

Developing Strategies for Communication, Partnership, and Monitoring for REDD+ Himalaya

ICIMOD

FOR MOUNTAINS AND PEOPLE

giz Deutsche Gesellschaft
für Internationale
Zusammenarbeit (GIZ) GmbH

On behalf of:



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Environment, Nature Conservation,
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of the Federal Republic of Germany



NORWEGIAN MINISTRY
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CONTENTS

Acronyms	3
About the Workshop	5
Background	5
Rationale and Objective	5
Expected outcomes	6
Day One: Inaugural session and country presentations	7
Inaugural session	7
Technical sessions	11
Country presentations	12
Day Two: Partnerships for REDD+ Himalaya	14
Introduction to partnership approach	14
Presentations on partnerships	14
Day Three: Regional aspects and monitoring of REDD+ Himalaya	19
Brainstorming on regional aspects of REDD+ Himalaya	19
ICIMOD's M&E system linking with RP2 outcomes by Farid Ahmad	23
Introduction to regional monitoring tool	23
Day Four: M&E calendar, progress reports and operationalization of the initiative	24
REDD+ Himalaya M&E calendar	24
Reporting format for progress reporting	24
Operationalization of the programme	24
Day Five: Presentations, tour and closing	25
Understanding communication through a ball-game	25
Presentation on REDD+ Knowledge Management and Communication Strategy	25
Preparation of a roadmap for REDD+ working groups	29
Sapling planting programme	29
Tour to ICIMOD's Knowledge Management and Communication division	29
Endorsement of Knowledge Management and Communication Strategy	29
Workshop closing	29
Days Six and Seven: Field trip	32
Annexes	34

Acronyms

ASEAN	Association of Southeast Asian Nations
BMUB	German Federal Ministry for Environment, Nature Conservation, Building and Nuclear Safety
COP	Conference of the Parties
DFO	district forest office
ER-PIN	Emission Reduction Programme Idea Note
FCFP	Forest Carbon Partnership Facility
FECOFUN	Federation of Community Forestry Users Nepal
FPIC	free, prior and informed consent
FRDC	Forestry Research Development Centre
FRMD	Forest Resources Management Division
FUG	forest user group
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
HKH	Hindu Kush Himalayas/Himalayan
ICFRE	Indian Council of Forestry Research and Education
ICIMOD	International Centre for Integrated Mountain Development
KMC	knowledge management and communication
LRP	Local resource person
M&E	monitoring and evaluation
MMR	monitoring, measuring and reporting
MRV	monitoring, reporting and verification
NFI	National Forestry Inventory
NORAD	Norwegian Agency for Development Cooperation
PO	programme officer
REDD	Reducing Emissions from Deforestation and Forest Degradation
REDD+	Reducing emissions from deforestation and forest degradation, and the role of conservation, sustainable management of forests and enhancement of forest carbon stock in developing countries
REL	Reference Emission Level
RIC	REDD Implementation Centre
RL	Reference Level
RP	Regional Programme
RRP	regional resource person
SIS	Safeguard Information System
SPAL	Soil and Plant Analytical Laboratory
ToR	terms of reference
UNFCCC	United Nations Framework Convention on Climate Change
UNREDD	United Nations Programme on Reducing Emissions from Deforestation and forest Degradation

About the Workshop

Background

Recognizing the potential role of forests in climate change mitigation, Parties at the United Nations Framework Convention on Climate Change (UNFCCC) are considering to develop a mechanism called 'Reducing Emissions from Deforestation and forest Degradation, and the role of conservation, sustainable management of forests and enhancement of forest carbon stock in developing countries (REDD+)'. Initially, the main idea behind REDD+ was to stop global deforestation and provide incentives to developing countries to reduce emissions. However, later on, the mechanism was used to contribute to livelihoods and the conservation of biodiversity, while also sustaining vital ecosystem services. The details of an REDD+ mechanism have finally been agreed upon and it is expected that a decision will come into effect at COP21 in Paris. Countries across the globe are preparing for REDD+ implementation through capacity building and developing national strategies or action plans. This initial phase is referred to as the 'REDD+ Readiness' phase.

The International Centre for Integrated Mountain Development (ICIMOD) started to engage in community carbon forestry in India and Nepal in 2003 and later implemented an REDD+ project in Nepal from 2009–2013. It also contributed to the capacity building of REDD+ stakeholders in Pakistan in 2012–2013. Based on these experiences and the growing interest of ICIMOD's regional member countries, ICIMOD launched its Regional REDD+ Initiative in Bhutan, India, Myanmar, Nepal, and Pakistan in 2013 to support the ongoing REDD+ readiness efforts in these countries.

In December 2013, the German Federal Ministry for Environment, Nature Conservation, Building and Nuclear Safety (BMUB) agreed to fund one of the components of the Regional REDD+ Initiative called 'REDD+ Himalaya: Developing and using experiences in implementing REDD+ in the Himalayas', which is being jointly implemented by ICIMOD and GIZ in partnership with REDD focal points in the partner countries. This component of the Regional REDD+ Initiative supports the four eastern Himalayan countries of Bhutan, India, Myanmar, and Nepal to improve the framework conditions for socially and ecologically appropriate REDD measures to mitigate climate change. Measures primarily focus on capacity building and providing technical assistance to partners and stakeholders, as well as setting up a regional learning platform to enhance South-South cooperation in the context of REDD+. ICIMOD receives additional funding for its Regional REDD+ Initiative from the Norwegian Ministry of Foreign Affairs and United Nations Programme on Reducing Emissions from Deforestation and Forest Degradation (UNREDD).

Rationale and objective

The REDD+ Himalaya, has already conducted planning meetings and consultative workshops with stakeholders in Bhutan, India, Myanmar, and Nepal to assess the country specific requirements in terms of REDD+ readiness and, accordingly, to plan activities jointly with partners to support and contribute to each country's REDD+ readiness. At the regional level, there is a need to bring together the partners to establish a learning platform. Such a platform will foster regional cooperation in REDD and assist in developing a common understanding of REDD+ in the region.

The workshop brought together implementing partners from all four participating countries to:

- Formally launch the REDD+ Himalaya programme
- Create a common vision and understanding on the regional partnership
- Endorse the knowledge management and communication strategy
- Draft a monitoring and evaluation framework for REDD+ Himalaya
- Facilitate partner countries to develop their respective work plans for 2016

The workshop participants included representatives of ICIMOD and GIZ and the government representatives of the four partner countries, as follows:

- Bhutan: Department of Forest and Park Services, Ministry of Agriculture and Forests
- India: Ministry of Environment and Forests, represented by the Indian Council of Forestry Research and Education (ICFRE)
- Myanmar: Ministry of Environmental Conservation and Forestry
- Nepal: Ministry of Forests and Soil Conservation, REDD Implementation Centre

Expected outcomes

The workshop is expected to deliver the following outcomes:

- Clarity on the roles and responsibilities of the country partners, ICIMOD, and GIZ during implementation of REDD+ Himalaya
- Agreed and finalized monitoring and evaluation (M&E) tools
- Country work plans for 2016
- An agreed structure for the partnership strategy
- Endorsement of the knowledge management and communication strategy

Day One: Inaugural session and country presentations

Inaugural session

Opening and welcome by the chair

Dr David Molden, Director General of ICIMOD, greeted the participants. He said that the “REDD+ community from four different countries has gathered in this place to put their minds together to make a meaningful contribution to the event”. He thanked the Secretary, Ministry of Forests and Soil Conservation, Mr Madhu Prasad Regmi; Country Director GIZ, Roland F Steurer; and the representatives from Bhutan, India, Myanmar, and Nepal for their participation. He then requested Dr Eklabya Sharma, Director of Programme Operations at ICIMOD, to provide information on ICIMOD’s Regional REDD+ Initiative.



Opening remarks

Dr Eklabya Sharma, Director Programme Operations, ICIMOD, addressed the distinguished guests and participants from the partner countries. He emphasized that ICIMOD’s involvement in REDD+ is the result of a long process of conceptualization, brainstorming, and team work. He said that there is a need to include the additional aspects of development, ecosystem services, and biodiversity in REDD+. Dr Sharma explained that ICIMOD works for the people of the mountains and would highly appreciate seeing local communities involved in the REDD+ programme and benefitting equitably from REDD+ activities. He said that other aspects of carbon sequestration also need to be taken into consideration for interventions through the landscape approach. He focused on the potential role of peatlands and rangelands in climate change mitigation because of their ability to sequester huge quantities of carbon and said that there is an immense need to explore these opportunities. He mentioned that some additional attributes need to be brought into REDD+ to maximize its non-carbon benefits, about which ICIMOD has gained sufficient knowledge from its previous projects. In conclusion, he said that the interdisciplinary team – although focusing on the national context, values, and priorities – should bring these into the regional context.

Acknowledging the support of GIZ and the Norwegian Agency for Development Cooperation (NORAD), Dr Sharma mentioned that ICIMOD is looking forward to a regional plan as one of the most important outcomes of this workshop. Dr Sharma then welcomed Dr Roland F Steurer, Country Director of GIZ, to say a few words.

Dr Roland F Steurer, Country Director of GIZ, said that he expected to see how decision-making processes at various national and regional levels may be enhanced



to expand the concept of REDD+ in an economic, technical, and environmentally sound and adequate manner. He reminded participants that the BMUB is providing support to REDD+ Himalaya, within the scope of the International Climate Initiative. The programme is being jointly implemented by ICIMOD and GIZ as part of the overall Regional REDD+ Initiative and is integrated into ICIMOD's Regional Transboundary Landscapes Programme. Dr Steurer mentioned that the programme is also an example of the German Development Cooperation approach, which avoids individual projects but favours working jointly through international alliances with important partners. He emphasized that ICIMOD is an experienced and competent lead agency in the region to work together with on landscape level programmes. Within the scope of REDD+ Himalaya, the role of ICIMOD is to improve knowledge management within the countries involved, as well as the exchange of information between them. ICIMOD has already gained a lot of experience from the REDD+ pilot programme. As a regional learning centre, ICIMOD is an effective multiplier for expanding knowledge and innovative approaches in the region. BMUB works closely with GIZ under the International Climate Initiative, in which programmes and projects focus on promoting a low carbon economy, adaptation to climate change, and the conservation and sustainable management of natural carbon sinks. Dr Steurer stated that this regional conference, under the framework of the Regional REDD+ Initiative, is another milestone in the cooperation between German Development Cooperation and ICIMOD and its regional member states and supporters. He requested the participants to use the words 'partnership' and 'communication' in all of the sessions. And also referred to the application of the consensus reached during the workshop while implementing the programme as a mutual obligation.



Mr Younten Phuntsho, Senior Forestry Officer from the Forest Resources Management Division, Department of Forests and Park Service Bhutan said that more than half of the Bhutanese population depend on agriculture for their livelihoods and are, therefore, either directly or indirectly dependent on forests. The forests in Bhutan account for more than 80% of the total geographical land area and are largely intact. This has been possible mainly due to the farsighted leadership of His Majesty, the King of Bhutan. He stressed that the Bhutanese people need to be mindful of the need to balance the economic, environmental, and social wellbeing of the country. Mr Phuntsho said that the Royal Government of Bhutan, in its Eleventh Five Year Plan, has ensured self-reliance and inclusive green socioeconomic development through various strategies and programmes, REDD+ Himalaya being one of them. Mr Phuntsho said that REDD+ Himalaya will support the Eleventh Five Year Plan and that he expected technical assistance from ICIMOD, being a knowledge management centre in the region. He assured the workshop of support from Bhutan in implementing the REDD+ Himalaya activities and said that he hoped to learn from other partners in the region.



Dr RSC Jayraj, Senior Scientific Officer, Indian Council of Forestry Research and Education (ICFRE), explained how the forest area in India is shrinking for various reasons. The area under dense forest in the Himalayan region is decreasing mainly because of deforestation due to shifting cultivation, conversion to commercial crops, development, and degradation due to fire, weeds and grazing. Dr Jayraj further informed the audience that nearly 1.6 million hectares of forest area are affected by fire annually and 25.5 million hectares are used for grazing. In

addition, 111 forest invasive species are affecting the country's forest resources. He urged communication and regional partnerships to address these issues. He further stressed the need to eliminate weeds and establish commercial forestry (a bamboo-based economy) and emphasized that all these challenges must be addressed through the collective efforts of both the government and community.

Dr Myat Su Mon, Assistant Director, Planning and Statistics Division, Forest Department, MOECF, said



that Myanmar is working closely with ICIMOD in various projects and that it is pleased to work with all of the other regional partners in ICIMOD's Regional REDD+ Initiative. She explained how climate change has been affecting places and sectors in Myanmar. According to her, climate change has brought about extreme conditions including flood and droughts, citing the example of Cyclone Nargis, which hit Myanmar in 2008. She explained how the increasing population and change in land use has affected forest cover in Myanmar, which is facing severe deforestation and forest degradation, making it among the top 10 deforested countries in the world. She said that

REDD+ offers an opportunity to sequester carbon and conserve biodiversity, as well as save forests globally. She also discussed the timeline for Myanmar's contribution to address the challenges of climate change. Myanmar became a member of the UNFCCC in 1992 and joined UNREDD as a partner country in 2011. She described the efforts of the Forest Department in Myanmar towards REDD+ readiness, including the formulation of an REDD+ roadmap in 2013, with technical support from UNREDD. She also highlighted the importance of capacity building, awareness raising, and stakeholder consultations for the successful implementation of REDD+ activities.



Mr Man Bahadur Khadka, Chief of the REDD Implementation Centre, Ministry of Forests and Soil Conservation, Government of Nepal, mentioned that deforestation and forest degradation account for a significant amount of global carbon emissions, which is perhaps more than emissions from aircrafts, automobiles, and other human activities. While forests hold the key to reducing carbon emission, beyond this, they also serve people in many different ways. By including REDD+ in the climate change strategy it has been estimated that the rise in global temperature can be held below 4 degrees centigrade. The mechanism for both of these priorities – reducing carbon emissions and increasing livelihood opportunities for forest dependent communities – is REDD+, which has both social and economic benefits. The global community has completely endorsed REDD+ as a mitigation measure and the Government of Nepal is waiting for a final decision in the upcoming COP21. Many global agencies are playing a significant role in REDD+, and BMUB and GIZ are well acknowledged for initiating the REDD+ Himalaya initiative in the four eastern Himalayan countries.

This workshop has been organized at a crucial time to develop mutual understanding, common strategies, and regional cooperation between us. The implementation of REDD+ with the philosophy of mutual understanding and regional cooperation will set an example in the international arena. Nepal has almost completed its REDD+ readiness phase and is making an effort to enter into the second phase. However, he also informed that Government of Nepal has found some gaps and hopes to be able to fill these gaps through REDD+ Himalaya. He said that he hoped the workshop will come up with tangible common approaches that will benefit the transboundary landscapes of Himalayan region. He thanked all the participants and wished them a successful workshop.

Message from the United Nations Framework Convention on Climate Change

Ms Jenny Wong, Programme Officer, Mitigation, Data and Analysis Programme at the UNFCCC Secretariat, delivered a key message on behalf of the Secretariat via live webcast. The content of her presentation revolved around the following key points:

- Status of negotiations from COP11 to COP21
- Methodological guidance by the COP
- Next steps for implementation of REDD+
- The post-2020 outlook for REDD+

Ms Wong's presentation is attached as Annex 7 of this report.

Remarks by the chief guest

Mr Madhu Prasad Regmi, Secretary Ministry of Forest and Soil Conservation, Government of Nepal, spoke as the chief guest. He emphasized that the new Constitution of Nepal has enshrined the right to a clean environment as one of the fundamental rights of the people and part of the right to food security, which is linked to climate change. The Constitution has also enshrined that the state shall pursue a policy for the sustainable use of available resources, as well as the fair and equitable sharing of benefits. So, having this type of workshop at this time (when Nepal has just promulgated its constitution) holds special significance.

Mr Regmi said that, because of the untiring efforts of climate scientists and other experts, the world's development partners are well aware of the effects of climate change, which does not respect political boundaries and indiscriminately affects people and natural resources around the globe. Most ironic is that developing countries like Nepal are worst hit, despite being low producers of emissions. However, with the efforts of researchers and scientists, policy makers are conscious of the factors that contribute to global greenhouse gas emissions resulting in climate change. One of these factors is deforestation, which, according to the Intergovernmental Panel on Climate Change (IPCC), contributes around 17% of global greenhouse gas emissions, making it the second largest source of emissions after the consumption of fossil fuels. According to Mr Ghimire, deforestation is not a new phenomenon; forests are one of the most mismanaged resources globally and concerned governments have been trying to address this issue for decades.

The new emerging mechanism, REDD+, under the UNFCCC has now gained global attention. REDD+ focuses on providing positive incentives to developing countries to reduce emissions from deforestation and forest degradation. Although the exact mechanism has not yet been agreed upon, the past few years have seen ample progress in shaping its modalities and requirements. He mentioned that all the eyes are now on COP21 to be held in Paris in 2015 and there is much hope that the global community will come to an agreement on REDD+. There is hope that



COP21 will make predictable and adequate finance available for REDD+ in developing countries, otherwise much of the progress made in REDD+ instruments so far will be of no use. There has been a lot of capacity building of professionals, as well as institutions, across the developing world to get ready for REDD+ implementation in the future. Nepal and other countries in the Hindu Kush Himalayan (HKH) region are actively pursuing REDD readiness activities. He expressed his belief that all countries have a lot of questions and experiences to share, and can benefit from each other's experiences. He said that ICIMOD has provided great opportunities for HKH countries to share their knowledge and experiences on specific aspects of REDD+. In Nepal the REDD Implementation Centre (RIC) and ICIMOD have jointly implemented this programme, which supports Nepal's REDD readiness activities. The regional platform that ICIMOD is establishing for South-South learning will add a regional dimension to the national REDD processes. Countries will be able to learn and support each other through greater cooperation on REDD+. He believes that the initiative will be successful in promoting REDD discourse in the HKH region. He said that the Government of Nepal introduced a new forest policy in 2015 that envisions a higher contribution by the forest sector to local and national prosperity through the sustainable use of forest resources, biodiversity, and watersheds. One of the seven pillars of Nepal's forest policy 2015 is to adopt appropriate mitigation and adaptation measures against the negative impacts of climate change. He emphasized that the workshop delegates should share their country's visions for REDD, which can cater to the specific needs of the region. He also assured the workshop participants of the support of the Government of Nepal, particularly the Ministry of Forests and Soil Conservation and RIC, in implementing the REDD+ Himalaya in Nepal.

Remarks by the session chair

Dr David Molden, Director General of ICIMOD, and Chair of the inaugural session, acknowledged all of the speakers and expressed his gratitude to the Ministry of Forests and Soil Conservation for its continued support. Dr Molden reiterated the key points and messages from the speakers. He commended the contribution of the partner countries to making REDD+ a real success at the regional scale and assured the participants of ICIMOD's assistance as a common platform to integrate all efforts.

