 50,000	Moderately urgent Financial support (Specific expertise, Workshop, Direct funding) Administrative support Estimate funding of: 500,000 Beneficiaries (IP's, CS, GI)	Very urgent Financial support (Direct funding) Technical support (find methods to perform this analysis, Specific expertise)	Very urgent Technical support (Specific expertise, Guidelines) Beneficiaries (IP's, CS, GI)
c) Systems to simulate and monitor impacts at national regional and local levels for REDD+ policies.	Moderately urgent Administrative support (Specific expertise, Guidelines) Technical support (Specific expertise)	Moderately urgent Financial support (Guidelines, Technical support (Specific expertise, Guidelines, Other) Support needed for funding estimation Beneficiaries (GI)	Moderately urgent Financial support (Specific expertise, Guidelines, Workshop, Direct funding) Administrative support Estimate funding of: 500,000 Beneficiaries (IP's, CS, GI)	Urgncy not determined Technical support (is important to make these models when you have all the information, Specific expertise)	Very urgent Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's, CS, GI)
d) Analyses of REDD+ +scenarios and their possible impact on GDP, Forest% GDP, Agriculture% GDP.	Moderately urgent Administrative support (Specific expertise, Guidelines) Technical support (Specific expertise, Guidelines)	Moderately urgent Financial support (Specific expertise, Guidelines, Workshop, Technical support (Specific expertise Guidelines Workshop Direct funding) Estimate funding of: 110,000 Beneficiaries (CS, GI, O, National	Moderately urgent Financial support (Specific expertise, Workshop) Support needed for funding estimation Beneficiaries (GI)	Very urgent Technical support (for defining possible areas that apply to REDD+ and should be updated, Specific expertise)	Very urgent Financial support (Specific expertise, Guidelines) Technical support (Specific expertise, Guidelines) Beneficiaries (IP's, CS, GI)

		Research Insttitutions)			
e) Cost assessments (opportunity, implementation, institutional and transaction costs) of REDD+ action at local, regional and National Level to inform Policy and decision making.	Very urgent Financial support (Guidelines, Workshop)	Very urgentFinancial support (Specific expertise, Direct funding, Other) Administrative support (Direct funding) Technical support (Specific expertise, Direct funding Other) Estimate funding 230,000 Beneficiaries (GI,O)	Very urgent Financial support (Specific expertise, Guidelines, Workshop, Direct funding) Administrative support Estimate funding of: US$ 500,000 Beneficiaries (GI)	Very urgent Financial support (Direct funding) Technical support (Specific expertise)	Very urgent Financial support (Specific expertise, Guidelines, Workshop) Technical support needed (Specific expertise, Guidelines) Beneficiaries (IP's, CS, GI)
f) Identification, or assessment of major inconsistencies or conflicts between the objectives of the REDD+ strategy and policies and programs in other sectors (e.g. transport, agriculture, energy, mining, tourism), and ways to address them.	Urgency not determined Financial support (Specific expertise, Workshop) Technical support (Workshop)	Moderately urgent Financial support (Specific expertise, Guidelines, Workshop, Direct funding, Other) Administrative support (Specific expertise, Guidelines, Workshop, Direct funding, Other) Technical support (Specific expertise, Guidelines, Workshop, Direct funding, Other) Estimate funding of:90,000 Beneficiaries (CS,	Very urgent Financial support (Guidelines, Workshop, Technical support (Guidelines,Support needed for funding estimation Beneficiaries (IP's, CS, GI)	Very urgent Financial support (Workshop, Direct funding) Technical support needed (Collection of information, Guidelines, Workshop)	Very urgent Technical support (Specific expertise, Guidelines) Beneficiaries (IP's, CS, GI)

