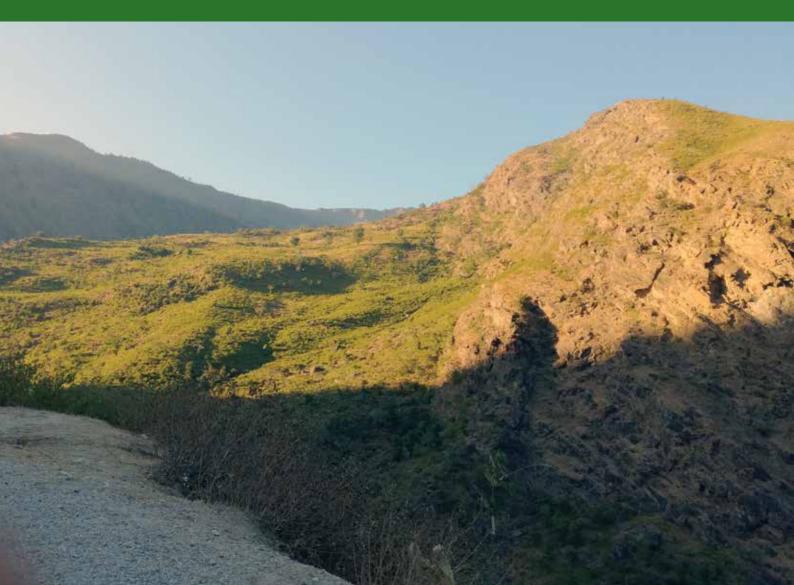


FOR MOUNTAINS AND PEOPLE

Moving from Readiness to Implementation: Developing Sub-National REDD+ Action Plans in Nepal and Vietnam



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The International Centre for Integrated Mountain Development, ICIMOD, is a regional knowledge development and learning centre serving the eight regional member countries of the Hindu Kush Himalaya – Afghanistan, Bangladesh, Bhutan, China, India, Myanmar, Nepal, and Pakistan – and based in Kathmandu, Nepal. Globalisation and climate change have an increasing influence on the stability of fragile mountain ecosystems and the livelihoods of mountain people. ICIMOD aims to assist mountain people to understand these changes, adapt to them, and make the most of new opportunities, while addressing upstream-downstream issues. We support regional transboundary programmes through partnership with regional partner institutions, facilitate the exchange of experience, and serve as a regional knowledge hub. We strengthen networking among regional and global centres of excellence. Overall, we are working to develop an economically and environmentally sound mountain ecosystem to improve the living standards of mountain populations and to sustain vital ecosystem services for the billions of people living downstream – now, and for the future.



Moving from Readiness to Implementation: Developing Sub-National REDD+ Action Plans in Nepal and Vietnam

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Acronyms and Abbreviations

AP Action Plan

D&FD Deforestation and Forest Degradation

DRAP District REDD+ Action Plan (Nepal)

FRL Forest Reference Level

GHG Greenhouse Gas

ICIMOD International Centre for Integrated Mountain Development

IP Intervention Package

MRV Measurement, Reporting and Verification

NS REDD+ National Strategy

PAMs Policies and Measures

PRAP Provincial REDD+ Action Plan (Vietnam)

REDD+ Reducing Emissions from Deforestation and Forest Degradation 'plus' SFM, conservation and

enhancement of forest carbon stocks

RIC REDD+ Implementation Centre

SRAP Sub-National REDD+ Action Plan

UNFCCC United Nations Framework Convention on Climate Change

REDD+ and the Rationale for Sub-National Planning

Reducing Emissions from Deforestation and Forest Degradation (REDD+) is a global initiative developed as part of the Paris Agreement under the United Nations Framework Convention on Climate Change (UNFCCC). REDD+ aims to contribute to mitigating climate change by compensating developing countries for the cost of reducing net greenhouse gas (GHG) emissions from the forest sector. REDD+ National Strategies or Action Plans (NS/APs) can reduce GHG emissions by lowering the rate of deforestation and forest degradation (D&FD) and/or removing GHG from the atmosphere through 'forest enhancement' activities (the '+' of REDD+)¹, for example, by establishing plantations (reforestation and afforestation) and restoring degraded forest landscapes.

The difference between REDD+ and previous attempts to promote sustainable forest management and conservation is that countries must now demonstrate improvements through a reduction in the level of GHG emissions (and/ or an increase in GHG removals) in order to be eligible for financial incentives (result-based payments) under REDD+. At the same time, NS/APs should maintain and enhance social and environmental benefits of forests, and avoid negative biodiversity, governance and social impacts by meeting a set of safeguards developed as part of the UNFCCC negotiations on REDD+ known as the 'Cancun safeguards'.