Technical session

The technical session consisted of a presentation on ICIMOD's Regional Transboundary Landscape Programme, by the Regional Programme Manager, Dr Rajan Kotru, followed by an overview of the Regional REDD+ Initiative by the Programme Coordinator, Dr Bhaskar Singh Karky.

Transboundary Landscapes Programme

Dr Rajan Kotru, Regional Programme Manager, Transboundary Landscape Programme, explained the significance of REDD+ for ICIMOD's Transboundary Landscape Programme and highlighted the scope for manifesting REDD+ on a regional scale. He highlighted the following five truths about REDD+:

- REDD+ is about delivering on sustainable forest management.
- However, it will not be a tale of 'subsistence to plenty' for mountain communities/states.
- REDD+ is about ruffling feathers with good forest governance.
- Forests alone are not a 'magic bullet' for greenhouse gas sequestration
- REDD+ has challenged the business as usual BAU-scenario in forest sector.

Dr Kotru presented a detailed overview of ICIMOD's Strategic Goals for 2017 and explained how they fit into ICIMOD's famous 'science-policy-practice' interface. He also explained the long-term overall programme goals and expected outcomes after 20 years. Dr Kotru then shed light on the landscape approach to reducing emissions and related this to emerging problems in the Hindu Kush Himalayas, which include climate change, water shortages, biodiversity loss, illegal trade in forest products, and non-convergent development investments in landscapes, among other things. Dr Kotru also referred to the key REDD+ messages that arose from the Mountain Forestry Symposium in January 2015:

- The exchange of knowledge at a regional scale is needed to advance REDD+
- REDD+ in the HKH region will build synergies and take a broad landscape approach
- REDD+ standards and mechanisms will attract interest from outside the tropics

Finally, he touched on REDD+ governance issues, such as multi-stakeholder processes, social and environmental standards, institutional strengthening, and tenure rights pertaining to carbon ownership, etc.

Overview of the Regional REDD+ Initiative

The details of ICIMOD's Regional REDD+ Initiative were provided by the Programme Coordinator, Dr Bhaskar Singh Karky. Dr Karky presented the objectives and expected outcomes of the regional workshop, the regional aspects and the overarching goal of the initiative, as well as the country specific objectives. He pointed out the following key objectives of the workshop:

- To provide a regional kick-off meeting for the REDD+ Himalaya
- Establish a common vision and understanding among the regional partners
- Develop a knowledge management and communication strategy for the initiative
- Develop a common M&E framework
- Facilitate partner countries to agree on their 2016 work plan
- Help partners to get to know each other better



Dr Karky familiarized the participants and the implementing partners – mainly the concerned ministries in Bhutan, India, Myanmar and Nepal – with the need to comprehend their roles in full and develop a common understanding among the representatives present at the workshop. He also shed light on the tailor-made objectives for all partner countries and pointed out the importance of creating a regional platform for knowledge and experience sharing about REDD+.

Country presentations

Each country representative made a presentation on the status of REDD+ in their country and how the REDD+ Himalaya will contribute to their efforts.

Bhutan

The representative from Bhutan, Mr Younten Phuntsho, Senior Forestry Officer, Forest Resources Management Division, Department of Forests and Park Service, presented the status of REDD+ and contribution of REDD+ Himalaya to the ongoing REDD+ readiness activities in Bhutan. He also revealed Bhutan's future REDD implementation plan, which includes REDD+ leadership development, REDD+ information infrastructure, and REDD+ management. He informed the participants that REDD+ Himalaya will run for four years, starting in 2015. It aims at improving the forest policy, including the REDD strategy and institutional framework for socially and environmentally-sound REDD readiness in Bhutan.

India

Dr TP Singh of ICFRE presented the status of REDD+ in India. He explained the need for REDD+ in India and informed the participants that REDD+ will be implemented in three phases: the National Strategy and Action Plan

development will be followed by readiness activities, initial action, and countrywide implementation. He explained that, in India, REDD+ Himalaya is focused on improving the understanding of REDD+, particularly in the North East States of India. The specific objectives of the project are the development of methods for calculating, modelling, and forecasting carbon storage, developing instruments in preparation for readiness in the North East States, and exchanging experience and mutual learning with the other three participating countries.

Myanmar

Dr Myat Su Mon, Team Leader at the Forest Department MOECF Myanmar presented the current status of REDD+ and how REDD+ Himalaya is contributing to the ongoing efforts in Myanmar. She described the institutional structure, policy and legal framework, status of forest resources, challenges for sustainable forest management, and major achievements in sustainable forest management and REDD+ readiness in Myanmar.

Nepal

Dr Mohan Poudel, REDD Implementation Centre, Ministry of Forests and Soil Conservation, explained the progress made by the Government of Nepal in the REDD+ journey, the funding tracks for REDD+, the major components of readiness and their status, and the status of REDD+ Himalaya. He also described Nepal's institutional framework for REDD+. In Nepal, REDD+ Himalaya aims to capacitate actors for REDD+ implementation at the sub-national level, for which a letter of agreement between the Ministry of Forests and Soil Conservation and ICIMOD was signed in May 2015. The programme is being implemented in three districts (Dolakha, Gorkha, and Chitwan) and the coordinating agency is the RIC.

Day Two: Partnerships for REDD+ Himalaya

Introduction to partnership approach

The second day commenced with introductory remarks from Mr Basanta Shrestha, Director of Strategic Cooperation. He elaborated on ICIMOD's partnership approach and important role as a catalyst in addressing sustainable development issues, such as biodiversity conservation and climate change adaptation. He added that ICIMOD promotes the interface between science-policy-practice and implements different programmes through partnerships. As ICIMOD's portfolio in terms of capital, staff, and partners has grown five-fold in the last decade, it now faces the challenge of changing its programmes to produce the desired impact directly on the ground. The need for partnerships has also grown, making this workshop a unique opportunity. It is also an opportunity to share experiences and good practices between countries. For example, Bhutan has knowledge on balancing development and conservation, Nepal on community-based forestry, Myanmar on forest and natural resource management, and India on forestry and natural resource management. Thus, this session of the workshop aims at making REDD+ partners aware of the importance of partnerships and will propose steps for making partnerships for REDD+ effective.

Presentation by the Partnership Brokers Association

The partnering approach

Bulbul Baksi, Authorized Lead Trainer and Mentor of the Partnership Brokers Association, introduced the partnering approach. She said that people partner intuitively. Partnering brokering, or managing partnerships is an emerging discipline and seeks to derive frameworks from practice. There is growing recognition that multi-stakeholder collaboration is at the heart of modern development endeavours. The dictionary defines partnerships as working relationships in which risks and benefits are shared and goals, objectives, and activities are co-evolved. However, collaboration is not an easy process and requires the investment of time and effort. A partnership is distinct from the project that it delivers and, therefore, requires separate attention. It is justified only if it adds value to the individual partners and to the project. Partnerships are guided by the following principles:

- Equity, as they lead to respect for the unique contribution of each partner
- Transparency, because this leads to trust and enables partners to take risks and innovate
- Mutual benefit, as this leads to sustained engagement

Partnerships fall along a continuum, ranging from transactional to transformational. It is important to understand what will be a fit for each partnership, because each is unique and may not follow a set pattern or definition. However, partners need to agree on what kind of partnership they want and what they want to achieve through it.

Bulbul Baksi then looked at the drivers and contributions of partnerships, the indicators of a successful partnership, and co-creating principles of working together. She explained the factors that help successful partnerships, including a genuine and mutually committed partnering approach; a clear, engaging, efficient, and effective partnership agreement; allocation of enough time and resources to partnership building; and the necessary skills, authority, and mind set. The results and productivity of the partnership should be output and outcome-oriented to achieve wide impact and influence. A partnership broker should be a multidisciplinary and multitasking individual, who plays different important roles based on the needs of the partnership, and their role should be acknowledged by all individuals in the partnership. She introduced the partnering cycle, which is a framework to help manage partnerships.

A partnership rests on a co-evolved and agreed common goal and on acknowledgment of the individual interests of each partner. Each partner may seek something different from the partnership, even though they have a common goal. If their interests are not acknowledged, they tend to form a hidden agenda and partners may try to manipulate the process. An exercise was conducted to help partners articulate their drivers for participating in the REDD+ Himalaya partnership, including the benefits they want to derive from the partnership, the contributions that they will make, and their concerns regarding the same. The main focus of the process was to help partners recognize the value that each brings and review their own role in the partnership. By speaking openly about their concerns, the partners helped take the partnership forward on a stronger footing.

Benefits, concerns and contributions (group work)

The groups were asked to answer the following questions:

- Why do we want to partner in REDD+ Himalaya?
- What are the anticipated challenges?
- What could their contribution be to the partnership?

After brief a discussion, each group presented the answers. The outputs of the group session are given in Table 1.

Guiding principles for REDD+ partnership (group work)

The groups were asked to frame their own principles to guide partnering behaviour in order to optimize the partnership's value. The group came up with a set of principles, which were further categorized into eight sub-categories: values, decision making, communication/information sharing, addressing challenges, synergies, accountability, sharing responsibilities, and risk sharing

Principle 1. Values

This sub-category consists of four values: transparency, equity, mutual benefit, and integrity. There were many principles suggested by the REDD+ partners, but among them the most common were:

- **Transparency:** Partners should be able to express themselves freely and listen to everyone with respect. The agenda, objectives, expectations, and financial transactions should be made clear. Along with these principles, partners should be open in executing projects, as well as about challenges and problems.
- **Equity:** Partners should treat each other as equals – no hierarchies. All partners should have an equal say in decision making and benefit sharing and contributing to individual values; gender equality should be respected; and roles and responsibilities, as well as resources, should be allocated on the basis of a fair and objective assessment of the strengths of each partner. The partner(s) best suited for a role should be enabled to play that role.
- **Mutual benefit:** Partners should continuously promote a clear understanding of issues and guidelines – check how clear they are; promote win-win situations (avoid zero-sum); co-evolve programme goals among partners; share and help each other to benefit from the programme; share information and resources between all partners; and look into bilateral benefits.

Principle 2. Decision making

In this category, the principles that the REDD+ partners suggested were: All partners should be open to all views; all partners should be treated with respect and their strengths and weaknesses critically analysed; and decisions should be communicated among all relevant partner organizations as early as possible. There should be a clear understanding regarding the decision-making matrix and process and these should be prepared based on consultations among partners. Decisions should be made on the basis of



Table 1. Outputs from group work: Benefits, concerns and contributions

Group	Benefits	Challenges	Contributions	Overall output and expectations of partners
Nepal	Sharing of technical and financial knowledge, common use at global level, capacity building, collective and shared objectives	<ul style="list-style-type: none"> Transparency regarding the financial concerns Diversity of culture and knowledge Equity – limited resources 	<ul style="list-style-type: none"> Maintaining transparency Regular sharing of information Regular financial transfers Obligated agreed norms Healthy communication, feedback and sharing of grievances 	<ul style="list-style-type: none"> Good platform to highlight Nepal's strength Changing mind set on Nepal's equity reputations Benefits to Ministry of Forests and Soil Conservation
Myanmar	<ul style="list-style-type: none"> Good platform and exposure for the country REDD+ is in line with Forest Department objectives More opportunities for capacity building and more stakeholders 	<ul style="list-style-type: none"> Limited manpower/ capacity Overlapping of activities Approval process for meetings and information sharing may take time 	<ul style="list-style-type: none"> Sharing of benefits and information with other departments Contribution of expertise to multi-stakeholders 	<ul style="list-style-type: none"> Myanmar is the eye to Southeast Asia (ASEAN), thus a good platform to share information and knowledge It is also part of UNREDD Gender mainstreaming, formulation of national land use policy, restoration of forest ecosystems are some of the learnings which can be shared by Myanmar with other partners
Bhutan	<ul style="list-style-type: none"> Achieve common goals of REDD+ Sharing and efficient use of available resources 	<ul style="list-style-type: none"> Lack of coordination among the various stakeholders REDD+ is an additional to already existing activities Limited human capacity for use of innovative technologies 	<ul style="list-style-type: none"> Existing facilities and resources from various departments are shared with the REDD+ team 	<ul style="list-style-type: none"> Well-established soil laboratory which can be shared with other partners Bhutan has more forest areas, thus forest-based livelihoods can be shared with other countries Bhutan is a leading example for other countries on conservation Sharing of clear cut planning process, portfolio, and payment for ecosystem services (PES) schemes with other partner countries
India	<ul style="list-style-type: none"> Research opportunities and capacity building of stakeholders Learn about best practices from other countries Assist in informed decisions through inputs from other countries through sharing knowledge and information 	<ul style="list-style-type: none"> Lack of coordination due to different roles and responsibilities of the stakeholders at different levels of government REDD+ only covers climate change mitigation and not livelihoods Difficulty in reconciling different views of different states 	<ul style="list-style-type: none"> India has the best mapping, data information, and inventories in the region Sharing of different views and experiences 	<ul style="list-style-type: none"> Strategic roadmap for coordination for India is needed (the strategic cooperation with GB Pant makes it possible for this activity to take place)

alignment, as far as possible. Everyone should be a decision maker; decisions should be taken based on their impact on the weak and vulnerable. We need democratic decision-making among partners, a participatory approach, and experienced, trustworthy, and informed decision making (e.g., with information provided beforehand).

Principle 3. Communication/information sharing

In this category, the partners suggested that there should be continuous efforts made to promote a clear understanding of protocols and an openness to discuss compliance issues and cooperate with one another in the spirit of collaboration, keeping in mind the values outlined above. Issues that require specialized inputs (such as technical issues) should be discussed in a special forum among experts before being presented to the wider group of stakeholders. There should be bilateral and informal discussions for mutual understanding and guiding principles for sharing data, information, and policies. Strategic issues should be co-evolved among the partners. Information should be verified before sharing so that it is reliable. And, finally, there should be a timely communication of commitments.



Principle 4. Addressing challenges

The principles suggested in this category were: The partners should explore options for resolving challenges together with other experienced partners by finding SMART (specific, measurement, attributable, reductionist and time based) solutions. The partners should be flexible and adaptive as far as possible and open to answering challenges. Regular problem-solving meetings should take place, agreements and the partnership process itself should be periodically reviewed, and customized guidelines on risk management should be shared among partners.

Principle 5. Synergies

REDD+ partners suggested ensuring synergies by promoting face-to-face meetings and cross-country visits. Adequate emphasis should be given to documentation and knowledge sharing. Options such as e-sharing should be explored to share ideas regularly and efforts and success stories should be acknowledged and celebrated.

Principle 6. Accountability

In this category, it was suggested that the partners co-create clear terms of reference for roles and responsibilities. A timeline should be developed based on consultations among partners and finalized on the basis of mutual agreement. Activities should be performed in the given timeframe. Challenges should be discussed in advance and possible solutions collaboratively explored. All partners are equally accountable to their countries and donors, as well as to each other for all activities. Everyone should take responsibility for their activities, as well as for outcomes and outputs, and there should be transparency, fairness, equity, and periodic reviews.

Principle 7. Sharing responsibilities

In this category the principles suggested by the partners were: Responsibilities should be shared according to technical and other relevant expertise and strengths. Everyone should be open about the challenges they face, seek help, and share responsibilities as needed. Partners should be committed and focused on objectives and the partnership, rather than only on individual gains.

Principle 8. Risk sharing

The partners suggested that they develop an understanding of the vulnerabilities and capabilities of each partners

and that risk should be shared equitably based on these abilities and vulnerabilities. Profits and losses should be shared among all partners and partners should be courageous and open to challenges.

Most useful principles

The principles prepared by the different inter-partner groups were collated and each participant was asked to prioritize them by rating them on a scale of 1 to 5. The principles that received over 10 votes were rated as very useful for the REDD+ Himalaya partnership and are as follows:

- Transparency – make your agenda, objectives, and expectations clear
- Be clear about financial transactions
- There should be transparency about sharing resources
- Roles and responsibilities, as well as resources, should be allocated on the basis of a fair and objective assessment of strengths; the partner best suited for a role should be enabled to play the role
- Continuously promote a clear understanding of issues and guidelines – check how clear they are
- Promote win-win, not zero-sum
- Programme goals should be co-evolved among partners
- Communicate decisions among all relevant levels of partner organizations and as early as possible
- Special issues (such as technical issues) should be discussed in a specialized forum among experts before presenting them to the wider group of stakeholders
- There should be a broad scope for bilateral and informal discussions for mutual understanding
- Guiding principles for sharing data, information, and policy and strategic issues should be co-evolved among partners
- Information should be shared in a way that is easily understood by different levels of users
- Communication should be simple and clear
- Information should be verified before sharing to make sure that it is reliable
- Timely communication of commitments
- Be open about challenges
- Guidelines should be customized
- Promote synergies through face-to-face meetings and cross visits
- Adequate emphasis should be given to documentation and knowledge sharing
- Periodic reviews should take place
- Perform the job in the given timeframe
- Develop an understanding of the vulnerabilities and capabilities of partners
- Equal sharing without bias

Day Three: Regional aspects and monitoring of REDD+ Himalaya

Brainstorming on regional aspects of REDD+ Himalaya

To reach a unanimous understanding of the regional aspects of REDD+, the Strategic, Planning, Monitoring and Evaluation unit of ICIMOD led a half-day brainstorming session on the regional aspects of REDD+.

The objectives of the brainstorming session were to:

- Form an unanimous understanding of the regional aspects of REDD+ Himalaya
- Identify and agree on possible areas of engagement on regional aspects of the initiative with the participating countries
- Further strengthen the objectives and outcomes of the proposed regional cooperation component – the South-South cooperation part of REDD+ Himalaya

Visioning the horizons for REDD+ Himalaya

The presentation looked at the emerging scenarios in regional cooperation for the implementation of REDD+ at the global level, global and regional opportunities, and possible areas for regional cooperation in the implementation of REDD+. In visioning the horizons for REDD+ Himalaya, the following three questions were posed to participants:

- What does REDD+ Himalaya mean for future regional REDD+ in the greater HKH region?
- How can regional cooperation be developed and enhanced in implementing REDD+ at a regional level?
- Can we imagine REDD+ Himalaya as a notable example of cooperation and collaboration on REDD+ (outside tropical countries)?

In line with the discussion on these questions, the following areas were presented for possible regional collaboration in implementing REDD+:

- Regional database systems
- Sharing of data and information
- Sharing of lessons learned
- Sharing of experiences gained
- Sharing of technical resources and capacities
- Sharing of good practices
- Joint submissions to the UNFCCC processes in which the countries stand together as a negotiating group on issues, concerns, and challenges related to REDD+ implementation in the region and negotiate for benefits within the process

The visioning questions placed before participants were placed in the following three categories and followed by questions posed.