		GI)			
g) Assessment of how existing laws, policies, programs and practices incentivize deforestation and forest degradation.	Not	Not	Very urgent Financial support (Specific expertise, Guidelines, Workshop, Direct funding, Administrative support) Estimate funding of: 300,000 Beneficiaries (IP's, CS, GI)	Urgency not determined Technical support (identifying inconsistencies) (Guidelines)	Very urgent Technical support needed (Specific expertise, Guidelines) Beneficiaries (IP's, CS, GI)
h) Identify specific reforms in legislation and policies that can be addressed in the short term.	Not	Not urgent Estimate funding of: 90,000	Moderately urgentFinancial support (Specific expertise, Guidelines, Workshop, Administrative support (Support needed for funding estimation) Beneficiaries (GI)	Not urgent	Very urgent Technical support needed (Specific expertise, Guidelines) Beneficiaries (IP's, CS, GI,)

i) Identification of priority areas for pilots and testing of REDD+ strategy options.	Not	No answer	Moderately urgent financial support (Specific expertise, Guidelines, Workshop, Direct funding) Administrative support (Beneficiaries(IP's, CS, GI, Universities - Research Institutes)	Not urgent	Very urgent Technical support needed (Specific expertise, Guidelines, Workshop)- Beneficiaries (IP's, CS, GI)
j) Testing of specific REDD+ Strategy Options.	Moderately urgent Administrative support (Specific expertise, Guidelines) Technical support (Guidelines)	Very urgentFinancial support (Direct funding, Other) Support needed for funding estimation Beneficiaries (IP's, CS, GI)	Moderately urgent Financial support (Specific expertise, Workshop, Direct funding) Estimate funding of: 500,000 Beneficiaries (IP's, CS, GI)	Urgency not determined	Very urgent Technical support (Specific expertise, Guidelines) Beneficiaries (IP's, CS, GI)
Sub Component: Multiple Benefits of forest and REDD+.					
a) Information systems on ecosystem based multiple benefits of forests, REDD+ and socials benefits.	Very urgent Financial support (Specific expertise, Workshop) Administrative support- Technical support (Workshop)	Very urgent Financial support (Specific expertise, Workshop, Direct funding, Other) Technical support (Support needed for funding estimation) Beneficiaries (IP's, CS, GI)	Moderately urgent Financial support (Specific expertise, Workshop, Direct funding) Administrative support Estimate funding: 300.000 Beneficiaries (IP's, CS, GI)	Very urgent Technical support (but be held with WCMC) (Specific expertise)	Very urgent Financial support (Specific expertise, Guidelines, Workshop) Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's, CS, GI,)

b) Identification and selection of Natural Resource (NR) accounting methods and other NR valuation systems.	Moderately urgent Financial support (Workshop) Administrative support (Workshop) Technical support (Specific expertise)	Not	Not urgent Financial support (Specific expertise, Guidelines, Workshop) Administrative support (Support needed for funding estimation) Beneficiaries (GI, Universities, Research Institutes)	Not	Moderately urgent Financial support (Specific expertise, Guidelines, Workshop) Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's, CS, GI)
c) Identification, assessment and prioritization of environmental services per region, ecosystem and others for REDD+ pilot programs.	Moderately urgent Financial support (Workshop) Technical support (Specific expertise)	Not	Moderately urgent Financial support (Specific expertise, Guidelines, Workshop, Direct funding) Administrative support Estimate funding of: 500,000 Beneficiaries (GI)	Not	Very urgent Financial support (Specific expertise, Guidelines) Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's, CS, GI)
d) Assessment to incorporate multiple benefits of forests in areas such as land use and spatial planning within national programs and REDD+ strategies.	Moderately urgent Financial support (Workshop) Technical support (Specific expertise)	Moderately urgent Financial support (Specific expertise, Direct funding) Technical support (Specific expertise, Direct funding	Moderately urgent Financial support (Specific expertise, Guidelines, Workshop) Administrative support Beneficiaries (IP's)	Not urgent	Very urgent Financial support (Specific expertise, Guidelines) Technical support needed (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's, CS, GI)