A NS/AP is mandatory under the UNFCCC for any country receiving international REDD+ payments; it is essential because it articulates the policies, and measures (PAMs) across several sectors, implicated in the drivers of deforestation and forest degradation (D&FD), which must be implemented for REDD+ to be successful. However, in most countries there are significant regional differences in forest ecosystems and D&FD drivers that make it essential for REDD+ planning and implementation to take place at the sub-national level. Opportunity cost for different land use is site specific and therefore there is a need to plan REDD+ at the local level for enhancing its effectiveness.

A Sub-National REDD+ Action Plan (SRAP) responds to the challenge of operationalizing the NS/AP and its component PAMs by tailoring them to address both local-D&FD drivers and the barriers to expansion of enhancement activities. SRAPs also allow for greater involvement of local stakeholders in the planning process. This stakeholder participation will also increase the transparency, ownership and social sustainability of REDD+. This paper describes the SRAP methodology and process developed in Nepal and Vietnam.

Evolution of the SRAP Process in Nepal and Vietnam

In 2013 the UN-REDD Vietnam Phase II Programme identified the need for "a comprehensive and participatory planning process at the provincial level." Accordingly, the Vietnam Programme commissioned SNV – the Netherlands Development Organization – to develop a "Participatory Sub-national Planning" methodology for REDD+ (Richards & Swan, 2014). Based on this methodology, a pilot 'Provincial REDD+ Action Plan' (PRAP) was developed for Binh Thuan Province in mid-2014. The guidance was then revised and about 30 national PRAP facilitators were trained in Vietnam in December 2014. Further PRAPs were then developed over 2015-2016 in Ca Mau, Ha Tinh, Bac Kan and Lao Cai provinces, as a core part of the UN-REDD Vietnam Phase II Programme implementation.

The second country to pilot the SRAP approach was Nepal. Chitwan District, in the lowland Terai area, was selected by the national REDD+ Implementation Centre (RIC) for capacity building in the REDD+ Readiness stage. Chitwan district falls in the Terai Arc Landscape for which RIC and WWF have prepared an Emission Reduction Project Document for the Forest Carbon Partnership Facility. Collaboration under the UN-REDD Programme between the RIC, FAO, International Centre for Integrated Mountain Development (ICIMOD) and Forest Action, a national NGO, resulted in the development of the Chitwan District REDD+ Action Plan (DRAP) during 2015-2016. This experience was replicated in Ilam district during 2017 and there are plans to develop SRAPs for three other districts in 2018. The Indian state of Mizoram and Uttarakhand has also requested ICIMOD to assist in to developing a SRAP.

¹ 'Forest enhancement activities' is used as a convenient shorthand for the three 'plus activities' of REDD+: conservation of forest carbon stocks, sustainable management of forests, and enhancement of forest carbon stocks.

The pilot SRAPs in Vietnam and Nepal were developed before the NS/APs were in place. While this was justified on the basis of piloting a new approach, sub-national planning should preferably take place after the NS/AP has been developed. This is because the SRAPs are a means to operationalize NS/APs, in accordance with specific sub-national circumstances: if national PAMs have been defined, the SRAP process can focus on identifying regional and local level interventions that implement the PAMs. Furthermore, sub-national analysis can also take advantage of national diagnostic analysis on D&FD drivers.

Methodological Basis for Developing SRAPs

The SRAP process is based on the widely used 'theory of change' approach to programme design, monitoring and impact assessment. For example, theory of change analysis is the basis for the 'Open Standards for the Practice of Conservation' (Conservation Measures Partnership, 2013), a planning methodology widely used by international environmental NGOs for planning, monitoring and evaluation of biodiversity conservation programmes. Theory of change analysis is also used in 'Poverty Impact Assessment' (OECD, 2007).²

A theory of change can be defined as a plan or hypothesis of how an intervention, such as a REDD+ PAM, will achieve its intended objectives. All programmes and projects have a theory of change, but it is not always made explicit. As with any theory it is based on cause-and-effect assumptions that proponents of the plan hope will hold true. Therefore, the theory of change approach places strong emphasis on cause-and-effect analysis through the use of 'problem trees' and 'solution trees' (or results chains). This encourages the identification of strategic and cost-effective REDD+ PAMs.