Category 1: Exchange of knowledge at regional scale to advance REDD+

Follow-up question: What are the key topics that must be pursued in which the exchange of knowledge is critical for advancing REDD+ at the regional level?

Category 2: Build synergies and take a broader landscape approach to REDD+ implementation

Follow-up question: How should REDD+ contribute to and build synergies with the different land use activities, such as agriculture and forest, towards a broader landscape approach?

Category 3: REDD+ standards and mechanism to demonstrate and attract interest outside tropical countries

Follow-up question: With the aim to enhance sustainable mountain development across the Hindu Kush Himalayas, how should regional REDD+ standards or institutional mechanism be set to demonstrate that there is a concerted effort for REDD+ with a specific interest outside of the tropics?

After the presentation and discussion, participants were split into three groups of seven to nine participants. Each group was assigned one of the categories mentioned above and asked to brainstorm on the follow-up questions to come up with concrete ideas and answers. To keep the group discussions lively, purposeful, and participatory, each group consisted of one participant from each of the four participating countries, an ICIMOD professional, and GLZ representative. To keep the groups focused, a senior professional from each group was asked to facilitate and coordinate the group discussion. Groups were given 45 minutes to deliberate on the questions and then present their responses.

Outputs of the group work

The group leaders, on behalf of their groups, presented the results of the group discussions.

Group 1: What key topics must be pursued in which the exchange of knowledge is critical for the advancement of REDD+ at the regional level?

The first group highlighted the capacity building of institutions responsible for REDD+ implementation in participating countries as a cross-cutting theme to achieve the regional aspirations of REDD+ Himalaya. They argued that, with such capacity building, the initiative should be able to make significant advancements in generating and sharing knowledge in the following areas:

Social: Generating and sharing of knowledge on:

- Best practices in community involvement
- Regional safeguard information system (SIS) & Social and Environmental Safeguards (SES)
- Benefit sharing scenarios at landscape/regional level
- Non-carbon benefits at landscape/regional level

Technical: Generating and sharing of knowledge on:

- Monitoring, reporting, and verification (MRV); reference level/reference emission level (RL/REL) methodologies
- Monitoring protocols for degradation in the HKH and how they can be MRV'ed
- Development of allometric equations
- A biodiversity monitoring protocol for the region
- Sharing experience at UNFCCC, the Convention on Biological Diversity (CBD) and United Nations Convention to Combat Desertification (UNCCD)
- Sharing experience in REDD readiness and implementation
- The monitoring methodology MRV of non-carbon benefits

Coordination: Coordinating discussions and agreeing on:

- Forest definition in HKH
- Forest degradation definition
- Carbon benefits of (non- forest) or other land uses

Finance: Market and non-market mechanisms

Group 2: How should REDD+ contribute to and build synergies with the different land use activities, such as agriculture forest and other land use (AFOLU) for towards a broader landscape approach?

This group argued that, at the landscape level, REDD+ could contribute and build synergies in the following areas.

Ecosystem management at the landscape level through:

- Understanding the linkages with other land uses e.g., agriculture, fisheries, livestock, and linking to forest ecosystems
- Weed management
- Agroforestry management
- Wetland (services including fishery)

Benefits and incentives: REDD+ implementation through:

- Establishment of payment for ecosystem services (PES) (considering water and carbon) at landscape level
- Expansion of REDD+ to rangelands
- Human-wildlife conflict reduction
- Promotion of high value products
- Ecosystem services (e.g., pollination, NTFPs and medicinal plants – extraction and cultivation, ecotourism)

Development of tools and approaches on:

- Sustainable agricultural land management
- Sustainable wetland and peat management
- Sustainable grazing land and rangeland management
- Improving land use planning and enforcement
- Catchment area management
- Approach to Green Climate Fund (GCF)/Global Environment Facility (GEF) considering carbon and co-benefits (non-carbon benefits)

Policies:

- Conducting a policy gap analysis at the landscape level on land use policies

Group 3: How should regional REDD+ standards or institutional mechanism be set to demonstrate that there is a concerted effort for REDD+ with a specific interest outside of the tropics?

Basic premises proposed for REDD+ institutional standards/mechanisms	Involvement of institutions for regional REDD+	Umbrella body and thematic groups
<ul style="list-style-type: none"> • Generation and sharing of awareness packages and products on the significance of REDD+ at landscape/regional level • REDD+ financing at landscape/ regional level involving HKH countries • REDD+ methodological framework at landscape/ regional level involving HKH countries • Good natural resource management practices 	<ul style="list-style-type: none"> • Establishing regional REDD+ learning network/forum with clear terms of reference • Establishing REDD+ regional funding mechanisms with HKH regional member countries • REDD+ partner institutions and development partners 	<ul style="list-style-type: none"> • Establish umbrella bodies and thematic groups on inclusive safeguards, harmonized MRV, financing, private sector, incentive mechanisms • New York Declaration on Forests (for private sector) • Non-carbon benefits • Periodic meetings of regional REDD+ leadership • Interface with other regional global forums, e.g., Association of Southeast Asian Nations (ASEAN)

Existing environment for regional aspects of REDD+

In terms of ongoing efforts for the implementation of REDD+ Himalaya, significant efforts have gone into the formation of REDD+ South-South cooperation. However, the overall functions of this cooperation are not clearly

defined, particularly the regional aspects of REDD+ Himalaya. Countries participating in REDD+ recognize the importance of South-South cooperation, however, in many cases, it is not clear how this cooperation would function better in delivering the intended results.

Proposed activities

- Meetings of representatives of REDD+ Himalaya and joint field visits to all four REDD+ implementing countries to exchange experience
- Establishment of a regional working group for at least two topics; these group should meet annually to share knowledge and experience (e.g., REL/RL formulation, social/environmental standards, monitoring of biodiversity, calculation of carbon stock) – this could be considered as foundation step towards an effective South-South cooperation

Recommendations and way forward

The discussions that took both during and before the workshop provided good insights into the regional aspects of REDD+ Himalaya. The following are the specific recommendations and way forward proposed to make South-South cooperation an effective platform that supports the implementation of the regional aspects of REDD+ Himalaya.

Recommendation 1. Regional cooperation

Country representatives participating in this regional workshop to launch REDD+ Himalaya were confused about the 'South-South' terminology used for regional cooperation. For them it was not clear what South-South stands for as it has different meanings in different circumstances. It could also comprise future funding scenarios. Therefore, it is proposed that the term 'South-South' be removed from the consolidated logical framework and replaced by 'regional cooperation'.

Recommendation 2. Proposed vision for REDD+ Himalaya

Common regional methodologies for REDD+ Himalaya should be developed and used at the regional/landscape level, empowering HKH countries lobbying for REDD+ benefits at the global and regional level.

Proposed objective(s) for REDD+ Himalaya

The proposed objectives for REDD+ Himalaya should be to develop and implement an enabling framework for REDD+ on replicability and upscaling.

Proposed output

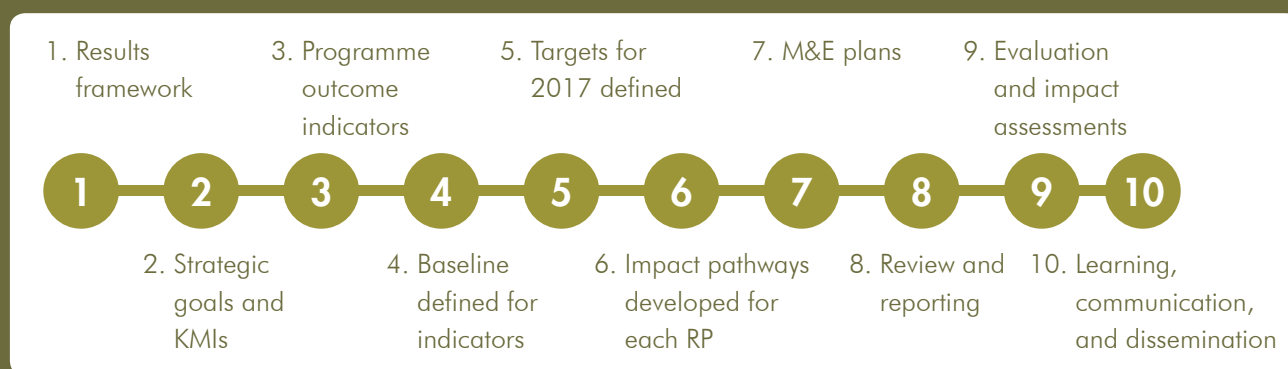
The output generated under REDD+ Himalaya will be used for the coordination, generation, and dissemination of learning on the regional aspects of REDD+ Himalaya. The following output is proposed:

Output 1: A meaningful and functional thematic platform for experience sharing and transboundary dialogue with specific terms of reference for REDD+ implementation at regional scale is established.

Output indicators:

1. X representatives from four partner countries meet at least once a year between 2015 and 2019 to exchange experience and make joint field visits, organized by ICIMOD
2. A regional working group is set up for at least two common topics; the group meets annually to share knowledge and experience
3. Countries implementing REDD+ Himalaya come together and showcase regional aspects of REDD+ Himalaya at COP21 (for example, they jointly host a side event in at least one international event, e.g., the upcoming COP21, highlighting and advocating for regional aspects of REDD+ Himalaya)
4. X awareness packages and products on the significance of REDD+ at the landscape/regional level are developed and shared with a wide audience

Figure 1: ICIMOD's M&E system



Note: KML = key measurement indicator

5. X knowledge products on key topics are developed to pursue when the exchange of knowledge is critical for advancing REDD+ at the regional level (key topics will include, but are not limited to, the topics identified by group one during the workshop)
6. X knowledge products on good natural resource management practices are developed, responding to broader aspects of REDD+, for example, how should REDD+ contribute to and build synergies with the different land use activities involved in agriculture, forestry, and other land uses towards a broader landscape approach (topics will include, but are not limited to, the topics identified by group 2 during the workshop)
7. A draft REDD+ methodological framework at the landscape/regional level involving HKH countries is developed

ICIMOD's M&E system linking with RP2 outcomes

Mr Farid Ahmad, head of the Strategic, Planning, Monitoring and Evaluation unit at ICIMOD, presented ICIMOD's monitoring and evaluation (M&E) system and its links with Regional Programme (RP) 2 outcomes. He mentioned that ICIMOD is implementing REDD+ Himalaya in partnership with GIZ and partner countries. Mr Ahmad clarified how the impact pathway analysis provides a better understanding of non-linear change processes, the attribution of problems, and the definition of actor-based strategies. He showed two conceptualizations of impact pathways: the logical framework model and network maps. He then emphasized that ICIMOD has started using a results-based M&E system with impact pathways. He explained how REDD+ Himalaya is implemented, monitored, and evaluated using an integrated M&E system. A schematic diagram of the ICIMOD's M&E system is presented in Figure 1.

Introduction to regional monitoring tool

Prof Koch, the GIZ resource person, introduced the regional monitoring tool for REDD+ Himalaya. He emphasized the importance of having a regional monitoring template for the initiative. In the afternoon country groups were formed to review the template and make necessary changes. The group work was followed by a plenary session. The comments and suggestions were incorporated accordingly so that the monitoring system and all of the partner countries agreed to implement the strategy (there was only one aspect that has to be clarified later by Myanmar representatives). The latest version of the monitoring and evaluation template is presented in Annex 1.

Day Four: M&E calendar, progress reports and operationalization of REDD+ Himalaya

M&E calendar

On the fourth day of the event, Ms Lalu Kandel, Monitoring and Evaluation Specialist at ICIMOD, presented the importance of monitoring and evaluation activities in REDD+. She emphasized that M&E is key to determining the kind of results we want. It is also used to track results, systematically plan the activities required for the monitoring and evaluation of the initiative, ensure the resources needed for M&E activities, and communicate responsibilities to the team members in a timely way. She presented a results-based monitoring cycle and explained the importance of an M&E activity calendar.

The presentation was followed by group work. In total five groups were formed to discuss and finalize M&E activities for 2016. Later, the results of the group works were synthesized into one single M&E calendar, which is given in Annex 2.

Format for progress reporting

Prof Koch, the GIZ resource person, highlighted the need for a homogeneous approach to periodic and final reporting. He said that, to ensure consistency, ICIMOD should come up with a regional reporting template in which the progress made by each of the partner countries can be presented in a systematic way. He presented a draft format, which was followed by a plenary discussion. After incorporating various comments and suggestions a final version of the Format for Progress Reporting was agreed upon by all country delegations and is contained in Annex 3.

Operationalization of the initiative

The partner countries sat together in their respective country groups to review and finalize the operational plan for 2016. Their plans were presented in the plenary and queries and comments incorporated in the final plans. The final operational plan is contained in Annex 4.

Day Five: Presentations, tour and closing

Understanding communication through a ball-game

Ms Heike Junger-Sharma facilitated this fun and inspiring session. Five groups were formed – four country-wise groups and a group comprising participants from ICIMOD and GIZ. At first, each group played a ball intra-group, then the groups were asked to play inter-group, and, finally, all groups had to play together. The patterns of both intra-group and inter-group plays were analysed in terms of coordination. The game demonstrated the importance of proper and planned communication in undertaking any activity.

Knowledge management and communication strategy

Ms Heike Junger-Sharma made a presentation as to why REDD+ Himalaya needs a knowledge management and communication (KMC) strategy and how the strategy could be applied. The presentation covered the following:

- Why talk about the KMC strategy in this workshop?
- Why talk about the KMC strategy on the last day of the workshop?
- Facts about REDD+ challenges and REDD+ partners
- Solutions to critical issues
- Objectives of the REDD+ KMC strategy and the participatory process
- Urgent KMC tools for 2016
- Prioritizing outputs for 2016
- Stakeholders in REDD+
- Tasks for the 5th day of the workshop.

Why talk about the KMC strategy in this workshop?

Ms Sharma explained that a KMC strategy is necessary to achieve the objectives of ICIMOD's transboundary programmes. To elucidate this point, the statements of some of the speakers in the inaugural session of the workshop were cited: "REDD+ Himalaya requires plans for regional cooperation and exchange" (Eklabya Sharma); "Knowledge management and information exchange is key for regional cooperation to achieve common goals" (Roland Steurer); "There is a need to employ a tangible common approach and exchange at the transboundary level" (Man Bahadur Khadka); "A regional platform is required" (Madhu Prasad Regmi); "Effective knowledge exchange is needed to define the regional niche of REDD+ in the Hindu Kush Himalaya region" (David Molden); and "There is a need to work on synergies to achieve common goals" (Rajan Kotru).

It was noted that, for regional programmes such as REDD+ Himalaya, KMC is critical for the regional sharing of data, lessons, experiences, technical resources, capacities, and good practices. It is also necessary for developing clear country and regional work plans, as well as adopting a common



understanding of an M&E system and common formats. A KMC strategy also adds value to partnerships and helps achieve country and regional objectives effectively and efficiently. A structured KMC exchange strengthens trust and mutual support among partners, which is required to achieve objectives. KMC also offers a unique chance for interdisciplinary, cross-country, and intercultural learning, and that its importance lies in being a process tool, which is monitored regularly and adapted yearly.

Why talk about the KMC strategy on the last day of the workshop?

We need to talk about the KMC strategy to:

- Consolidate the outputs of the workshop
- Gain the commitment of partners for a common KMC structure
- Endorse the KMC strategy for 2016

Challenges and partners

The challenges facing REDD+ Himalaya include the distance between partners, language barriers, different mind sets, the 'representativeness' of partners, and their different professional backgrounds. Regarding distance, it was pointed out that the partners in Bhutan come from three offices, about one hour apart, while the Indian partners come from four organizations about 1,000 to 5,000 km apart. The Myanmar partners comprise members from three offices located 20 to 30 kilometres from each other. In Nepal, the partners share the same compound, but the pilot sites are 3 to 5 hours apart. ICIMOD and GIZ are 5 to 5,000 km apart from their regional partners, while BMU, NORAD, and UNFCCC are 5,000 to 10,000 km away from their partners. So, given the distance, the challenge is how to ensure effective knowledge transfer, cooperation, partnering, and communication and learning within the countries, as well as between the countries and among the partners.

With regard to language, English is not the mother-tongue of most of the partners. This poses a challenge to the partners in terms of communication among themselves, as well as in developing information, documents, training materials, and public relations materials for different global and local target groups.

Mind sets about ourselves and about the other partner countries were highlighted as another challenge. Addressing the sometimes strong mind sets that the partners have about other partner countries can be difficult.

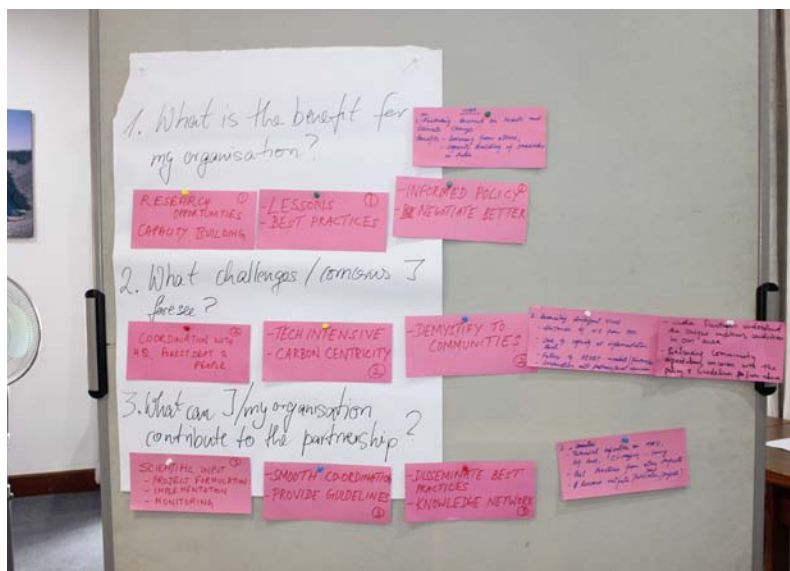
Partner representativeness is also challenge: men outnumber women and, therefore, a gender approach in REDD+ is not feasible without men taking leading roles in gender-sensitisation and gender-mainstreaming.

Different professional backgrounds are another challenge. Among the participants 70% were foresters and 30% other professionals (economists, environmental scientists, managers etc.). How can we ensure a multi-sectoral approach for REDD+ in the field and learn from each other's strengths and expertise? How can we address different priorities in training and capacity building for different partners?

Solutions to critical issues

The suggested solutions included:

- Trust in this regional partnership and our common strengths
- Use of passion and pro-active energy for our role in REDD+
- Application of pooled professional skills



- The use of partners' synergies
- Exchange of best practices, data, technical expertise, innovations and more

REDD+ KMC Strategy – Participatory process and format

A regional REDD+ KMC Strategy was prepared following a participatory process and using a format as a tool to deal with the issues that were presented. The participatory process was characterized by guided interviews and discussions with ICIMOD and all partners. The content of the strategy is derived from the outcome of the structured interactions conducted with the REDD+ partners, as well as from ICIMOD's Regional KMC Strategy.