Component 3: Social and Environmental Safeguards

Group A

Sub Component: Information on safeguards		
Readiness elements	**Costa Rica**	**México**
a)Identification and understanding of key social, political, economic and environmental risks of REDD+ strategy options.		Not
b) Frameworks to monitor and manage the risks and impacts during REDD+ strategy implementation (e.g. policies, governance, multiple benefits, participation)		Very urgent Financial support (Direct funding) Beneficiaries (GI)
c) Assessment of key gender based risks and potential benefits, and opportunities of REDD+ strategy options, implementation framework		Not urgent Financial support (Workshop) Beneficiaries (IP's, CS, GI)

Group B

Sub Component: Social and EnvironmentalSafeguards information on safeguards					
Readiness elements	**Honduras**	**Argentina**	**Colombia**	**Ecuador**	**Paraguay**

a)Identification and understanding of key social, political, economic and environmental risks of REDD+ strategy options.	Moderately urgent Financial support (Specific expertise) Beneficiaries (IP's,CS,, GI)	Very urgent Financial support (Guidelines, Direct funding, Other) Administrative support (Guidelines, Direct funding, Other) Technical support (Specific expertise Guidelines, Direct funding, Other) Estimate funding of: 80,000 Beneficiaries (IP's, CS, GI)	Very urgent Financial support (Specific expertise, Guidelines, Workshop, Direct funding) Administrative support Technical support Direct funding, 500,000 Beneficiaries (IP's, CS, GI, Universities - Research Institutes)	Urgency not determined	Very urgent Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's, CS, GI)
b) Frameworks to monitor and manage the risks and impacts during REDD+ strategy implementation (e.g. policies, governance, multiple benefits, participation)	Moderately urgent Administrative support (Specific expertise, Guidelines, Workshop)- Beneficiaries (IP's, GI)	Not urgent	Moderately urgent Financial support (Specific expertise, Guidelines, Workshop, Direct funding) Administrative support Estimate funding of: 300.000 Beneficiaries (IP's, CS, GI)	Not urgent	Very urgent Financial support (Specific expertise, Guidelines) Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's, CS, GI)
c) Assessment of key gender based risks and potential benefits, and opportunities of REDD+ strategy options, implementation framework	Very urgent Financial support (Specific expertise,Workshop) Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's, CS, GI)	Moderately urgent Financial support (Workshop, Other) Technical support (Specific expertise, Other) Estimate funding of: 60,000 Beneficiaries (IP's, CS, GI)	Very urgent Financial support (Specific expertise, Guidelines, Workshop, Direct funding, Other) Administrative support Estimate funding of: 300,000 Beneficiaries (IP's, CS, GI, Universities - Research Institutes)	Urgency not determined	Very urgent Financial support (Specific expertise, Guidelines) Technical suppor (Specific expertise, Guideline)- Beneficiaries (IP's, CS, GI,)

Component 4. Forest reference emission level and/or forest reference levels

Group A

Sub Component: Reference Emission Level / Reference Level		
Readiness elements	**Costa Rica**	**México**
a) Data and knowledge on priority deforestation and forest degradation processes and drivers, associated GHG emissions, and methods for assessing their future developments.		Not
b) A methodology for estimating historic emissions and to estimate emission scenarios based on expected trends on the drivers of change		Not
c) Expertise in spatial and temporal analysis and modeling tools.		Not