A key advantage of the theory of change approach is that it is intuitive and relatively easy to understand, and is therefore conducive to stakeholder participation. A 'participatory theory of change approach' was developed by Forest Trends and other NGOs for the social and biodiversity impact assessment of REDD+ projects (Richards & Panfil, 2011), and has been adapted to other natural resource management contexts. This approach was also endorsed in a USAID review of methods for socioeconomic impact assessment of REDD+ programmes (Kathleen, 2013).

Another benefit of the theory of change approach is that it can generate monitoring indicators with a good level of explanatory power or attribution:³ a review of use of the theory of change approach in development by DFID has noted that it "provides the basis for collecting evidence, checking other possible explanations as counterfactuals and presenting a case from which cause can be reasonably inferred and linked back to the programme" (Vogel, 2012).

The SRAP methodology is not a stand-alone approach, but is designed to complement technical or quantitative planning processes. Spatial analysis has an integral role in the SRAP process. In some of the PRAP pilot provinces of Vietnam, the UN Environment World Conservation Monitoring Centre (UNEP-WCMC) supported the spatial analysis of multiple REDD+ benefits in stakeholder workshops. These experiences resulted in a guide to spatial analysis and mapping of multiple benefits in the SRAP process (Hicks, Ravilious & Nguyen, 2016). UNEP-WCMC has also developed spatial analysis training materials, including for identification of REDD+ interventions (Ravilious, Hicks & Blyth, 2017).

Outline of the SRAP Process

The SRAP process, as piloted in Nepal and Vietnam, involves five main stages: PREPARE, ANALYSE, PLAN, MONITOR and BUDGET (see Figure 1). The sequence of stakeholder workshops (SW) and expert group workshops (EW) is set out in relation to the five SRAP stages outlined in Figure 2.

² See also: http://www.cgiar-ilac.org/content/theory-based-evaluation; http://monitoring.cpwf.info/background/theory-of-change; and Vogel 2012.

³ Showing attribution is arguably the biggest challenge for any kind of impact assessment, monitoring or evaluation (M&E). Theory of change based M&E is a less complex and more participatory approach to attribution than high cost 'quasi-experimental' statistical methods that are inappropriate for 'ex ante' planning situations.



Figure 1: Stages, workshops and other key steps in the SRAP process

A Prepare

- Build sub-national ownership and identify core planning team
- Preparatory contextual analysis for problem analysis workshop including spatial analysis
- Selection and training of workshop facilitators
- Selection and capacity building of workshop stakeholders participants

B Analyse

- Participatory analysis of deforestation and forest degradation (D&FD) drivers and barriers to forest enhancement activities (problem trees)
- Field verification visits to 'hotspots
- Development of solution trees in response to D&FD drivers and barriers to enhancement activities

C Plan

- Identification of sub-national REDD+ intervention packages
- Feasibility analysis of intervention packages
- Safeguards analysis of intervention packages (risk and benefits analysis)

D Monitor

• Identify indicators and develop monitoring plans for 'proxy indicators' of REDD+ outcomes for implementation of intervention packages, and for risk reduction and benefit enhancement measures

E Budget • Detailed activity planning and budgeting: 5 year operational plan

It is important to note that the SRAP process is not presented as an alternative to more technical or quantitative planning approaches; rather it is meant to complement, and be integrated with, more technical or quantitative planning methods. For example, spatial analysis has an integral role in the SRAP process. In Vietnam, multistakeholder workshops in several provinces were helped by spatial analysis teams supported by the United Nations Environment Programme-World Conservation Monitoring Centre (UNEP-WCMC). This also resulted in online publication of guidance on using spatial analysis in the SRAP process (Hicks et al., 2016).

Description of the SRAP Stages

Stage A: Prepare

The main aim of the preparation stage is to ensure that workshop participants are as well-informed as possible, since this will improve the quality of 'meaningful' participation and, consequently, the quality of the outputs. This stage of the SRAP process involves the following tasks:

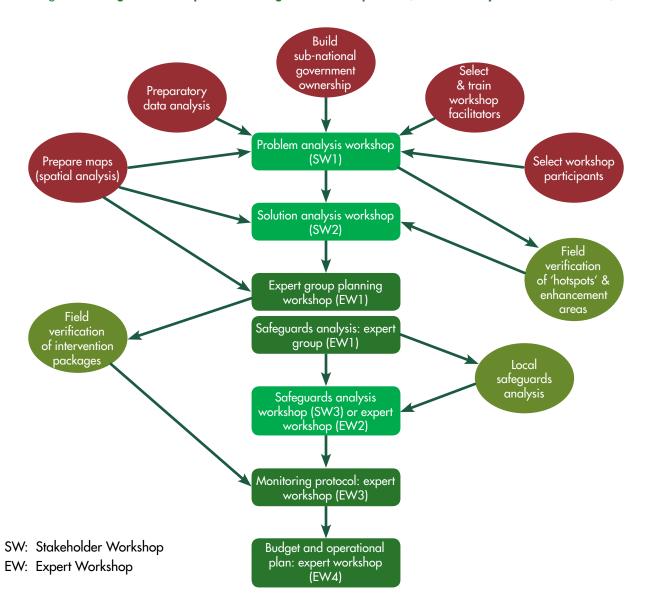


Figure 2: Stages, workshops and meetings in the SRAP process (based on May 2016 Draft Manual)

- Building strong ownership of the SRAP process by sub-national governments;⁴
- Collating available sub-national data on D&FD drivers and barriers to enhancement activities, and sub-national
 analysis of the national-level conceptual models (or problem trees) developed in the NS/AP process;
- Spatial analysis and preparation of maps for use in the workshops: these maps should include transparent overlays showing, for example, forest cover/land use, forest tenure, livelihood dependency, current project areas, biodiversity values, drivers of land use change, etc.;
- Conducting provisional stakeholder analysis based mainly on secondary data and through focus group/key informant discussions;⁵
- Selection and training of workshop facilitators: the quality of the 'working group' facilitators and how well they
 were trained are critical factors determining the quality of participation and outputs;
- Selection of workshop participants: this involves ensuring representation of various interest groups, sectors, gender, marginalised groups and ethnicity, as well as the capacity of all participants to participate effectively; and
- Capacity building of workshop participants, regarding their understanding of REDD+ and the SRAP planning processes.

⁴ A review workshop of five Vietnamese PRAPs (UN-REDD Programme Vietnam 2016) found that weak provincial government ownership of some of the PRAPs was a serious constraint, and resulted in weak leadership, limited participation of senior staff at the workshops, and weak inter-sectoral collaboration. Conversely strong ownership of the Ca Mau PRAP resulted in good quality outcomes.

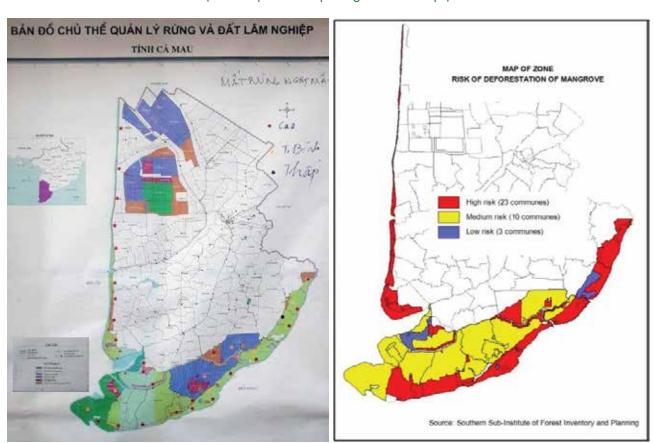
⁵ Alternatively, participatory stakeholder analysis can be conducted in the first multiple stakeholder workshop; this can be quite effective but also uses scarce workshop time.

Stage B: Analyse

The SRAP analysis stage, as piloted in Vietnam and Nepal, comprises two multi-stakeholder workshops⁶ attended by 20-30 carefully selected participants. The participants should ideally be the same for both workshops. Each workshop lasts for up to two days, with the two workshops separated by a gap of about three weeks, providing time for verification field trips and to process results from the first workshop. At the 'Problem Analysis Workshop', the first main task is to prioritise and map the DF&D hotspots and high potential areas for forest enhancement activities; for example, Figure 3 shows deforestation 'hotspots' identified in the Ca Mau Problem Analysis Workshop. Participants also rank the drivers and potential enhancement activities for their potential impact on climate change mitigation.

In the SRAP approach, normally 3-5 D&FD drivers and barriers to enhancement are prioritised as 'key challenges' that the PRAP needs to overcome. Prioritisation is required for a focused SRAP, and because resources for implementing PAMs are limited. Working groups, each of 5-8 participants, are formed to analyse each key challenge. With the help of the maps and other preparatory data, the groups develop problem trees showing the direct and underlying causes of the key challenge (e.g., Figure 4). In some cases, following the Problem Analysis Workshop, the core planning team made field trips to verify the results of this group work in the hotspot areas for identified drivers, and the proposed locations for enhancement activities.