The objectives of the strategy are to:

- Increase the efficiency of the flow of information to, from, and among all REDD+ Himalaya partners, important stakeholders, and functional committees/governance mechanism (national and regional)
- Support and increase the effectiveness of the activities identified in the programme log frame
- Raise the public profile of REDD+ Himalaya with stakeholders in the field, nationally, regionally, and globally
- Ensure effective lobbying and advocacy with diverse project stakeholders and build regional cooperation

The REDD+ KMC Strategy (see Annex 5) provides an overview of the (i) objective of REDD+; (ii) KMC priorities for 2016 with indication of responsibilities; (iii) impact/output relations of identified KMC instruments; (iv) country-wise partners and main stakeholders; (v) 2016 priorities/commitments for regional working groups; (vi) a 2-page implementation plan – what will be done by whom and in collaboration with whom at what time; and (vii) a 3-page attachment with links to main framework and policy papers of ICIMOD.

The strategy, which will be finalized and endorsed during the workshop, includes commitments by ICIMOD/GIZ to quarterly monitoring, field visits to support the partners in fulfilling their commitments, additional supporting activities by April 2016, and the updating the strategic priorities for 2017.

Findings: KMC priorities

The priorities for KMC in 2016, which resulted from the guided participatory interviews and discussions with ICIMOD and all partners, are as follows:

- Priority 1: KMC sharing mechanisms among partners
- Priority 2: KMC instruments for lobbying
- Priority 3: KMC instruments for field implementation

Priority 1: Communication and coordination mechanisms for partners established

The overall priority is to set up a communication and knowledge-sharing mechanism among the partners with immediate urgency in the first half of 2016, focusing on:

- Regular country planning and coordination/sharing meetings
- Regular regional planning and sharing meetings
- Common updated website with frequently asked questions, a common calendar, factsheets of partners, etc.
- Exposure trips to other partners/field sites
- Technical workshops
- Working group platform (regular technical online portal for exchange on identified topics)
- Common partner email list



Additionally, start working on the following (second half 2016):

- Common activity map on website
- Internal newsletter
- Intranet/platform on website for updating implementation status, working reports/documents, and working groups

Priority 2: Communication tools for lobbying

Priority 2 is to develop communication instruments for lobbying with immediate urgency in the first half of 2016. A press kit for REDD+ should contain:

- Easy reader on REDD+ (for laypersons) in English and local language(s)
- Meetings for lobbying
- Research papers
- Reports
- Documentation on REDD+

Additionally, start working on the following (second half 2016):

- External newsletter
- Case studies
- Local fairs
- Interpretation centre at district level in Nepal

Priority 3: Communication tools for local-level implementation

Priority 3 is to develop and adopt knowledge sharing and communication tools for field implementation with immediate urgency in the first half of 2016 focusing on:

- Technical training and training manuals for capacity building
- Flyers in local language
- Exposure trips across border (multi-disciplinary)
- Exposure trips for communities
- Radio/ TV broadcasts

Additionally, the following needs to be taken up:

- Songs
- Poems
- Student camps/student programmes (e.g., painting competitions)
- Animation videos on REDD+
- Yatra (festival) through landscape

With regard to other urgent outputs for 2016, there was a diverse understanding of what is most urgent among the different country partners. This still needs to be articulated and finalized.

Task for the fifth day of the workshop

The sessions of the fifth day of the workshop resulted in:

- Decisions on who will be responsible for what and when (commitments)
- Clarity on a roadmap and steps for building a regional platform (technical workshops in 2016)
- Endorsement of the strategy by all and a list of communication champions in the countries/partners

All these decision are mirrored in the implementation plan for KMC Strategy 2016 (Annex 6).

Preparation of a roadmap for REDD+ working groups

All of the partner countries (Bhutan, India, Myanmar and Nepal) have to prepare safeguards (SIS), MRV, and biodiversity protocols for REDD+. Thus, with the objective of establishing common ground from which to share existing methodologies and practices, a discussion was initiated on methodologies among the partner countries. Three REDD+ working groups were formed to communicate methodologies and share common practices on SIS, MRV, and biodiversity for REDD+. Information on the planned activities and members of the working groups can be found in the KMC Strategy implementation plan (Annex 6).

Visit to ICIMOD's Knowledge Management and Communication division

To familiarize the participants with the information management and data sharing processes in ICIMOD, a visit to ICIMOD's Knowledge Management and Communication division was organized. Philippus Wester, Chief Scientist, and Amy Sellmyer, Publication and Editing Officer, took the participants on a virtual tour of the online data sharing system and explained the data and reporting mechanism. The participants then had an opportunity to explore ICIMOD's library and take some publications back to their country.

Endorsement of KMC Strategy

The REDD+ KMC Strategy and implementation plan, which was discussed in the morning session, was endorsed. Each of the REDD+ Himalaya partner countries agreed on the strategy to be implemented.

Workshop closing

Way forward

Dr Bhaskar S Karky, Programme Coordinator for the Regional REDD+ Initiative, presented the way forward for REDD+ activities. He thanked the participants of this first Regional REDD+ Initiative kick-off meeting. The main idea was for the partners to get to know each other and to build synergies. In summary, he said that, we have endorsed the results-based M&E Strategy, M&E Template, Format for Progress Reporting, and REDD+ KMC Strategy; these things will help us to achieve our objectives in REDD+ implementation in non-tropical countries. As a final remark, Dr Karky mentioned that a South-South learning workshop will take place in each country every year. In 2015, the workshop will be held in Calcutta, India, and in 2016 in Myanmar.

Closing remarks by the heads of delegations

Bhutan

Mr Jamyang, Specialist at the Soil and Plant Agriculture Laboratory, Department of Agriculture, on behalf of Bhutanese Government and his colleagues, thanked ICIMOD for organizing this kick-off meeting. He said that the meeting has created a high level of transparency and mutual understanding among the partners. He said that, with the endorsement of the KMC Strategy, Bhutan is prepared for REDD+ activities and, with the availability of funds, will start activities as planned. Before the end of the project, Bhutan will successfully complete the planned activities and he pledged the continued support and cooperation of Bhutan with ICIMOD and with the other REDD+ countries, which benefit the communities in the HKH region in the long run.

India

Dr TP Singh from ICFRE, on behalf of the Indian Government, thanked the Government of Nepal and ICIMOD for giving the participants from all four partner countries a platform to get to know each-other. ICFRE and ICIMOD have been implementing and collaborating on various programmes for a long time. In terms of REDD+, ICFRE, being a programme implementer, admits that there is a lot to learn and a long way to go. This meeting will

strengthen the strategic alliance with Nepal, Bhutan, and Myanmar and will certainly help to facilitate REDD+ implementation in the region. The overall structure of this meeting was clear, however, he said, with regard to the common challenges, we have to go for a win-win strategy. In India, REDD+ will focus on the capacity building of stakeholders, conducting an inventory of forest carbon, developing MRV methodology, the dissemination of knowledge products, encouraging and promoting the involvement of youth through research fellowships and skill development methods, and continuation of the strategic alliance. He also shared his opinion that REDD+ funds from the donor side will be reduced and that it is time for all countries to use their own resources for a sustainable approach to REDD+ activities in the long-term.

Myanmar

Dr Myat Su from Myanmar expressed her heartfelt thanks to ICIMOD and GIZ for their support and for bringing the REDD+ partners and country delegates together. This meeting was important for many reasons, particularly for knowledge and information sharing and the proper planning and implementing of REDD+ activities. She emphasized that ICIMOD and Myanmar have been working together for a long time in ICIMOD's other regional programmes. She said that REDD+ has additional value in terms of regional cooperation and continued support between ICIMOD and Myanmar. She added that this workshop has facilitated a clear understanding and vision, so that there will be no overlap between REDD+ Himalaya activities and already existing REDD+ activities in Myanmar. Some REDD+ countries under the Regional REDD+ Initiative have gone far. Bhutan is on its way forward in its National Forest Inventory, India has regular forest monitoring every two years, and Nepal is way ahead in community forest management and community engagement in forest management. Development is important and the HKH region needs to work together to go ahead. She thanked all of the resource persons and closed her remarks by highlighting the continued and extended support from ICIMOD to Myanmar, Bhutan, Nepal, and India.

Nepal

Dr Mohan Poudel, REDD Implementation Centre, Ministry of Forests and Soil Conservation, Government of Nepal, highlighted that this meeting played an important role in many ways. The RIC has been a long-term partner of ICIMOD and this meeting has informed the RIC about other countries' progress on REDD+. Continued support and collaboration between ICIMOD and the Ministry of Forests and Soil Conservation/Government of Nepal will have positive effects on REDD+ implementation at the national level.

Closing remarks by Prof Koch, resource person, GIZ

Prof Koch, GIZ resource person, expressed his enthusiasm about the implementation of REDD+ in each of the four partner countries. He emphasized that the workshop has resulted not only in the approval of a good partnership agreement, but also recognition of the need for systematic results-oriented M&E, acceptance of a common format for M&E, and a format for regular progress reporting. This will ensure the smooth operationalization of activities. He thanked the participants for their excellent inputs and contributions and wished all countries success in achieving their objectives at the country and regional levels.

Closing remarks by Ms Heike Sharma, resource person, GIZ

Ms Heike, GIZ resource person, highlighted that a secret ingredient of a successful workshop is games. Through this regional kick-off meeting positive energies have been produced and the REDD+ groups have been brought together. She further pointed out that the implementation of the KMC Strategy is on a good footing and reminded the participants that discipline is needed to follow the project's log frame.

Closing remarks by Dr Eklabya Sharma, Director of Programme Operations, ICIMOD

Dr Sharma, Director of Programme Operations, ICIMOD, reiterated that peatlands and rangelands are areas of regional importance. In addition, socio-cultural aspects are also important regional elements and must be considered in any REDD+ initiative. He said that each of the participating countries have their own uniqueness and

strengths and that these, if shared regionally, can also be part of the regional approach. This workshop proved to be crucial in many ways: it developed the partnership between the REDD+ Himalaya countries, came up with a communication strategy, and shared the monitoring and operational plan – all of which are pillars for the future of REDD+. Understanding concepts in communication and partnership helps in achieving the objectives, as REDD+ is not only about carbon sequestration, but about working through a holistic approach. It needs more participation of people and the investigation of the possibility of higher levels of engagement, such as participating in side events at the UNFCCC COPs. These are some of the features that REDD+ can bring in.

Vote of thanks by Dr Rajan Kotru

Dr Rajan Kotru, Regional Programme Manager, Transboundary Landscapes, thanked all of the delegates from Bhutan, India, Myanmar, and Nepal. He said that he was happy to see all of the partners coming together in this regional meeting on 'Developing strategies for communication, partnership and monitoring for REDD+ Himalaya' to working together for the benefit of HKH communities. Dr Kotru told the audience that when commitments are converted into creativity such commitments can help partners to perform project activities more conveniently. Again, he thanked all of the participants and the GIZ team for their constructive role in the conceptualization of this workshop and for making it a success, the training facilitator for conducting the workshop, and the ICIMOD REDD+ team for their efforts in planning and conduct this event. He also thanked the Strategic, Planning, Monitoring and Evaluation unit for providing the M&E framework and sharing the regional approach. Last, but not least, he thanked all four key ministries from the Royal Government of Bhutan, the Government of India, the Union of Myanmar, and the Government of Nepal for building up ownership and taking REDD+ into their country-level programmes through REDD+ Himalaya. He expressed hope for the continued support of each country and said that ICIMOD looks forward to working together in the long term.

Days Six and Seven: Field trip

Field trip to Dhulikhel

The field trip to Dhulikhel took place from 27 to 29 September 2015 to understand how community forestry is working in Nepal. A total of 44 participants were present during the discussion programme including participants from Bhutan, India, Myanmar, Nepal, ICIMOD, and GIZ.

The chairperson of the Kavre district FECOUN, Mr Keshav Thapa, provided information on community forestry and how the Federation of Community Forestry Users Nepal (FECOFUN) evolved in Nepal. He stated that community forestry is an evolving branch of forestry whereby the local community plays a significant role in forest management and land use decisions, in facilitating the support of the government, and acting as a change agent. He explained that community forestry involves the participation and collaboration of various stakeholders, including communities, government agencies, and non-government organizations (NGOs). Common land in Nepal is owned by the state, which often does not have the capacity to monitor and manage it. This can lead to overuse of resources by the community due to lack of incentives for conservation. To overcome this, programmes involving community participation have been introduced and forest user groups (FUGs) formed to manage the forests resources without giving them ownership of the land.

He explained that FECOFUN is an umbrella organization of community-based forest user groups throughout Nepal. It is an autonomous, non-partisan, membership-based organization. FECOFUN is the first national federation established by, and for, community forest users in Nepal. Established in 1995, FECOFUN emerged out of the idea that forest users from all parts of the country should be linked in order to strengthen their role and voice in the policy-making process. FECOFUN's organizational structure has become a role model for other federations, nationally and internationally. It has become a representative and democratic people's organization. Since its inception, the principal policies of FECOFUN for good governance have been: decentralization, inclusiveness, a participatory approach in decision making, the sharing of benefit, and a gender balance in leadership positions. FECOFUN covers all 75 districts of Nepal. All district chapters are independent and run autonomously by their own steering committee members.

The chairperson of the Paleko Ban Community Forest, Mr Sudarsan Karki, provided comprehensive information on how the Paleko Ban Community Forest originated. He stated that they have a unique approach to forest management, which started 150 years ago. According to him, forest conservation took place due to a temple called 'Chandeswori' situated in Banepa, Kavre district. In the past, there used to be a chariot for the Chandeswori temple. The huge logs used to make the chariot came from the Terai. During that period, there were no vehicles, so people used to carry the logs by hand from the Terai to the Chandeswori temple. It was really tough for the people to carry the logs to Kavre, so the local people decided to protect and grow trees, which they could cut once every 5–10 years for the chariot. When the trees were cut, the people would perform a forgiveness ceremony called 'Chema Pooja' to make the Chandeswori god happy. Since, then the forest has gained religious significance and is protected.

As the time passed, the forest became denser and wild animals were sighted, and the need to conserve the forest arose. The community management approach started in 1978 in an informal setting. Later, in the 1990s, the Government of Nepal formally named it Paleko Ban Community Forest. This was the first community forest in Nepal – and in South Asia. Although the forest land was degraded, after establishing the community forest, *Pinus roxburghii* was planted with the help of donors. As a result, the degraded land turned into healthy forest. About 13 years ago, community people formed their own group for forest management. However, equal benefit sharing is still a major challenge. Being the first community forest in Nepal, the Government of Nepal has not given attention to how the forest is being conserved and what sort of activities and incentives are provided to the user groups for the better protection, conservation, and management of the forest.

Visit to Chandeswori temple and Namu Buddha

Located 40 kilometres south-east of Kathmandu, Namu Buddha is one of the most important Buddhist pilgrimage sites south of the Himalayas, as well as one of the holiest Buddhist sites in the world. Known by Tibetans as Takmo Lu Jin, meaning 'Tigress Body Generosity', the Namu Buddha stupa marks the site where a young prince (in some versions, the Buddha himself) encountered a tigress close to starvation and unable to feed her own cubs. Overcome with compassion, the prince allowed the tigress to consume him and thereby feed her cubs. A small shrine a few minutes' walk uphill from the stupa contains statues of the prince together with the tigress and her cubs. On the other side of the hill stands the Thrangu Tashi Yangtse monastery constructed in 1976. Large numbers of pilgrims visit Namu Buddha, especially during the months of February and March.

Annexes

Annex 1. REDD+ Himalaya monitoring and evaluation template

REDD+ Himalaya monitoring and evaluation template																
Results/ indicators				Landmarks		Data collection				Monitoring results				Learning from M&E		
No	Result	Indicator (as per 1 July 2015)	Definition/ explanation	Base- line need/ availabi- lity	Target 12/2018	Frequency of data collection/ milestone(s)	Kind of data	Source(s) of information, methods of data collection	Respons- ible/ account- able	Tools/ Resources needed	Progress to date	Traffi- c light	Explanat- ion of achieve- ment(s)	Evide- nce to suppo- rt	Remarks in line with impact pathway	Decisi- on
0	Regional Programme (RP): REDD+ Himalaya	RP indicators														
1		Impact indicator Decentralized REDD+ structures are in place and are functional in at least three countries	'Structure' means that an institution is nominated to be the focal point for REDD at the sub-national level. 'Functional' means that the focal point will implement REDD related activities.	??	??	Milestone(s):					Planned milestone(s) achieved with expected quality					
2		Overall outcome indicator 1. (GIZ/ICIMOD Outcome indicator) Key impacts of the project have been integrated as components of the REDD+ development strategies of at least three of the four participating project countries in the eastern Himalayas. These include:	'Evidence of integration' means that the project learnings are used by the national REDD+ development strategies. This is shown by the references made to ICIMOD's work in the national reports.	Yes, 0	1) REDD+ coordination offices at district level established and come into operation by implementing REDD+ related activities	Twice a year	Physical infrastructure, human resources + ToRs, information/ dissemination/ n/ display, instruments	District and central office/ field visit, documents	Focal points	Partner or joint visits	Planned milestone(s) achieved with expected quality					

REDD+ Himalaya monitoring and evaluation template																
Results/ indicators					Landmarks		Data collection					Monitoring results				Learning from M&E
No	Result	Indicator (as per 1 July 2015)	Definition/ explanation	Base- line need/ availabil- ity	Target 12/2018	Frequency of data collection/ milestone(s)	Kind of data	Source(s) of information, methods of data collection	Respons- ible/ account- able	Tools/ Resources needed	Progress to date	Traffi- c light	Explanat- ion of achieve- ment(s)	Evide- nce to suppo- rt	Remarks in line with impact pathway	Decisi- on
		2) At least one Regional Emission Reduction Programme (ERP) is formulated (Nepal)	An Emission Reduction-Programme Idea Note (ER-PIN) developed for Nepal	Yes, 0	1, One ERP developed	Once a year	Reports	REDD Implementation Centre (RIC) national level/ documents, progress and annual reports	Focal points	Officers visit	Planned milestone(s) achieved with expected quality					
		3) Allometric biomass functions are established for the main tree species (Bhutan)	"Established" refers to the development of allometric equations. The main tree species for Bhutan will include around 20 species for which allometric equations will be developed.	Yes, 0	20 allometric equations developed and disseminated	Once a year	Allometric equation report	RIC national level/ documents, progress and annual reports	Focal points	Officers visit	Progress towards planned milestone(s) underway with some risks involved in achieving them on time					
		4) Regional REDD+ development strategies have been developed (Myanmar & India)	Sub-national level REDD+ strategies are developed for the states (for India) and provinces (Myanmar)	Yes, 0	2, Regional REDD+ development strategy documents approved	Once a year	Strategic document	RIC national level/ documents, progress and annual reports	Focal points	Officers Visit	Progress towards planned milestone(s) underway with some risk involved in achieving them on time					