Group B

Sub Component: Reference Emission Level / Reference Level					
Readiness elements	**Honduras**	**Argentina**	**Colombia**	**Ecuador**	**Paraguay**
a) Data and knowledge on priority deforestation and forest degradation processes and drivers, associated GHG emissions, and methods for assessing their future developments.	financial support (Specific expertise, Workshop) Beneficiaries (CS, GI)	Moderately urgent Financial support (Specific expertise, Direct funding, Other) Technical support (Specific expertise) Beneficiaries (GI)	Not answer Financial support (Specific expertise, Direct funding) Administrative support Estimate funding of: 800,000 (GI)	Very urgent Technical support (Specific expertise)	Very urgent Technical support (experienced experts in the field) (Specific expertise, Guidelines, Workshop, Direct funding) Beneficiaries (IP's, CS, GI)

b) A methodology for estimating historic emissions and to estimate emission scenarios based on expected trends on the drivers of change	Financial support (Specificexpertise,Workshop)- Technical support(Specific expertise, Workshop) Beneficiaries (GI)	Moderately urgent Technical support (Specific expertise) Direct funding Estimate funding of: 50,000 Beneficiaries (GI)	No answer financial (Specific expertise, Direct funding) Estimate funding of: 1,000,000 Beneficiaries (CS, GI)	Very urgent Financial support(Direct funding)	Very urgent Technical support (support of experienced experts in the field) (Specific expertise, Guidelines, Workshop)- Beneficiaries(IP's, CS, GI)
c) Expertise in spatial and temporal analysis and modeling tools.	Financial support (Specific expertise) Technical support (Specific expertise, Workshop, Direct funding) Beneficiaries (GI)	Very urgent Ffinancial support (Specific expertise, Workshop) Technical support (Specific expertise Workshop) Beneficiaries (CS, GI)	No answer Financial support (Specific expertise, Direct funding) Estimate funding of: 200,000 Beneficiaries (GI)	Financial support (Direct funding) Technical support (Specific expertise, Guidelines)	Very urgent Technical support (support of experienced experts in the field) (Specific expertise, Guidelines, Workshop, Direct funding) Beneficiaries (IP's, CS, GI)

Component 5: National Forest Monitoring Systems and information on Safeguards

Group A

Sub Component: National monitoring framework and/or capacities		
Readiness elements	**Costa Rica**	**México**
a)Capacity and/or compliance with national and international reporting systems (e.g. UNFCCC national communications, FAO FRA)		Not
b) Capacity and systems for estimating terrestrial carbon, its dynamics, related human-induced changes, leakage, reversals and monitoring approaches		Not
Sub Component: Design of monitoring system (forest area change, accuracy, verification and reporting)		
a) Agreement on definitions, monitoring goals, reference units and monitoring variables		Not
b) Legally defined institutional arrangements with clarified competencies and technical capabilities.		Moderately urgent Financial support (Workshop, Direct funding) Beneficiaries (GI)
c) Capacity development plan to cover the priority data and information needs (e.g. cover change, carbon flows, multiple benefits, opportunity costs and environmental risks).		Moderately urgent Financial support (Specific expertise) Beneficiaries (IP's, CS)
d) Capacity to review, consolidate and integrate the existing data and information (forest inventory, permanent sample plots, REDD+ demonstration activities).		Not
e) Capacity, systems and procedures to estimate carbon stocks according to chosen IPCC Tier levels and Carbon Pools and to monitor the changes.		Not

f) System and capacity for statistical analysis and interpretation of data in a transparent manner, including the estimation of error.		Not
g) Use of an Independent System to verify data and its interpretation.		Not
h) Institutions or platforms ensuring public accessibility to data and information for transparency and the required capacity to run and maintain it.		Not
Sub Component: Designing an Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards.		
a) A system for monitoring how safeguards are being addressed during the implementation of REDD+ activities based on a practical methodology and tools.		Not
b) Identification of the scope and roles for stakeholders and government agencies in the design and implementation of safeguards.		Not
c) Identification of the capacity needed in design and implementation of safeguards.		Moderately urgent Technical support (Workshop) Beneficiaries (IP's, CS, GI)
d) Coordination of the information system for safeguards with monitoring for other needs.		Not
e) Identification of mechanisms for establishing independent monitoring and reviews that allows the effective and appropriate participation of civil society, indigenous peoples , forest dependent communities, and other stakeholders.		Not