REDD+ Himalaya monitoring and evaluation template

Results/ Indicators				Landmarks		Data collection					Monitoring results				Learning from M&E	
No	Result	Indicator (as per 1 July 2015)	Definition/ explanation	Base- line need/ availabil- ity	Target 12/2018	Frequency of data collection/ milestone(s)	Kind of data	Source(s) of information, methods of data collection	Responsible/ account able	Tools/ Resources needed	Progress to date	Traffic light	Explanat ion of achieve ment(s)	Evide nce to suppo rt	Remarks in line with impact pathway	Decisi on
3		Overall outcome indicator 2 At least three standard protocols or guidelines help to mainstream gender sensitive and inclusive REDD+ practices (e.g., carbon mapping protocols, REDD+ refresher training manual, REDD+ glossary, sustainable forest management guidelines, data acquisition, management and reporting guidelines) have been finalized, endorsed and used by the relevant community-based organizations/ ministries/ departments/ forest offices.	Three-step approach: * Qualified guidelines/ protocols are in place, * they are endorsed, *and will create effects. The protocols will be mainstreamed into REDD+ implementation or readiness strategies	Drafts available, to be specified	3	* Decision on type of protocols to be developed 06/2016 * Standard protocols developed 12/2016 * Endorsed protocols 06/2017 * Applied	Documents/ reports on status of guidelines and/or protocols and user information	Partners' reports based on information from the relevant community-based organizations, ministries, departments or offices/ documents, interviews, observations	Heads of partner agencies, ICIMOD, focal points	Regular progress reports from partners based on data collected from the relevant offices	Decisions made, submitted to ICIMOD	Protocol as of 12/2016	ICIMOD accepts/ clarifications/ adjustments needed			
4	Output 1 Science-based knowledge products on REDD+ are developed and strategically communicated to the target groups	Output indicator 1.1 At least 2 studies per country are conducted in relevant topics and the reports are strategically communicated to the target groups.	Relevant topics are of significant importance to the overall development/ implementation of REDD+; some of these topics will emerge after the climate agreement 2015.	Yes, yes	8 qualified studies (including National Forest Inventory for Bhutan)	Twice a year	Study reports (quantity and quality), communication materials, reports from target groups	Progress and monitoring reports from focal points; reports from target groups; monitoring visits; documents; field observations; evaluation reports; communication materials	Monitoring focal points at partner level and in ICIMOD; in ICIMOD program me officer (PO) is responsible	Regular progress reports; joint field visits (retrieve data and progress reports from partners, organizing all data)	Planned milestone(s) achieved with expected quality					

REDD+ Himalaya monitoring and evaluation template																
Results/ indicators				Landmarks		Data collection					Monitoring results				Learning from M&E	
No	Result	Indicator (as per 1 July 2015)	Definition/ explanation	Base- line need/ availabil- ity	Target 12/2018	Frequency of data collection/ milestone(s)	Kind of data	Source(s) of information, methods of data collection	Responsible/ account able	Tools/ Resources needed	Progress to date	Traffic light	Explanat ion of achieve ment(s)	Evide nce to suppo rt	Remarks in line with impact pathway	Decisi on
5		Output indicator 1.2 (relates to Bhutan only; GIZ/ICIMOD Output indicator 2.2) The carbon stock in Bhutan's forests is calculated by the end of June 2016 (end of the project period)	Bhutan will have its own monitoring process and, in addition joint monitoring from ICIMOD and partners will be conducted.	Yes, 0	Carbon stock draft report	Twice a year	Carbon stock (draft) report	Forest Resources Management Division (FRMD), Bhutan, reports	Monitori ng focal points at partner level and in ICIMOD; in ICIMOD PO is responsi ble	Regular progress reports	Progress on planned milestone(s) delayed or there is a risk of critical delay					
6		Output indicator 1.3 At least 2 knowledge products per country are customized and communicated to specific target groups: a) 4 for local communities and indigenous groups, and b) 4 for policy makers	Knowledge products (manuals, guidelines, factsheets) that demystify REDD+ related topics and assist the general public in understanding REDD+ Each country will select 2 topics to develop the knowledge product as per their national circumstances and/or priorities.	Yes	8 knowledge products customized and communic- ated	Twice a year	Knowledge products, communicati on and disseminatio n events, customized products for the target groups Number of target groups that know about these	Progress and monitoring reports from focal points; reports from target groups, monitoring visits Progress reports, evaluation of dissemination reports	Focal points at partner level and in ICIMOD; in ICIMOD PO is responsi ble	Access providers' knowledge products and target groups (local communiti es, policy makers)	Planned milestone(s) achieved with expected quality					

REDD+ Himalaya monitoring and evaluation template

Results/ indicators				Landmarks		Data collection					Monitoring results				Learning from M&E	
No	Result	Indicator (as per 1 July 2015)	Definition/ explanation	Base- line need/ availabil- ity	Target 12/2018	Frequency of data collection/ milestone(s)	Kind of data	Source(s) of information, methods of data collection	Respon- sible/ account- able	Tools/ Resources needed	Progress to date	Traffi- c light	Explanat- ion of achieve- ment(s)	Evide- nce to suppo- rt	Remarks in line with impact pathway	Decisi- on
7		Output indicator 1.4 (includes GIZ/ICIMOD Output indicator 2.1) At least 4 innovative science-based tools/ methods are developed, tested and made available to different target groups, particularly to local communities and indigenous groups	Tool are methods and, in this case, 'tools' refers to, e.g., the method for carrying out carbon inventory by training local populations	Yes, yes	At least 1 per country: India: MRV/SIS guideline; Myanmar: free, prior and informed consent (FPIC)/biod iversity guideline; Bhutan: allometric equations for 20 important tree species; Nepal: safeguard informatio n system (SIS)	Twice a Year	Number and status of tools/ methods (developing, testing and communicati on) Number of target groups to which tested tools/method s are communicate d	Progress and monitoring reports from focal points; reports from target groups, field visit report Observations, progress reports, travel reports, docu- ments, feed- back from target/ indigenous groups	Monitori ng focal points at the partner level and in ICIMOD; in ICIMOD PO is responsi ble	Reports and informatio n from developers of tools or methods; focal points in partner countries	Planned milestone(s) achieved with expected quality					
8		Output indicator 1.5 (relates to India and Myanmar only; GIZ/ICIMOD Output indicators 3.1 and 3.2) An inventory and potential analysis of regional REDD readiness is prepared by 2017	A document that shows how prepared the partner countries are for sub- national level REDD+ implementation	(1) Bi- annual 'India State Forest Report' only; (2) A systema- tic analysis is not yet available for Myanma r	(1) Additional database on forest land, inventories and carbon stocks made available (2) Inventory report and potential analysis	Twice a year	Checklist on REDD+ readiness and inventory	Progress and monitoring reports from focal points; monitoring visits Observations, progress reports, travel documents (India State Forest Report and a similar report developed in Mvannar)	Monitori ng focal points at the partner level and in ICIMOD; in ICIMOD PO is responsi ble	Communica- tion with focal points, regular progress reports	Planned milestone(s) achieved with expected quality					

REDD+ Himalaya monitoring and evaluation template																
Results/ indicators				Landmarks			Data collection					Monitoring results				Learning from M&E
No	Result	Indicator (as per 1 July 2015)	Definition/ explanation	Base- line need/ availabil- ity	Target 12/2018	Frequency of data collection/ milestone(s)	Kind of data	Source(s) of information, methods of data collection	Respons- ible/ account- able	Tools/ Resources needed	Progress to date	Traffi- c light	Explanat- ion of achieve- ment(s)	Evide- nce to suppo- rt	Remarks in line with impact pathway	Decisi- on
9	Output 2 Enhanced capacity of REDD+ stakeholders at different levels in order to expand MRV and to support REDD+ mechanisms that are gender sensitive and inclusive in REDD+ pilot districts	Output indicator 2.1 x individuals per country from relevant institutions/ organizations are trained and have an increased awareness of REDD+ mechanisms, tools, and methods and report that they have gained additional knowledge.	* Number trained * Measurement of increased awareness = number who report to have gained knowledge by surveys	Yes, 0	TBD after training needs assessment (including x% of women Nepal: 400 (50% women) Bhutan: at least 30 persons	Twice a Year	Number of training events and participants (male/female); training evaluation on additionally gained knowledge	Analysed after-training reports, progress and monitoring reports from focal points; collection of newly developed evaluation reports	Monitoring focal points at partner level and in ICIMOD; ICIMOD PO is responsible	Focal points collect training and evaluation reports			Focal points of partners and ICIMOD			
10		Output Indicator 2.2 (relates to Nepal, India and Myanmar only) x households address drivers of deforestation and/or forest degradation through enhanced capacity by any of the following: a) nursery and plantation b) alternative energy c) income generating activities and market linkages d) other relevant drivers	Enhanced capacity is addressed by relevant drivers by the forest dependent population in selected sites	Yes, 0	TBD (note: other donor funds will be used in addition)	Once a year	Knowledge products, communication and dissemination events, customized products for the target groups Number of households that know about and use these	Survey reports Households surveys, sample and evaluation of their capacity	Monitoring focal points at partner level and in ICIMOD; ICIMOD PO is responsible	Design and carry out household surveys in cooperation with research institutions or consultants						
11		Output indicator 2.3 (relates to Nepal only; GIZ/ICIMOD Output indicator 1.2) A Regional Emission Reduction Programme (ERP) is developed for at least one of the three project districts in Nepal by July 2016.		Yes, 0	1	Once a year	Documents	Partner reports Collection of reports	Monitoring focal points at partner level and in ICIMOD; ICIMOD PO is responsible	Regular progress reports	Progress towards planned milestones (s) going on well and expected to be achieved on time					

REDD+ Himalaya monitoring and evaluation template

Results/ indicators				Landmarks		Data collection					Monitoring results				Learning from M&E	
No	Result	Indicator (as per 1 July 2015)	Definition/ explanation	Base- line need/ availabil- ity	Target 12/2018	Frequency of data collection/ milestone(s)	Kind of data	Source(s) of information, methods of data collection	Respons- ible/ account- able	Tools/ Resources needed	Progress to date	Traffi- c light	Explanat- ion of achieve- ment(s)	Evide- nce to suppo- rt	Remarks in line with impact pathway	Decisi- on
12		Output indicator 2.4 (relates to India only) x standardized SIS protocols, data collection formats, formats for validation of capacity building manuals, protocols and guidelines for estimation of carbon stock, MRV guidelines, REDD+ benefit sharing are developed	Developed in 2016 and 2017	Yes, 0	TBD (only carbon related covered by BMUB)	Twice a Year	Number and type of protocols, formats, guidelines developed and used by defined users	Partner reports; user interviews Collection of documents (protocols, formats and guidelines); user interviews to verify usage	Monitori- ng focal points at partner level and in ICIMOD; in ICIMOD PO is responsi- ble	Collection of various reports and regular progress reports Interview guidelines and interviews	Planned milestone(s) achieved with expected quality					
13	Output 3 Institutional strengtheni- ng: Clear structures, responsibili- ties and institutiona- l mechanism are developed at different levels to support REDD+	Output indicator 3.1 (relates to Bhutan and Nepal only) A database system for REDD+ MRV is established and made functional	REDD+ database is available in public domain and accessible to the public	Yes, 0	2 (one each in Bhutan and pilot sites in Nepal)	Twice a year	* Existence and functionality/ quality of Bhutan-forest carbon database * Existence and functionality/ quality of Nepal-REDD+ MRV system functional in at least two pilot districts	Partner reports; interviews Collection of reports regarding the existence and functionality of data bases	Monitori- ng focal points at partner level and in ICIMOD; in ICIMOD PO is responsi- ble	Regular progress reports	Planned milestone(s) achieved with expected quality					

REDD+ Himalaya monitoring and evaluation template																
Results/ indicators				Landmarks			Data collection					Monitoring results				Learning from M&E
No	Result	Indicator (as per 1 July 2015)	Definition/ explanation	Base- line need/ availabil- ity	Target 12/2018	Frequency of data collection/ milestone(s)	Kind of data	Source(s) of information, methods of data collection	Respon- sible/ account- able	Tools/ Resources needed	Progress to date	Traffi- c light	Explanat- ion of achieve- ment(s)	Evide- nce to suppo- rt	Remarks in line with impact pathway	Decisi- on
14	implement- ation	Output indicator 3.2 (relates to Bhutan only; GIZ/ICIMOD Indicator 2.2) A system for the periodic monitoring of changing carbon stocks is set up by the end of June 2018 (end of the project period)	Periodic monitoring takes place by 2017	Yes, 0	Complete calculation	Once a year	System for periodic monitoring of change in forest carbon stock	Partner reports; interviews Collection of reports	Monitori- ng focal points at partner level and in ICIMOD; in ICIMOD PO is responsi- ble	Regular progress reports	Planned milestone(s) achieved with expected quality					
15		Output indicator 3.3 (relates to Nepal, India and Myanmar only; GIZ/ICIMOD Output indicator 1.1) REDD+ related institutional structures are established and linked at different levels with specific ToRs	REDD+ desk at district level reports to central level REDD+ Implementation Centre	Yes, 0	4 (REDD+ cell in India, REDD+ desk/ learning centre in at least 2 districts in Nepal by the end of 2016, and REDD+ working groups in Myanmar)	Once a year	Number of institutional structures established with specific ToR in the partner countries	At partners level Collection of documents and physical verification	Monitori- ng focal points at partner level and in ICIMOD; in ICIMOD PO is responsi- ble	Collection of progress reports and physical verification by field visits	Planned milestone(s) achieved with expected quality					

REDD+ Himalaya monitoring and evaluation template

Results/ indicators				Landmarks		Data collection					Monitoring results				Learning from M&E	
No	Result	Indicator (as per 1 July 2015)	Definition/ explanation	Base- line need/ availabil- ity	Target 12/2018	Frequency of data collection/ milestone(s)	Kind of data	Source(s) of information, methods of data collection	Respons- ible/ account- able	Tools/ Resources needed	Progress to date	Traffi- c light	Explanat- ion of achieve- ment(s)	Evide- nce to suppo- rt	Remarks in line with impact pathway	Decisi- on
16	Output 4 Regional cooperatio- n	Output indicator 4.1 (see Overall outcome indicator 4, GIZ/ICIMOD Output indicator 4.1) x representatives from all four partner countries meet at least once a year between 2015 and 2019 to exchange experiences and make joint field visits, organized by ICIMOD. Note: Representatives include x% women from different stakeholder levels (including indigenous people and Dalits) (Assumption: exchange of experience leads to increased knowledge)	Joint field visits take place to promote south- south learning	Yes, 0	5	Once a year	Number of meetings and field visits per year; participants segregated by country, gender, indigenous people and Dalits; evaluation of experiences exchanged Bhutan: 20 participants	At ICIMOD level Field visit reports, minutes of meetings; evaluation of exchange of experiences	REDD+ team, ICIMOD focal point	ICIMOD REDD+ team supplies field visit and event reports and conducts evaluation on exchange of experience s	Planned milestone(s) achieved with expected quality					
17		Output indicator 4.2 A regional working group is set up (by ICIMOD) by February 2017 for at least two topics; the group meets annually to share knowledge and experience (e.g., REL/RL formulation, social/environmental standards, monitoring of biodiversity, calculation of carbon stocks)	Results of knowledge sharing and best practices shared	0 (so far there is no systema- tic regional coopera- tion on technica- l issues of REDD+ impleme- ntation)	2	Once a year	Number of regional working group(s) with specific ToR being set up; number of meetings held; kind and number of topics discussed per year	ICIMOD and regional member countries Documents, minutes of meetings	REDD+ team, ICIMOD focal point	ICIMOD REDD+ team and partner countries supply working group reports and conduct evaluation on knowledge sharing	Planned milestone(s) not achieved and changes involved with learning					

Annex 2. Monitoring and evaluation calendar

REDD+ Himalaya monitoring and evaluation calendar

M&E activities	Target/ frequency	2015	2016	2017	2018	Deliverables	Responsible (lead/ support)	Budget
1. Monitoring								
Field visits and field verification							CP	
Review meetings							CP	
Compilation of reports							CP	
Meetings with partners							ICIMOD	
Review reports							ICIMOD	
Use of monitoring templates							ICIMOD	
Reporting								
Activity-based report							CP	
Progress report			Jan &E Jul	Jan &E Jul	Jan &E Jul		CP	
Financial report			Jan	Jan	Jan		CP	
Compilation of country reports							ICIMOD	
Regional review and planning meetings							ICIMOD	15,000
2. Evaluation								
Mid-term report (MTR) (independent)							ICIMOD	1% of total budget
3. M&E capacity building								
M&E orientation workshop in each country (orientation for REDD+ Himalaya team in each country on REDD+ M&E tools, results framework and tracking progress against results framework)				REDD+ country focal person/ ICIMOD				
4. Communicating M&E findings								
								3% of total budget
Evaluation findings Dissemination workshop								
National level							CP/ICIMOD	
Regional level							ICIMOD/CP	
Policy brief								
M&E all reports								
Local level							CP	
Global							ICIMOD	
Note: CP = country partner								

Annex 3. Format for progress reporting

Cover page

Progress Report

[Initiative title]

[Country of implementation]

[Report type]

[Year]

Submitted to:

[Reporting period]

[DD/MM/YYYY–DD/MM/YYYY]

Note: This format will be used by country partners to report semi-annually on progress of the programme

(maximum 10 pages, excluding annexes)

Report format

1. Executive summary

This section is an overview of the programme and its successes consisting of a summary of the highlights from the key sections of the progress report outlined below (write this section at the end).

2. Adjustments needed due to changes in framework conditions

Please describe and assess any changes that have occurred in the framework conditions compared to the starting situation of the initiative (e.g., update of status on REDD+ implementation, political situation related to REDD+, support in society for changes envisaged by the initiative or resistance against such changes, etc.) and their impacts on the initiative.

3. Cooperation environment

Please describe synergies, cooperation, overlaps and links with other projects or any further relevant projects promoted by other donors that have emerged during the reporting period.

4. Public awareness raising

Please report on relevant activities and results, such as contributions to public events, publications, and websites. List scientific publications as well as media coverage of project activities.

5. Achievement of objectives

5.1 Achievement of outputs and outcomes

Please provide an update on the programme monitoring plan and operational plan. If needed, supplementary statements can be made (e.g., statements on assumptions, comments or explanations on the indicators and their status, and comments on project monitoring methods, activities and sources). Please appraise compliance/non-compliance with the time schedule and any deviations from the project proposal, and state reasons. Please also explain any modifications to project planning.

5.2 Achievement in cross-cutting issues

Please report on how cross-cutting issues are addressed by the initiative, in particular gender, governance, protection of biological diversity, co-benefits of REDD, and cooperation with the private sector.

6. Constraints and challenges

6.1 Have internal or external issues been faced by the initiative and have measures been taken to resolve these issues. Are there any recommendations for improvements?

6.2 Have any risks emerged in the course of project implementation? Please appraise for each risk the probability of occurrence, the extent of impact, and the degree to which the initiative can influence the risk.

7. Fund utilization

Give a brief account of use of financial resources compared to approved budget; please justify deviations of +/- 10% or more on budget line items.

8. Lessons learned

Assess learning from the project approach, partnership, important aspects leading to success, and overall project experience.

9. Plan for the next reporting period

Describe briefly the activities planned, outputs and outcomes targeted, and funding requirements for the next reporting period.

Annexes (as applicable)

- 1. Initiative log-frame*
- 2. List of partners and their role*
- 3. List of publications by initiative (special annex)*
- 4. List of capacity-building events organized*
- 5. Financial statement*

Annex 4. Operational plan 2015-2016

REDD+ Himalaya operational plan 2015–2016								
Output	Output indicator	Activity name	Deliverable	Activity 2015	Deliverable 2015	Activity 2016	Deliverable 2016	Details
Output 1 Science-based knowledge products on REDD+ are developed and strategically communicated to the target groups	Output indicator 1.1 At least 2 studies per country on relevant topics are made available and the reports are strategically communicated to the target groups					[Myanmar]: Deforestation and forest degradation driver analysis	[Myanmar] Analysis report on the drivers of deforestation and forest degradation	
	Output indicator 1.2 (relates to Bhutan only, GIZ/ICIMOD) Output indicator 2.2) The carbon stock in Bhutan's forests is calculated by the end of June 2016	Expansion of the National Forestry Inventory (NFI) structure to include the parameter 'biomass/ carbon storage'; stratification according to forest type and determination of the sample density to calculate biomass/carbon storage. (B)	1. FRMD officers exposed to climate change related international negotiations 2. Technical capacity of human resources at Soil and Plant Analytical Laboratory (SPAL) of National Soil Service Centre and Forestry Research	[Bhutan]: Activity 2.1 Expansion of the National Forestry Inventory structure to include the parameter 'biomass / carbon storage'; stratification according to forest		[Bhutan]: Activity 2.1 Expansion of the National Forestry Inventory structure to include the parameter 'biomass/ carbon storage'; stratification according to forest type and determination of the sample density to calculate biomass/ carbon storage [Bhutan]: Activity 2.6 Linking of the geo-referenced data on the carbon storage of various forest types with NFI data	[Bhutan]:	1. At least two officers from FRMD, Department of Forests and Park Services will attend the COP meetings and other international climate change workshops. 2. FRMD will facilitate study visits for laboratory staff

REDD+ Himalaya operational plan 2015–2016

Output	Output indicator	Activity name	Deliverable	Activity 2015	Deliverable 2015	Activity 2016	Deliverable 2016	Details
		(BMUB Activity 2.1)	Development Centre (FRDC) enhanced in forest soil and carbon analysis and data management 3. Standard operating protocol for soil carbon analysis developed and printed 4. Standard operating protocol for tree core sampling and analysis developed and printed 5. Consultation meeting with ICIMOD and GIZ held	type and determination of the sample density to calculate biomass/carbon storage				of SPAL and staff of FRDC to regional countries to observe forest and soil carbon analysis. 3. FRMD will facilitate study visits for SFED to observe REDD+ implementation by communities in the regional member countries. 4. FRMD and SPAL will develop soil carbon analysis protocol. 5. FRMD and FRDC will develop tree core sampling and analysis. 6. FRMD in consultation with ICIMOD will conduct

REDD+ Himalaya operational plan 2015–2016

Output	Output indicator	Activity name	Deliverable	Activity 2015	Deliverable 2015	Activity 2016	Deliverable 2016	Details
								coordination meeting either in Nepal or Bhutan.
		Calculation of biomass on pilot plots of the National Forest Inventory (NFI) (B) (BMUB Activity 2.2)	1. Forest carbon sample from four dzongkhags (Haa, Paro, Thimphu and Punakha) collected and submitted to SPAL for analysis 2. Forest carbon sample processed and analysed at plot level 3. Field gear and data collection equipment procured for NFI and quality control crews 4. Laboratory	[Bhutan]: Activity 2.2 Calculation of biomass on pilot plots of the National Forest Inventory		[Bhutan]: Activity 2.2 Calculation of biomass on pilot plots of the National Forest Inventory	[Bhutan]: Forest carbon sample from four dzongkhags (Haa, Paro, Thimphu and Punakha) collected and submitted to SPAL for analysis. 2. Forest carbon sample processed and analysed at plot level	

REDD+ Himalaya operational plan 2015–2016								
Output	Output indicator	Activity name	Deliverable	Activity 2015	Deliverable 2015	Activity 2016	Deliverable 2016	Details
			equipment for carbon measurement procured					

REDD+ Himalaya operational plan 2015–2016

Output	Output indicator	Activity name	Deliverable	Activity 2015	Deliverable 2015	Activity 2016	Deliverable 2016	Details
	Output indicator 1.3 At least 2 knowledge products per country are customized and communicated to specific target groups: a) 4 for local communities and indigenous groups, and b) 4 for policy makers.					<p>[Nepal]: Publication (yearly booklet), guideline development, safeguard guideline, monitoring, measuring and reporting, (MMR) guideline, carbon inventory guideline</p> <p>[India]: Scoping for promoting bamboo plantation to address REDD+ objective (growth and yield, end uses, construction, industry)</p>	<p>[India]: Demo and policy brief</p>	
	Output indicator 1.4 (includes GIZ/ICIMOD) Output indicator 2.1) At least four innovative science-based tools/ methods are developed, tested and made available to different target groups, particularly to local	Develop an inclusive and participatory monitoring, measuring, and reporting (MMR) guideline to complement REDD+ MRV process. (N) (BMUB Activity 1.1)	MMR guideline for publishing	<p>[Nepal]: Develop an inclusive and participatory MMR guideline to complement REDD+ MRV process</p>	<p>[Nepal]: MMR guideline for publishing</p>	<p>[Bhutan]: Activity 2.3 Structuring of a monitoring system to enable the involvement of the local population in the ongoing calculation of carbon in the forests</p>	<p>[Bhutan]: Monitoring system to enable the involvement of the local population for calculation of carbon established</p>	<p>To be accomplished through a consultant; suggest community level MMR team involving local communities, women, IPs, district forest offices (DFO)s, protected area system, and</p>

REDD+ Himalaya operational plan 2015–2016

Output	Output indicator	Activity name	Deliverable	Activity 2015	Deliverable 2015	Activity 2016	Deliverable 2016	Details
	communities and indigenous groups							related civil society; define approach, roles, responsibilities and required capacity to comply with the national MRV
		Calculation of the form-related, simple allometric biomass functions of the 20 most important tree species in the eastern Himalayas (B) (BMUB Activity 2.4)	1. Standard operating protocol for biomass equation developed 2. Training materials for allometric equation developed 3. Field equipment and field gear for team from RDC, involved in biomass equation development procured 4. Laboratory equipment for RDC procured	[Bhutan]: Activity 2.4 Calculation of the form-related, simple allometric biomass functions of the 20 most important tree species in the eastern Himalayas		[Bhutan]: Activity 2.4 Calculation of the form-related, simple allometric biomass functions of the 20 most important tree species in the eastern Himalayas	[Bhutan]: Five biomass equations developed and published	1. Develop standard operating protocol for biomass equation development 2. Print training materials 3. Procure field equipment and field gear 4. Carry out destructive sampling of 40 trees (of five tree species) using randomized branch sampling technique

REDD+ Himalaya operational plan 2015–2016

Output	Output indicator	Activity name	Deliverable	Activity 2015	Deliverable 2015	Activity 2016	Deliverable 2016	Details
			5. Biomass data on five tree species collected					
		(Assessing the possibility of expanding the exclusively) field-based carbon monitoring system with a satellite-supported system (in cooperation with ICIMOD-Mountain Environment and Natural Resources' Information System [MENRIS] and the NASA-SERVIR Himalaya initiative) in order to establish a large-scale carbon accounting process; i.e., forest cover change analysis in 3 districts of Nepal (Nov 2015 ICIMOD) (N) (BMUB Activity 1.3)		[Nepal]: ICIMOD analysing carbon data through remote sensing	[Nepal]: Dec 2015 carbon data available from 3 pilot districts	[Nepal]: ICIMOD analysing carbon data through remote sensing	[Nepal]: RIC and ICIMOD carbon assessment report for 3 pilot districts	

REDD+ Himalaya operational plan 2015–2016

Output	Output indicator	Activity name	Deliverable	Activity 2015	Deliverable 2015	Activity 2016	Deliverable 2016	Details
		Validation, storage, and evaluation of data establishment of semi-automated reporting system (B) (BMUB Activity 2.5)	Software and hardware for forest carbon data management system procured	[Bhutan]: Activity 2.5 Validation, storage, and evaluation of the data; establishment of a semi-automated reporting system		[Bhutan]: Activity 2.5 Validation, storage, and evaluation of the data; establishment of a semi-automated reporting system	[Bhutan]: Data reporting system in establishment process	<ol style="list-style-type: none"> 1. Assess the market and institutions for the most appropriate hardware and software 2. Procure appropriate software and programs for developing a forest carbon data system 3. Procure equipment for establishing a high speed Internet for data server

REDD+ Himalaya operational plan 2015–2016

Output	Output indicator	Activity name	Deliverable	Activity 2015	Deliverable 2015	Activity 2016	Deliverable 2016	Details
		Establishment of a monitoring system for measuring and observing the impacts of REDD+ on biodiversity and the building an FPIC framework for future REDD+ projects (expressly requested by Myanmar): (BMUB activity 3.5 Myanmar)				[Myanmar] Stocktaking report on FPIC, Strategic Environmental and Social Assessment (SESA) and biodiversity	[Myanmar] Customized report on FPIC for local communities; SESA: Principles and Criteria & Indicators (C&I) are tested in the project area; biodiversity: BD Action Plan and/or strategy for the project area	
	Output indicator 1.5 (relates to India and Myanmar, GIZ/ICIMOD Output Indicator 3.1 and 3.2) An inventory and potential analysis on regional/subnational REDD readiness is prepared by 2017.	Stocktaking REDD+ at national level (BMUB Activity 3.1) Scoping study of REDD+ in Kailash Sacred Landscape (BMUB Activity 3.2) Inception workshop to kick-off REDD+ Himalaya in (India) (BMUB Activity 3.1)	Report Report Inception workshop report and operational plan	[India]: Stocktaking REDD+ at national level [India]: Scoping study of REDD+ in Kailash Sacred Landscape Conservation and Development	[India]: REDD readiness report for North East States of India in the context of national readiness [India]:	[Myanmar] Conduct gap analysis in REDD+ (e.g., case studies)	[Myanmar] Report on the status of REDD+ readiness in Myanmar and gap analysis with recommendations on how to fill the identified gaps [India]: Stocktaking of REDD in North East States of	[India]: REDD readiness report for North East States of India in the context of national readiness

REDD+ Himalaya operational plan 2015–2016

Output	Output indicator	Activity name	Deliverable	Activity 2015	Deliverable 2015	Activity 2016	Deliverable 2016	Details
				nt Initiative	Report		India in national context; launch of activities under outputs 1 and 3	
Output 2 Enhanced capacity of REDD+ stakeholder s at different levels in order to expand MRV and REDD+ mechanisms to support REDD+ mechanisms that are gender sensitive and inclusive in REDD pilot districts	Output indicator 2.1: x Individuals per country from relevant institutions/orga nizations are trained and have increased awareness of REDD+ mechanisms, tools, and methods and report that they have gained additional knowledge	Provide training to the relevant stakeholders at district level REDD (DFO/protected area staff, FUGs) on forest carbon assessment (two trainings) (N)	Two trainings conducted in two different project districts; training report available	[Nepal]: Revision of guideline on REDD+ safeguards at district level (Activity 1.1 BMUB was changed to this)		[Nepal]: Capacity building/training - REDD+ networking-laka level (sub -district) - District REDD Working Group (D-RWG) strengthening package - Training of trainers (for REDD+ and carbon assessment) - Local resource person/regional resource person (LRP/RRP) training - LRP mobilization/monitoring/evaluation - REDD+ awareness workshop (2 days) laka-wise multi-stakeholder level - Field visit/ exposure (REDD working group – 20 people/each district) - Dissemination/knowledge sharing (radio programme) - REDD glossary - Redd+ refresher training manual - Develop carbon analysis software/database- Monitoring and reporting activities	[Nepal]: 	

REDD+ Himalaya operational plan 2015–2016

Output	Output indicator	Activity name	Deliverable	Activity 2015	Deliverable 2015	Activity 2016	Deliverable 2016	Details
						[India]: Training to be conducted on modalities of REDD+ in MRV, in association with FSI, RFRI and SFD		

REDD+ Himalaya operational plan 2015–2016

Output	Output indicator	Activity name	Deliverable	Activity 2015	Deliverable 2015	Activity 2016	Deliverable 2016	Details
		Capacity development of REDD+ stakeholders in Myanmar	Gender mainstreaming training, report on MRV, biodiversity and FPIC	[Myanmar]: Gender mainstreaming training	[Myanmar]: Report			
	Output indicator 2.2: x households address drivers of deforestation and/or forest degradation through enhanced capacity by any of the following: a) nursery and plantation; b) alternative energy; c) income generating activities and market linkages	Enhanced capacity of stakeholders at different levels through appropriate means of training, research and communication after conducting a stocktake of current REDD+ at national level. (India)		[Nepal]: Provide training to the relevant REDD stakeholder s at district level (DFO/protected area staff, FUGs) on forest carbon assessment (two trainings)	[Nepal]: Two trainings conducted in two different project districts; training report available	[Nepal]: Income generating activities/alternative energy (seedling purchasing (private/community nursery) (Boddhichitta, Rudrakshya, Lothsalla, Champ, Okhar) [India]: Adoption of nursery/plantations/alternative energy/other sources by households in selected sites	[India]: Document of best practices on alternative energy	
	Output indicator 2.3 (relates only to Nepal, GIZ/ICIMOD) Output indicator 1.2) An ER-PIN is developed for at			[Nepal]: REDD working group establish and functioning in 3 districts	[Nepal]: 3 REDD working groups formed and function al at			

REDD+ Himalaya operational plan 2015–2016

Output	Output indicator	Activity name	Deliverable	Activity 2015	Deliverable 2015	Activity 2016	Deliverable 2016	Details
	least one of the three project districts in Nepal by July 2016.				district level; meeting minutes			
	Output indicator 2.4 (relates only to India) x standardized safeguard information system (SIS) protocols, data collection formats, formats for validation of capacity building manuals, protocols and guidelines for estimation of carbon stock, MRV guidelines, and REDD+ benefit sharing are developed and used	Standards, guidelines and inclusive protocols on REDD+ mechanism are developed after analysis of REDD+ at national level (India)				[India]: Identification of drivers of degradation and deforestation, and safeguards (social and environmental)	Two reports will be published: (i) to identify the drivers of degradation and deforestation, and (ii) the safeguards for the North East States of India and submitted to the Ministry, and uploaded on the Project Portal on the ICFRE website	

REDD+ Himalaya operational plan 2015–2016

Output	Output indicator	Activity name	Deliverable	Activity 2015	Deliverable 2015	Activity 2016	Deliverable 2016	Details
Output 3 Institutional strengthening: clear structures, responsibilities and institutional mechanisms are developed at different levels to support REDD+ implementation	Output indicator 3.1 A database system for REDD+ MRV is established and made functional	Structuring of a monitoring system to enable the involvement of the local population in the ongoing calculation of carbon in the forests (B) (BMUB Activity 2.3)	Not planned for 2015	[Nepal]: Prepare REDD stakeholder's profile for the three districts	[Nepal]: REDD stakeholder profile prepared and endorsed in districts	[Bhutan]: Activity 2.7 Processing of data and making it available to REDD+ project developers and for the development of national and sub-national MRV systems that also take biodiversity-related aspects into account [Nepal]: Carbon measurement (hardware support) - GPS, desktop, soil borer, weighing machine, Dtape, software - Forest management plan including carbon analysis	[Bhutan]: [Nepal]:	Not planned for 2015
		Linking of the geo referenced data on the carbon storage of various forest types with NFI data (B) (BMUB Activity 2.6)	Not planned for 2015					Not planned for 2015

REDD+ Himalaya operational plan 2015–2016

Output	Output indicator	Activity name	Deliverable	Activity 2015	Deliverable 2015	Activity 2016	Deliverable 2016	Details
	Output indicator 3.2 (relates to Bhutan only, GIZ/ICIMOD Indicator 2.2) A system for the periodic monitoring of changing carbon stocks is set up by the end of June 2016	Processing of the data and making it available to REDD+ project developers and for the development of national and sub-national MRV systems that also take biodiversity related aspects into accounts (B) (BMUB Activity 2.7)	Five biomass equations developed and published	[Nepal]: Establish district level REDD desk at the three districts [Bhutan]: Activity 2.7 Processing of the data and making it available to REDD+ project developers and for the development of national and sub-national MRV systems that also take biodiversity-related aspects into account	[Nepal]: ToR developed for REDD desk in 3 districts			Carry out biomass regression modelling for five tree species and publish the equations

REDD+ Himalaya operational plan 2015–2016

Output	Output indicator	Activity name	Deliverable	Activity 2015	Deliverable 2015	Activity 2016	Deliverable 2016	Details
	Output indicator 3.3 (Nepal, India and Myanmar) (GIZ/ICIMOD) Output indicator 1.1) REDD+ related institutional structures are established and linked at different levels with specific ToRs	REDD+ readiness in North East States of India by defined roles and responsibilities and institutional mechanism at different levels (India) (BMUB Activity 3.3)		[Nepal]: Reconstruction post-earthquake	[Nepal]: Reconstruction work assisted in Dolakha and Gorkha			
		Prepare REDD stakeholders' profile for the three districts (N)	REDD stakeholders' profile prepared and endorsed in districts					To be undertaken by a consultant under the close monitoring and supervision of DFO, Pas, RIC and ICIMOD
		Establish REDD working group functioning in 3 districts (N)	3 REDD working groups formed and functional at district level; meeting minutes.			[Myanmar]: Formation of REDD working groups (at least 3) and meetings conducted (at least 12)	[Myanmar]: REDD working group ToRs; minutes/ reports of the meetings held	As envisioned by the ER-PIN