Group B

Sub Component: Design of monitoring system (forest area change, accuracy, verification and reporting)					
Readiness elements	**Honduras**	**Argentina**	**Colombia**	**Ecuador**	**Paraguay**
a) Agreement on definitions, monitoring goals, reference units and monitoring variables	Not urgent Technical support (Guidelines, Workshop) Beneficiaries (CS, GI)	No Noanswe	Moderately urgent Financial support (Specific expertise, Direct funding) Administrative support Estimate funding of: 500,000 Beneficiaries (GI)	Very urgent Technical support needed (Specific expertise, Guidelines)	Urgency not determined
b) Legally defined institutional arrangements with clarified competencies and technical capabilities.	Moderately urgent -Financial support (Direct funding) Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries (GI)	Moderately urgentFinancial support (Specific expertise) Technical support (Specific expertise) Estimate funding of: 45,000	Not urgent Financial support (Specific expertise, Guidelines, Workshop) Administrative support (Support needed for funding estimation) Beneficiaries (GI)	Urgency not determined	Urgency not determined
c) Capacity development plan to cover the priority data and information needs (e.g. cover change, carbon flows, multiple benefits, opportunity costs and environmental risks).	Moderately urgent Financial support (Direct funding) Technical support (Guidelines, Workshop) Beneficiaries (GI)	Not urgent Technical support (Specific expertise, Guidelines) Estimate funding of: 350,000 Beneficiaries (GI)	Moderately urgent Financial support (Specific expertise, Guidelines, Workshop) Administrative support (Support needed for funding estimation) Beneficiaries (GI)	Urgency not determined	Moderately urgent Financial support (Workshop) Technical support (learn from experiences in other countries, Specific expertise, Guidelines, Workshop)

d) Capacity to review, consolidate and integrate the existing data and information (forest inventory, permanent sample plots, REDD+ demonstration activities).	Not urgent-Technical support (Guidelines) Beneficiaries (GI)	Urgency not determined	Very urgent Financial support (Specific expertise, Guidelines, Workshop, Direct funding) Administrative support Estimate funding of: 500,000 Beneficiaries (GI)	Urgency not determined	Moderately urgent (Needs financial support, creating a database) Beneficiaries (IP's, CS, GI)
e) ACapacity, systems and procedures to estimate carbon stocks according to chosen IPCC Tier levels and Carbon Pools and to monitor the changes.	Very urgent Financial support (Direct funding, Other) Technical support (Specific expertise, Guidelines, Direct funding) Beneficiaries (GI)	Urgency not determined	Not urgent Financial support (Specific expertise, Guidelines, Workshop) Administrative support (Support needed for funding estimation) Beneficiaries (GI)	Urgency not determined	Moderately urgent Financial support (generate more information to a finer level of detail,Direct funding) Technical support (sharing similar experiences south – south, Guidelines)
f) System and capacity for statistical analysis and interpretation of data in a transparent manner, including the estimation of error.	Very urgent-Financial support (Direct funding) Technical support (Specific expertise, Guidelines, Workshop)- Beneficiaries (GI)	Urgency not determined	Not urgent Financial support (Specific expertise, Guidelines,) Administrative support (Support needed for funding estimation) Beneficiaries (GI)	Very urgent Administrative support (Specific expertise) Technical support (Specific expertise)	Moderately urgent Financial support(Extra funding for the comprehensive review of the data and cross check by a third party,Workshop) Technical support (Workshop) Beneficiaries (IP's, CS, GI)

g) Use of an Independent System to verify data and its interpretation.	Very urgent- Financial support (Direct funding) Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries (GI)	Urgency not determined	Very urgent Financial support (Specific expertise, Guidelines, Workshop, Direct funding) Administrative support Estimate funding of: 500,000	Urgency not determined	Not urgent Financial support (Mount the system or fund independent monitoring) Technical support (development of manuals and verification protocols,Guidelines)Beneficiaries (IP's, CS, GI)
h) Institutions or platforms ensuring public accessibility to data and information for transparency and the required capacity to run and maintain it.	Moderately urgent Technical support (Specific expertise, Guidelines, Direct funding) Beneficiaries (CS, GI)	Urgency not determined	Very urgent Financial support (Specific expertise, Guidelines, Direct funding) Administrative support Estimate funding of: 200,000 Beneficiaries (IP's, CS, GI)	Urgency not determined	Not urgent financial support (Financial support for mounting the platform, Workshop) Technical support (Specific expertise, Guidelines,Workshop, Direct funding) Beneficiaries (IP's, CS, GI)

Designing an Information System for Multiple Benefits, Other Impacts, Governance, and Safeguards.	Honduras	Argentina	Colombia	Ecuador	Paraguay
a) A system for monitoring how safeguards are being addressed during the implementation of REDD+ activities based on a practical methodology and tools.	Very urgent Technical support (Specific expertise, Guidelines, Workshop)-Beneficiaries (IP's, CS, GI)	Urgency not determined	Moderately urgent Financial support (Specific expertise, Guidelines, Workshop, Direct funding) Administrative support Estimate funding of: 200,000 Beneficiaries (IP's, CS, GI)	Urgency not determined	Urgency not determined
b) Identification of the scope and roles for stakeholders and government agencies in the design and implementation of safeguards.	Very urgent Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's, CS, GI)	Urgency not determined	Very urgent Financial support (Specific expertise, Guidelines, Workshop, Direct funding) Administrative support (Support needed for funding estimation) Beneficiaries (IP's, CS, GI)	Urgency not determined	Urgency not determined
c) Identification of the capacity needed in design and implementation of safeguards.	Moderately urgent Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's,CS, GI)	Urgency not determined	Very urgent Financial support (Specific expertise, Guidelines, Workshop) Administrative support (Support needed for funding estimation) Beneficiaries (IP's, CS, GI, O)	Urgency not determined	Urgency not determined

d) Coordination of the information system for safeguards with monitoring for other needs.	Moderately urgent Technical support (Specific expertise, Guidelines, Workshop)- Beneficiaries(IP's,CS, GI)	Urgency not determined	Moderately urgent Financial support (Specific expertise, Guidelines, Workshop) Administrative support (Support needed for funding estimation) Beneficiaries(IP's, CS, GI, Universities - Research Institutes)	Urgency not determined	Urgency not determined
e) Identification of mechanisms for establishing independent monitoring and reviews that allows the effective and appropriate participation of civil society, indigenous peoples , forest dependent communities, and other stakeholders.	Very urgent Technical support (Specific expertise, Guidelines, Direct funding)- Beneficiaries (IP's, CS, GI)	Not urgent Financial support (Specific expertise, Direct funding) Administrative support (Specific expertise) Technical support (Specific expertise, Direct funding) Beneficiaries (IP's, CS)	Very urgent Financial support (Specific expertise, Workshop, Direct funding) Administrative support (Support needed for funding estimation 200,000 Beneficiaries (IP's, CS, GI)	Very urgent Financial support (Direct funding)	Urgency not determined

Component 6: Transition to a development framework with REDD+

Group A

Sub Component: Transition to a development framework with REDD+ (green economy)		
Readiness elements	**Costa Rica**	**Mexico**
a)Development of national roadmaps to identify what kinds of investments and strategies are needed to integrate REDD+ in development frameworks.		Not
b) Protocols for integrated land use planning and decision-making to allow the integration of economic, biophysical and social information, by using multi-criteria decision making tools.		Not
c) Capacity to develop integrated visions and reach out to other sectors such as planning and finance to prioritize investment and public spending to promote more sustainable development options.		Not
d) Strengthening policies so that they are pro-poor. Capacity to develop better indicators to guide investments; such as 'GDP of the Poor'.		Not
e) Case studies and comparison with probable impacts of 'business as usual' investment practices and trajectories and those with green economy options in pilot districts (such as agro forestry, more efficient processing of timber, REDD+ projects, payments for environmental services).		Not urgent Financial support (Direct funding) Beneficiaries(GI)