REDD+ Himalaya operational plan 2015–2016

Output	Output indicator	Activity name	Deliverable	Activity 2015	Deliverable 2015	Activity 2016	Deliverable 2016	Details
		Establish district-level REDD desk (learning centre) in the three districts (N)	ToR developed for REDD desk in 3 districts			[Nepal]: DFCC /REDD Desk Support	[Nepal]:	Room set up, furniture, prefab room installed where necessary for 3 REDD offices, one in each district
		Reconstruction post-earthquake (N)	Reconstruction work assisted in Dolakha and Gorkha					DFO and FECOFUN will identify reconstruction activities for REDD stakeholders in the districts in consultation with District Administration Office
		Gap analysis in line with the Readiness Preparation Proposal (R-PP) structure (Myanmar): (BMUB Activity 3.4)						

REDD+ Himalaya operational plan 2015–2016

Output	Output indicator	Activity name	Deliverable	Activity 2015	Deliverable 2015	Activity 2016	Deliverable 2016	Details
Output 4 South-South cooperation	Output indicator 4.1 (see Overall outcome indicator 4 GIZ/ICIMOD) Output indicator 4.1) x representatives from all four partner countries meet at least once a year between 2015 and 2019 to exchange experience and make joint field visits, organized by ICIMOD	Annual regional forums on exchanging experiences of good REDD+ practices: (BMUB Activity 4.1 ICIMOD)	One meeting in 2–7 November 2015 on safeguards in Kolkata	[India]: Presentation at COP21	[India]: Side event hosted in India Centre			
		Compilation of experience in a special series of publications by ICIMOD: 'Regional Best Practices of REDD': (BMUB Activity 4.3 ICIMOD)						

REDD+ Himalaya operational plan 2015–2016

Output	Output indicator	Activity name	Deliverable	Activity 2015	Deliverable 2015	Activity 2016	Deliverable 2016	Details
	Output indicator 4.2 A regional working group is set up (by ICIMOD) by February 2017 for at least two topics; the group meets annually to share knowledge and experience (e.g., REL/RL formulation, social/environmental standards, monitoring of biodiversity, calculation of carbon stocks)	Targeted peer-to-peer exchange on specific topics: (BMUB Activity 4.2 ICIMOD)						
	(Regular) General activities							

REDD+ Himalaya operational plan 2015–2016

Output	Output indicator	Activity name	Deliverable	Activity 2015	Deliverable 2015	Activity 2016	Deliverable 2016	Details
		Monitoring at country level		Prepare for monitoring: responsibilities, formats, deliverables, schedules		Send monitoring data and analyses to ICIMOD by the end of February and August	Monitoring data and analyses	
		Monitoring at regional level (ICIMOD)		Advise focal points on monitoring requirements: responsibilities, formats, deliverables, schedules		1. Remind focal points 1 to 2 months before delivery date 2. Analyse, comment, and summarize monitoring data received by national focal points 3. Take action if needed 4. Prepare monitoring report	1. Analysis, comments, and summary of monitoring data 2. Report on action taken (where needed) 3. Monitoring report	
		Implementation and monitoring of Communication Strategy at regional level (ICIMOD)		1. Screen activities of communication strategy 2. In case of overlaps with this operational plan, summarize in one of these plans 3. Implement	Streamlined/merged activities	1. Monitor implementation of communication strategy at least quarterly. 2. Plan and implement required ICIMOD activities (X)	Communication report every six months	

REDD+ Himalaya operational plan 2015–2016

Output	Output indicator	Activity name	Deliverable	Activity 2015	Deliverable 2015	Activity 2016	Deliverable 2016	Details
				and monitor communication strategy				
		Implementation of communication strategy at country level		Implement communication strategy at country level according to relevant tables (see separate communication plan)	See country-related activities in communication plan	Implement communication strategy at country level according to relevant tables	See country-related activities in communication plan	
		Develop milestones at country level (ICIMOD and focal points)		Develop milestones at country level for 2015 and 2016	Milestones at country level are available	Check milestones	See separate communication plan	
		Activities review (ICIMOD)		Monthly/ bimonthly review of country activities by country manager at ICIMOD		Monthly/ bimonthly review of country activities by country manager at ICIMOD		

Annex 5. Partnership strategy for REDD+ Himalaya

Introduction

The first regional workshop and meeting of the REDD+ partners was convened by ICIMOD from 21 to 25 September 2015. The second day was used to discuss the partnering approach and developing some guiding principles for the REDD+ partnership. The representative organizations from the four partner countries were:

1. Bhutan: Watershed Management Division/Department of Forest and Park Services, Ministry of Agriculture and Forests
2. India: Ministry of Environment and Forests, represented by the Indian Council of Forestry Research and Education (ICFRE)
3. Myanmar: Ministry of Environmental Conservation and Forestry
4. Nepal: Ministry of Forests and Soil Conservation, REDD Implementation Centre

The workshop approach

The Partnership Brokers Association shared some of the frameworks that guide partnerships and explained how partnership brokering has evolved from the practices of several partnership brokers over the years. In the workshop, efforts were made to locate such frameworks in the REDD+ partnership context, so that the partner representatives could relate them to their experiences and review them in that context. One of the key purposes of the workshop was to create an environment in which the partners could relate to each other as collaborators and begin to open up about their strengths and challenges. This was an initial step towards imbibing the partnering principles of equity, transparency, and mutual benefit. The partners also worked on framing some behavioural guidelines for the REDD+ partnership. A set of guidelines was produced, but there is a need for further discussions about these in order to finalize them and make them ready for adoption by REDD+ Himalaya.

Observations

Some of the participants were exposed to partnering concepts for the first time. These concepts generated considerable enthusiasm among the participants, who began to relate to each other less formally, and the interactions became relaxed and jovial. However, the participants represent organizations that are quite complex, mostly government ministries and government institutions, and have varying degree of influence over their organizations.

The patterns of responses to the principles that they framed in the group work can be taken to be indicative of their level of preparedness for collaborative action. Significantly, there were very high votes for some of the behavioural aspects of the values of equity, transparency, and mutual benefit. These values were shared with the participants during orientation, but during the group work they were free to define their own values. One of the groups came up with integrity in addition to these three. However, it was not further defined in terms of behavioural practices. The two principles that received 14 votes (100% of votes) were:

- Transparency, fairness, and quality (these are values rather than guidelines)
- Share and help each other benefit from the programme (mutual benefit)

These were closely followed by three others, which received 13 votes (all three are guidelines for communication):

- Information should be shared in a way that is easily understandable by different levels of users
- Communication should be simple and clear
- Information should be verified before sharing so that it is reliable

The focus of the group is very clearly on transparency, sharing, and communication. Some of the other guidelines that received 10+ votes were:

1. Transparency:

- Make clear your agenda, objectives and expectations
- Be clear about financial transactions
- Ensure transparency about sharing resources

2. Equity:

- Allocate roles and responsibilities, as well as resources, on the basis of a fair and objective assessment of strengths – the partner best suited for a role should be enabled to play that role
- Continuously promote clear understanding of issues and guidelines – check how far they are clear
- Ensure that programme goals are co-evolved among partners

3. Accountability and sharing responsibilities

- Co-create clear terms of reference for roles and responsibilities
- Develop a timeline based on consultations among partners and finalized these on the basis of agreement among partners

4. Synergies

- Promote synergies through face-to-face meetings and cross visits
- Adequate emphasis should be given to documentation and knowledge sharing

5. Risk sharing and addressing challenges

- Be open about challenges – discuss them and do not keep them to yourself until it is too late
- Customize guidelines
- Develop understanding about the vulnerabilities and capabilities of partners

The decision-making guidelines are a bit weak, and it could be that the group is not yet ready to tackle more contentious issues. While one can observe repeated reinforcement of the principles of fairness and transparency regarding resource sharing, the group preferred to keep decision-making principles very general and at the level of effective communication of decisions. Principles such as co-creating decision-making matrix received less than 10 votes.

However, the guidelines for transparency and allocating roles, responsibilities, and resources equitably and on the basis on the respective strengths of partners are good enough starting points to build the partnership. There also seems to be an urgency to clarify the respective protocols and an indication that the guidelines may have to be customized. However, customization of guidelines can only be made based on a clear definition of decision making principles.

Recommendations

1. The guiding principles

First, in order to embed the guiding principles in partnering behaviour, the implications of the principles need to be revisited and synthesized so that partners are clear on what each means for them. Second, there should be a mechanism through which these principles are endorsed by the partner organizations. The principles are best reflected in a collaboration agreement. However, letters of agreement are already being processed. The partners may not be ready or willing to get into a further collaboration agreement right now (this is an assumption that needs to be checked). The mechanism for getting organizational buy-in from each country should be discussed with the partner representatives.

2. There should be some thinking around how the REDD+ management and programme processes can actually demonstrate equity, transparency, and mutual benefit.

For instance, regarding the criteria for decision making about the allocation of funds – can it be co-evolved and made transparent? This does not necessarily mean that each partner has to participate in making final decisions regarding the allocation of funds, but that the principles and basis for taking such decisions are co-evolved by all partners. It also means that the rationale for taking the decisions may have to be explained to the partners. Other questions include: Can the partnering documents/instruments reflect both a strong common purpose and the individual goals or drivers? How can we create synergies to enable partners to help one another? For instance, can ICFRE in India help Myanmar develop high-level technical capacities? Can ICIMOD link them to other programmes that can support higher studies for government personnel from Myanmar?

3. Partner representatives at the workshop seemed to prioritize being open about challenges and vulnerabilities.

How can this actually be promoted? They also emphasized informal communication. What implications does this have for the communication strategy?

4. It may be useful for ICIMOD to reflect on how best it can engage with the partners in the best interests of the partnership and the programme.

As ICIMOD has embraced the partnership strategy, what implications does it have for managing a programme like REDD+, in terms of allocating resources, reviewing and monitoring, and governance arrangements?

Immediate next steps

- Share the workshop presentation and the compilation of guiding principles with all participants.
- Discuss the implications of the principles in the next workshop and secure a level of commitment to a set of core principles. This also means that the issues that have been superficially dealt with (such as decision making) are worked through in some detail.
- Prepare an action plan, along with the partners, on how they can take the partnership forward by getting organizational buy-in for the principles.

Annex 6. REDD+ KMC Strategy 2016

Process, monitoring, update and objectives of the strategy

A consultative process with active participation (using participatory methods) by all partners and the ICIMOD REDD+ team took place from August to September 2015 to develop the KMC Strategy. The final endorsement of, and commitment to, the priorities in the strategy were given by all partners during the regional planning workshop for REDD+ Himalaya held in Kathmandu in September 2015.

The REDD+ KMC Strategy will be monitored on a quarterly basis by the REDD+ ICIMOD team to ensure on-time inputs by the partners during the year. An interim review by April 2016 is suggested to ensure that additional stakeholders are addressed adequately. Yearly updates of the REDD+KMC Strategy will be completed around the yearly regional planning workshops to ensure the review of priorities and commitments along the project implementation status.

Objectives of the strategy

- Increase the efficiency of the flow of information to, from, and among all REDD+ Himalaya partners and important stakeholders, as well as among functional committees and governance mechanisms at the national and regional levels
- Support and further the effectiveness of the activities identified in the programme implementation schedule
- Raise the public profile of the programme nationally, regionally, and globally and among the identified target audience
- Ensure effective lobbying and advocacy with diverse project stakeholders and create sustainable active regional platforms on REDD+

Structure of the strategy

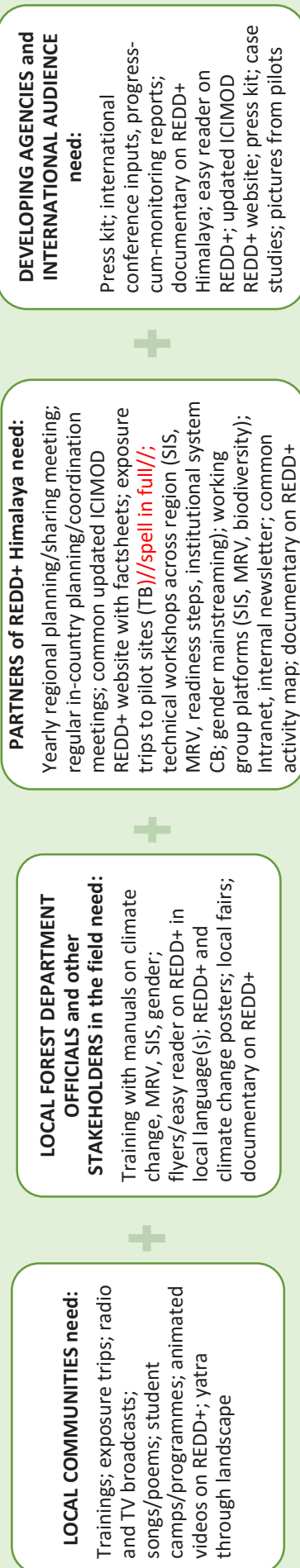
The 3-page Matrix is at the heart of the KMC Strategy. This matrix outlines the purpose, objectives, resources, and priorities (first half of 2016 and second half of 2016) of the strategy with timeline indications and responsibilities, and communication channels, as well as the strategy's relationship to the outputs, outcomes, and impact of the initiative. It also contains a first partner-mapping with main stakeholders and the communication principles in ICIMOD. Yearly updates will be undertaken.

The 3-page Operational Plan of the KMC Strategy 2016 outlines the 'what', 'how', 'who', and 'when' in respect to knowledge management and communication for the year 2016. The plan gives the ICIMOD REDD+ team a quick overview of the priorities and commitments given by partners for the year 2016 on KMC. It further allows the partners to quickly understand what knowledge products mechanisms and communication instruments have been committed and endorsed for 2016. Yearly updates will be undertaken.

<p>Purpose: To guide communication processes and media interventions of the REDD+ Himalaya within and among stakeholder groups at trans-national levels as a pre-requisite and a tool for managing change</p> <p>➔ To further the trust amongst the REDD+ partners for long term sustainable regional cooperation'</p>	<p>Objectives of the REDD+ KM&C Strategy</p> <p>O1: Increase efficiency of the flow of information to, from, and among all REDD+ programme partners and important stakeholders, as well as among functional committees and governance mechanism at the national and regional levels</p> <p>O2: Support and further the effectiveness of the activities identified in the programme implementation schedule</p> <p>O3: Raise the public profile of the programme nationally, regionally, and globally and among the identified target audience</p> <p>O4: Ensure effective lobbying and advocacy with diverse project stakeholders and build effective sustainable regional cooperation</p> <div><p>Identified key knowledge management and communication priorities in 2016</p></div>	<p>Resources:</p> <ul style="list-style-type: none">- Human resources: Dedicated communication focal points within every REDD+ partner structure & ICIMOD/GIZ REDD+ team- Financial resources: REDD+ budget allocations to partners; partners' regular budget/donor programmes; GIZ additional budget allocation
<p>Priority 1: Communication and knowledge sharing mechanism among partners (ensure by first half 2016)</p>		
<p>RESPONSIBILITY</p>		
I. Yearly regional planning and sharing meeting	➔ ICIMOD team	
II. Regular in-country planning and coordination meetings	➔ Country partners with ICIMOD/GIZ participation	
III. Common updated website with factsheets of partners	➔ ICIMOD team with partner contributions	
IV. Transboundary exposure trips to pilot sites	➔ ICIMOD	
V. Technical community-based workshops in region (SIS, MRV, readiness steps, emissions reduction, institutional systems CB)	➔ ICIMOD team supported by country partners	
VI. Working group platform (online) on SIS, MRV, biodiversity	➔ ICIMOD team-cum-country partners	
<p>Also important by second half of 2016: Intranet, email list, common activity map on website, internal newsletter</p>		
<p>Priority 2: Communication instruments for lobbying (ensure by first half 2016)</p>		
o Press kit for REDD+	➔ ICIMOD team	
o Meeting for lobbying	➔ Partners and ICIMOD team.	
o Research papers	➔ All partners	
o Progress-cum-monitoring reports	➔ All partners	

o Documentary on REDD+	→ ICIMOD with partner contributions
o Easy reader on REDD+/ flyers (English and local languages)	→ ICIMOD team and partners
Also important by second half of 2016: External newsletter, case studies, local fairs	→ ICIMOD team as initiator
Priority 3: Communication instruments for local implementation (ensure by first half 2016)	
o Training with manuals (picture series) on climate change, MRV, SIS, gender	→ ICIMOD and all relevant partners
Also important by second half of 2016: Multidisciplinary exposure trips across border, exposure trips for communities, radio/TV broadcasts, songs, poems, student camps/competitions, animated videos on REDD+, yatra through landscape	→ Research partners (identify!); ICIMOD CLS

Partner and stakeholder-related knowledge management and communication needs in 2016 and their relation to REDD+ Himalaya outputs, outcomes and impact



OUTCOME OF REDD+ Himalaya:

Institutional frameworks for socially and environmentally sound REDD readiness are improved in at least three of the four participating Himalayan countries.



IMPACT of REDD+ Himalaya:

The forest policies and institutional frameworks, including REDD+ strategies, for socially inclusive, environmentally sound and gender sensitive REDD+ readiness are improved.

ICIMOD communication principles: Working with and through partners; timely sharing of information; keeping things smart and simple; local language where needed; conceptual guidance but decentralized decision making (subsidiary principle)

Working groups	Members (additional nominations expected)	Driver	Methods	Activities for second half 2016
SIS	Bhutan – Younten, Sigyel, DG Forest; India – TP Singh, Vikram, Rawat; Myanmar – Phu Phu Kyi Thar, A Thi Ko; Nepal – Narendra Chand, Mohan KC, Mohan Poudel	Seema Bhaskar Kai	Email, Skype, face-to-face meetings	<ol style="list-style-type: none"> 1. Bhutan meetings workshop, CB 2. Safeguards on REDD+ 3. Regional Meeting in Kolkata 2-5 November 2015 4. Technical Group, regular Skype meeting
MRV	Bhutan – Jamyang, Younten, Yogra, Dechen, Kinlay; India – RS Rawat, Tsewang Gyaltsen, RSC Jayaraj, Shilpa Gautam; Mynamar – Myat Su Mon, Win Win Nwe; Nepal – Mohan	Kai Seema	Mailing list, (WhatsApp/Skype), exchange reports	<ol style="list-style-type: none"> 1. Discuss UNFCCC guidelines; World Bank FCPF Methodological Framework 2. UNREDD MRV guidelines; 3. Standards VCS, CCBA, Gold Standards → market standards 4. Community based MMR guidelines developed & shared (Nepal)
BD	India – Ranjini Warrier, Shilpa Gautam, RSC Jayaraj; Bhutan – Myanmar – Nepal/to define	Seema Kai, Sohail	Meetings, online sharing, Skype	<ol style="list-style-type: none"> 1. Monitoring Manual, Training tools (first half 2016) 2. Sharing of Knowledge Products (second half 2016)

ROAD MAPS of Working Groups for 2016

Annex 7: Update on the international negotiations on REDD-plus under the UNFCCC -key outcomes since COP 11

United Nations Framework Convention on Climate Change


Update on the international negotiations on REDD-plus under the UNFCCC - key outcomes since COP 11

First Regional Meeting of Partners on
"Developing strategies for Communication, partnership and Monitoring
of the Regional Programme: REDD+ Himalayas"
Kathmandu, Nepal, 21–26 September 2015


 **Jenny Wong, Programme Officer**
Mitigation, Data and Analysis Programme, UNFCCC secretariat,

Content

- Introduction: Status of negotiations
- Methodological guidance by the COP
- Next Steps on implementation
- Outlook Post-2020 for REDD+
- Useful link




Introduction: Status of negotiations – COP 11 to COP 21



Introduction: Status of negotiations


□ The UNFCCC process, through the consideration of REDD-plus, has:

- Acknowledged the contribution of emissions from deforestation and forest degradation to global anthropogenic GHG emissions;
- Affirmed that Parties should collectively aim to slow, halt and reverse forest cover and carbon loss, in accordance with national circumstances, consistent with the objective of the Convention;
- Recognized the importance of adequate and predictable financial and technology support for REDD+ implementation
- Recognized the complexity of the problem with multiple drivers;
- REDD-plus recognized as a cost-effective option for mitigation, with economic, social and other environmental co-benefits (e.g. conservation of biodiversity and water resources).