Group B

Sub Component: Transition to a development framework with REDD+ (green economy)					
Readiness elements	**Honduras**	**Argentina**	**Colombia**	**Ecuador**	**Paraguay**
a)Development of national roadmaps to identify what kinds of investments and strategies are needed to integrate REDD+ in development frameworks.	Very urgent Administrative support (Specific expertise) Technical support (Specific expertise,Workshop) Beneficiaries (IP's,CS, GI)	Moderately urgent Technical support (Specific expertise, Guidelines) Estimate funding of: 35,000 Beneficiaries(CS, GI)	Not urgent	Urgency not determined	Moderately urgent Financial support (Guidelines) Technical support (expert support to develop the strategy, Specific expertise, Guidelines) Beneficiaries (IP's, CS, GI,O)

b) Protocols for integrated land use planning and decision-making to allow the integration of economic, biophysical and social information, by using multi-criteria decision making tools.	Moderately urgent Administrative support (Guidelines) Technical support (Specific expertise, Guidelines) Beneficiaries (GI)	Moderately urgent Technical support (Specific expertise, Guidelines, Workshop) Estimate funding of: 45,000 Beneficiaries (CS, GI)	Moderately urgent Financial support (Specific expertise, Guidelines, Workshop, Direct funding) Administrative support (Other) Beneficiaries (GI)	Very urgent Technical support (Specific expertise, Guidelines, Workshop)	Moderately urgent Financial support (Workshop) Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's, CS, GI)
c) Capacity to develop integrated visions and reach out to other sectors such as planning and finance to prioritize investment and public spending to promote more sustainable development options.	Moderately urgent Administrative support(Specific expertise, Guidelines) Technical support(Specific expertise, Guidelines) Beneficiaries(GI)	Moderately urgent Financial support (Specific expertise, Guidelines, Direct funding) Administrative support Technical support (Specific expertise, Guidelines, Direct funding, Support needed for funding estimation)Beneficiaries(GI)	Moderately urgent financial support ((Specific expertise, Guidelines, Workshop, Support needed for funding estimation) Beneficiaries(GI)	Urgency not determined	Moderately urgent Financial suppor(Workshop, Direct funding) Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries(IP's, CS, GI)
d) Strengthening policies so that they are pro-poor. Capacity to develop better indicators to guide investments; such as 'GDP of the Poor'.	Moderately urgent Financial support (Specific expertise) Technical support (Specific expertise) Beneficiaries (GI)	Moderately urgent Financial support (Specific expertise, Guidelines) Technical support (Specific expertise, Guidelines, Other) Estimate funding of: US$ 45,000 Beneficiaries (IP's, CS, GI)	Moderately urgent Financial support (Specific expertise, Guidelines, Workshop) Administrative support (Other) Beneficiaries (IP's, CS, GI)	Urgency not determined	Moderately urgent Financial support (Workshop) Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's, CS, GI)
e) Case studies and comparison with probable impacts of 'business as usual' investment practices and trajectories and those with green economy options in pilot districts (such as agro forestry, more efficient processing of timber, REDD+projects, payments for environmental services).	Moderately urgent Financial support (Workshop) Technical support (Specific expertise) Beneficiaries (IP's, CS, GI)	Urgency not determined Financial support (Direct funding, Other) Support needed for funding estimation US$ 270,000 Beneficiaries (IP's, CS, GI)	Moderately urgent Financial support (Specific expertise, Guidelines, Workshop) Administrative support (Other) Estimate funding of: 200,000 Beneficiaries (GI)	Very urgent Technical support (Guidelines, Workshop)	Moderately urgent Financial support (Workshop) Technical support (Specific expertise, Guidelines, Workshop) Beneficiaries (IP's, CS, GI)