Introduction: Status of negotiations – Decisions on REDD+

- Proposal by governments of PNG and Costa Rica calling for the COP (11th session, Montreal, 2005) to consider possible approaches for addressing emissions from deforestation
- Parties at COP11 agreed to launch process for consideration of REDD+, starting at SBSTA 24 (June 2006)
- The COP adopted **6 decisions** on REDD-plus between **2007 and 2012** (basis for REDD-plus readiness activities)
- Important milestones for REDD-plus in Bali (COP 13, decision 2/CP.13) and Cancun (COP 16, decision 1/CP.16)
- At COP 19, **7 decisions** adopted as the **Warsaw Framework for REDD-plus** – providing the methodological guidance and financing framework
- SBSTA 42 (June 2015) agreed on **3 draft decisions** for adoption at **COP 21** (Paris) –completing the work on methodological guidance




Introduction: Status of negotiations



Warsaw Framework for REDD-plus

- **9/CP.19** Work programme on results-based finance to progress the full implementation of the activities referred to in decision 1/CP.16, para 70
- **10/CP.19** Coordination of support for the implementation of activities in relation to mitigation actions in the forest sector by developing countries, including institutional arrangements
- **11/CP.19** Modalities for national forest monitoring systems
- **12/CP.19** The timing and frequency of presentations of the summary of information on how all the safeguards referred to in decision 1/CP.16, appendix I, are being addressed and respected
- **13/CP.19** Guidelines and procedures for the technical assessment of submissions from Parties on proposed forest reference emission levels and/or forest reference levels
- **14/CP.19** Modalities for measuring, reporting and verifying
- **15/CP.19** Addressing the drivers of deforestation and forest degradation



Introduction: Status of negotiations

- At SBSTA 42 (June 2015), the SBSTA completed its consideration and work on methodological guidance for REDD+ implementation
- 3 draft decisions will be forwarded to COP 21 (Paris) for adoption:
 - i. Further guidance on ensuring transparency, consistency, comprehensiveness and effectiveness when informing on how the safeguards are being addressed and respected;
 - ii. Alternative policy approaches, such as joint mitigation and adaptation approaches for the integral and sustainable management of forests;
 - iii. Methodological issues related to non-carbon benefits resulting from REDD+ implementation



Methodological guidance by the COP



COP 15 (Copenhagen): Decision 4/CP.15

- ❑ At COP 15, preliminary methodological guidance for REDD+ was adopted
- ❑ In implementing REDD+ activities and building experiences through demonstration activities, the COP requested developing countries to:
 - Identify the drivers of deforestation and forest degradation and the means to address these;
 - Identify activities within the country that results in reduced emissions and increased removals;
 - Use the most recent IPCC guidance and guidelines as a basis for estimating emissions and removals;
 - Establish robust and transparent national forest monitoring systems and if appropriate, sub-national systems
 - Use a combination of remote sensing and ground-based forest carbon inventory
 - Provide estimates that are transparent, consistent and as far as possible accurate
 - The results are suitable for review



Decision 1/CP.16 (Cancun Agreements): Framework of REDD+

- **Decision 1/CP.16:** A decision providing a framework for the implementation of REDD-plus was adopted together with a package of decisions as part of the Cancun Agreements.
- **Scope of REDD-plus (5 activities making up REDD-plus)**- Developing countries are encouraged to contribute to mitigation actions in the forest sector through:
 - Reducing emissions from deforestation;
 - Reducing emissions from forest degradation;
 - Conservation of forest carbon stocks;
 - Sustainable management of forests;
 - Enhancement of forest carbon stocks.



Decision 1/CP.16 (Cancun Agreements): Framework of REDD+

- ❑ **In implementing these REDD-plus activities, developing countries need to develop: (core elements to be in place)**
 - a) A national strategy or action plan;
 - b) A national forest reference emission level and/or forest reference level or, if appropriate, as an interim measure, subnational forest reference emission levels and/or forest reference levels;
 - c) A robust and transparent national forest monitoring system with, if appropriate, subnational monitoring and reporting as an interim measure;
 - d) A system for providing information on how the safeguards are being addressed and respected.



COP 19 (Warsaw): The Warsaw Framework for REDD-plus (WFR)

- The WFR provided the guidance package on methodologies and financing for REDD+ implementation
- The WFR provided methodological guidance for the core elements of REDD+ implementation, including guidance on:
 - i. Development of national forest monitoring systems;
 - ii. Timing and frequency of providing information on the safeguards;
 - iii. Technical assessment of forest reference emission levels;
 - iv. Measuring, reporting and verifying (MRV) of REDD+ results, in the context of results-based payments;
 - v. Addressing the drivers of deforestation
- The WFR also provided guidance relating to the financing of REDD+ actions and activities, including guidance to the financing entities and on the coordination of support



COP 19 (Warsaw): The Warsaw Framework for REDD-plus (WFR)

- ❑ **Decision 9/CP.19:** COP guidance on results-based finance to progress the full implementation of REDD-plus
- Decision provided an **important signal** that results-based actions are taken in the context of **adequate and predictable support** (both financial and technology support) for **all phases of actions and activities** relating to REDD-plus

Guidance to entities financing activities relating to REDD-plus

- Key role for the GCF
- Financing from a wide variety of sources
- Collectively channel adequate and predictable results-based finance in a fair and balanced manner
- View to increase number of countries to receive results-based payments
- Apply methodological guidance of relevant REDD+ decisions



COP 19 (Warsaw): The Warsaw Framework for REDD-plus (WFR)

❑ **Decision 10/CP.19: Coordination of support, including institutional arrangements**

- Decision identified needs and functions to address issues related to coordination of support for implementation of REDD-plus
- The COP
 - Invites interested Parties to **designate national entity or focal point** to serve as liaison with secretariat and bodies under the Convention, on coordination of support
 - Encourages national entities /focal points, Parties and relevant entities financing REDD-plus to meet, on a voluntary basis, to discuss needs and functions
 - Outcomes of 1st and 2nd meetings: <http://unfccc.int/8784>
- SBI 47 (2017) to review outcomes of these meetings



Next steps on implementation – core elements



Implementation in phases (Decision 1/CP.16)

□ Activities should be **implemented in phases**:

- (*Starting with*) Development of national strategies or action plans, policies and measures and capacity-building;
 - Implementation of national policies and measures and national strategies or action plans that could involve further capacity-building, technology development and transfer and results-based demonstration activities;
 - Results-based actions that should be fully measured, reported and verified.
- Choice of starting phase depends on specific national circumstances of each developing country Party.



Guidance on core elements: NFMS

□ **National forest monitoring systems (NFMS) (Decision 11/CP.19)**

- Subnational monitoring and reporting as an interim measure
- NFMS in line with IPCC guidance and guidelines, and in the context of adequate and predictable support
- Provide data and information that are transparent, consistent over time, and suitable for MRV
- Building upon existing systems while being flexible and allowing for improvement, reflecting the phased approach



Guidance on core elements: Safeguards for REDD+ implementation

□ **Guidance on safeguards:** Decisions 1/CP.16, 12/CP.17, 12/CP.19, x/CP.21

- When implementing REDD+, several safeguards should be promoted and supported:
 - Governance and transparency related safeguards;
 - Socio-economic safeguards (e.g. respecting rights and effective participation of indigenous peoples and local communities)
 - Biodiversity safeguards (e.g. conservation of natural forests)
 - Addressing risks of reversals and displacement safeguards
- Full set of safeguards in decision 1/CP.16, appendix I



Guidance on core elements: Safeguards for REDD+ implementation

□ **Guidance on systems for providing information on how safeguards are addressed and respected (decision 12/CP.17)**

- Characteristics of safeguard information systems:
 - Take into account national circumstances, recognize national sovereignty and legislation;
 - Respect gender considerations;
 - Provide transparent and consistent information accessible to all stakeholders;
 - Allow for improvements over time;
 - Be country-driven and implemented at national level;
 - Build upon existing systems.



Guidance on core elements: Safeguards for REDD+ implementation

□ **Provision of summary of information on safeguards:** Decisions 12/CP.17, 12/CP.19, x/CP.21

- Timing and frequency of the summary of information:
 - Provided periodically, throughout the implementation of REDD+ activities;
 - Be included in the national communications or communication channels agreed by the COP
 - Be provided, on a voluntary basis, on the REDD+ web platform;
 - Start providing summary of information after the start of REDD+ implementation;
 - Frequency of subsequent presentations should be consistent with the provisions of national communications and on a voluntary basis, on the web platform.
- Decision x/CP.21 provides additional guidance on elements to be included in the summary of information



Guidance on core elements: Forest reference emission levels

□ **Guidance on forest reference emission levels (FREL)/forest reference level (FRL):** Decisions 12/CP.17, 13/CP.19

- Developing FREL/FRL:
 - A benchmark for assessing a country's performance in implementing REDD+;
 - Shall maintain consistency with the emissions and removals reported in the GHGI;
 - Countries to use a "step-wise" approach and to improve their reference level over time (better data, improved methodologies)
 - Sub-national FREL/FRL possible as an interim measure
 - Submission is on a voluntary basis
- Decision 12/CP.17, annex provides the guidelines for submissions of FREL/FRL



Guidance on core elements: Forest reference emission levels

□ **Guidance on Technical assessment** of proposed FRELs/FRLs

- Each submission of proposed FREL and/or FRL subject to a technical assessment
- Submission is on voluntary basis and in the context of results-based payments
- Objectives of technical assessment:
 - Assess the degree to which information provided is in accordance with guidelines in decision 12/CP.17, annex
 - Offers a facilitative, non-intrusive, technical exchange of information on construction of FRELs /FRLs



Guidance on core elements: Forest reference emission levels

- Decision 13/CP.19 provides guidelines and procedures for the technical assessment of submissions from Parties on FRELs and/or FRLs
 - Scope of technical assessment
 - Procedures for technical assessment
 - Composition of assessment team/role and responsibilities
 - Timing (assessments organized once a year)
- Assessment team will conduct thorough and comprehensive technical assessment and prepare a report (publication on web platform)
- Technical assessment coordinated by the secretariat



Guidance on core elements: MRV and results-based actions

- **Guidance on MRV of REDD+ results:** Decision 14/CP.19 (Modalities for MRV)
- MRV of emissions and removals, forest carbon stock and forest area changes resulting from REDD-plus:
 - Consistent with 4/CP.15 and any guidance on the MRV of NAMAs
 - Data and information be transparent and consistent over time and with established FRELs/FRLs
 - Data and information improved over time
 - Results expressed in tCO_{2eq}/year



Guidance on core elements: MRV and results-based actions

- Reporting of REDD+ results
 - When seeking payments for results-based actions – supply report through BUR + a technical annex with data and information on the results
 - Guidelines for elements to be included in technical annex contained in annex of 14/CP.19
 - Results of implementation measured against an assessed FREL/FRL
 - Technical assessment of REDD+ results in conjunction with the technical analysis of BURs
 - Technical assessment by 2 LULUCF experts – experts will produce a technical report;
 - Report will identify areas for technical improvement and capacity-building needs



Guidance on core elements: Drivers of deforestation

- **Guidance on addressing drivers** of deforestation and forest degradation (decision 15/CP.19)
- Encourages Parties, organizations and the private sector to take action to reduce the drivers
 - Also encourages to continue work to address drivers, and to share information
 - Further encourages developing country Parties to take note of the information shared



Guidance on core elements: Accessing financing for REDD+ actions

- **Guidance for obtaining and receiving results-based payments** (decision 9/CP.19)
- Actions should be fully MRV'ed
 - Should have all elements in 1/CP.16, para 71, in place (e.g. FREL, NFMS, national strategy, safeguards)
 - Provide most recent summary of information on how all safeguards have been addressed and respected



Opportunities for regional cooperation in REDD+ implementation

- Several COP decisions have recognized/encouraged strengthening collaboration between countries/between countries and international organizations, enhancing capacities to address technical and institutional requirements, integrating and coordinating efforts to avoid duplication and sharing of lessons learned and experiences gained
- Several notable examples of cooperation and collaboration between countries in a region in their REDD+ actions – e.g. COMIFAC, ASEAN, Latin American countries, Southern African Development Community
- In building cooperation and collaboration on REDD+ actions within a region, countries could consider, for example:
 - Sharing data and information (e.g. on drivers, technical data)
 - Sharing lessons learned (e.g. how challenges to implementation were overcome) and experiences gained – addressing common issues as a region;
 - Sharing technical resources and capacities (e.g. expertise in remote sensing, forest monitoring, GHG inventories) and good practices – building an expert network;
 - Making joint submissions to the UNFCCC process.



Outlook Post-2020 for REDD+



Essential elements and the path to COP 21

- Some essential elements for effective implementation of REDD+
- The COP:
- Recognizes the importance and necessity of adequate and predictable financial and technology support for broad participation in the implementation of REDD+
 - Also recognizes that there is an urgent need to scale up and improve the coordination and effectiveness of finance for all phases of REDD+ implementation, leading towards results-based actions;
 - Encourages Parties (particularly those in a position to do so) to support capacity-building, provide technical assistance and facilitate the transfer of technology, to strengthen capacities to collect, analyse and interpret data and information;
 - Also recognizes the need to address institutional needs of REDD+ implementation, in the context of support;
 - Encourages Parties to share lessons learned and experiences gained from implementation and relevant organizations to enhance synergies in actions taken.



The path to COP 21

- ❑ Governments are in the **process of developing a protocol, another legal instrument or an agreed outcome with legal force** under the Convention – to be adopted in Paris at COP 21
- ❑ Success rests on 4 pillars:
 - A **universal climate agreement** under the Convention for 2020 onwards;
 - **Intended nationally determined contributions (INDC)** to the objective of the Convention
 - **Scaled-up finance** in support of action by developing countries
 - **Scaled-up cooperative action** with participation of all levels of Governments, the private sector and a broad range of stakeholders



The path to COP 21

- COP 19 (1/CP.19) requested Parties to initiate or intensify preparations for their intended nationally determined contributions (INDCs)
- INDCs to be submitted well in advance of COP 21, without prejudice to the legal character
- INDCs published on website:
INDC Portal: <http://unfccc.int/focus/indc_portal/items/8766.php>
- To date (15 Sept):
 - No of INDC received: 33, representing submissions of 61 Parties (70% of share of emissions)
 - Developed countries: 40 (94% of share of emissions)
 - Developing countries: 21 (55% of share of emissions)
 - Mention of land use and forests by most of the Parties that submitted – the importance of forest and land use in the context of mitigation and adaptation to climate change



Land use in the negotiating text for COP 21

- ❑ The "Geneva text" includes a number of proposals related to land use, which have not yet been negotiated. Without prejudging any negotiating outcome, examples from the negotiating text include:
 - Pre-ambular provisions recognizing the special characteristics of land use systems
 - General principles, e.g. on the importance of emissions/removals from LULUCF activities
 - Accounting principles
 - Forest financing to be adequate, predictable and sustainable
 - The Warsaw Framework for REDD+
 - Institutional arrangements for REDD+ coordination of support
 - Alternative policy approaches such as joint mitigation and adaptation approaches for the integral and sustainable management of forests



Useful link: The REDD+ web platform



The REDD web platform – sharing of information and experiences

- The COP, in decision 2/CP.13, requested the secretariat to develop a **Web Platform** where information submitted by Parties, relevant organizations and stakeholders will be made available;
- The COP and the SBSTA continue to remind and encourage Parties, organizations and stakeholders to share information on activities relating to REDD-plus via the web platform on the UNFCCC website;
- The COP/SBSTA also encouraged the following information could be provided through the platform:
 - Developing country Parties and observer organizations to share their experiences and lessons learned from the development of systems for providing information on how all of the safeguards are being addressed and respected and the challenges faced;
 - Summary of information on how safeguards have been addressed and respected, provided on a voluntary basis, on the platform;
 - All Parties, organizations, the private sector and other stakeholders to share results of their work on addressing drivers of deforestation and forest degradation.

•Weblink: <unfccc.int/redd>



Concluding remark

Thank you for your attention!

Questions? jwong@unfccc.int

Websites:

1. <http://unfccc.int/7377>
2. <http://unfccc.int/4531>



Annex 8: Participant list

First Regional Workshop on
Developing Strategies for Communication, Partnership and Monitoring of the
Regional Programme: REDD+ Himalayas
21-28 September 2015
Kathmandu Nepal

Participants List

S.N.	Name of Participant	S.N.	Name of Participant
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1	Mr. Jamyang Specialist Soil and Plant Analytical Laboratory NSSC, Department of Agriculture	2	Mr. Yograaj Chhetri Research Officer Research and Development Centre Department of Forest and Park Service Thimphu, Bhutan
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22	Mr. Resham Dangi Director General Department of Forests and Soil Conservation	23	Mr. Baburam Bhandari Joint secretary Department of Forest Hattisar, Kathmandu
24	Mr. Prakash Mathema Director General Department of Forest Research and Survey Kathmandu, Nepal	25	Mr Tika Ram Adhikari Director General Department of National Parks & Wildlife Conservation Ministry of Forests and Soil Conservation Government of Nepal Singh Durbar, Kathmandu, Nepal Tel No.+977-1-4227926,4220850 Cell No. +977-9851053998 Email: tikaramadhikari.cw@gmail.com
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