Figure 3: Identification of deforestation hotspots in Ca Mau Province, Vietnam (workshop and computer generated maps)



Note: red, yellow and blue pins placed by workshop participants represent high, moderate and low deforestation communes; other map colours refer to forest type, rice production areas, hydrology, etc.

At the second multi-stakeholder workshop, the 'Solution Analysis Workshop', the main task is to develop 'solution trees' (or results chains) that respond to the key challenges (e.g., Figure 5). Working back from the problem trees developed at the first workshop should ensure that the REDD+ interventions derived from the solution trees have a strong cause and effect basis, and is therefore more likely to be strategic and cost-effective. In both workshops, there should be a series of 'group exchanges' in which members of different working groups make suggestions

⁶ In the case of the Chitwan DRAP in Nepal, problem and solution analysis was conducted in the first workshop, while the second workshop focused on planning and safeguards analysis. There is however a risk that participant fatigue will reduce the quality of the solution trees if these are developed at the end of a long workshop; therefore two shorter workshops are recommended.

Figure 4: Problem tree: Forest encroachment by farming and illegal settlement, Chitwan DRAP, Nepal

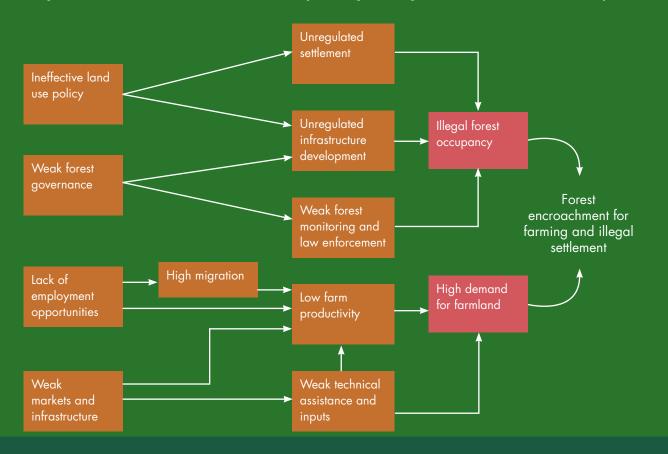
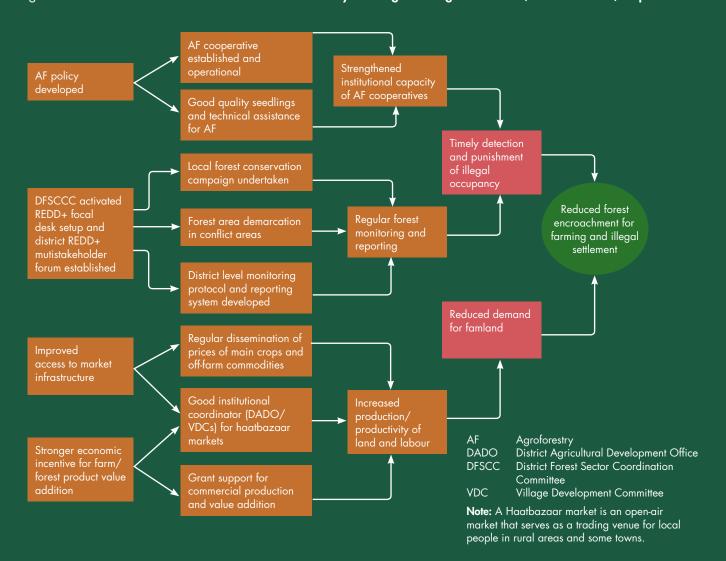


Figure 5: Solution tree: Reduced forest encroachment by farming and illegal settlement, Chitwan DRAP, Nepal



for improving the problem and solution trees. Validation and consolidation of the analysis is thereby built into the process.

Stage C: Plan (including safeguards analysis)

In both countries, the planning process at the multi-stakeholder workshop proved quite challenging (this was also true for some of the pilot SRAP initiatives). This is because the identification and specification of REDD+ 'intervention packages' (IPs) from the solution trees is not straightforward and requires intensive analysis. It is therefore felt that a more pragmatic approach is to define IPs at an 'expert group' workshop of the core planning team and workshop participants selected on the basis of their capacity revealed in the stakeholder workshops.

A working definition of an IP is: a set of interlinked activities that form a coherent strategy for counteracting a D&FD driver or barrier to expansion of an enhancement activity. Other important criteria are:

- An IP should have a direct and measurable impact on the forest resources.
- Each IP should be independent of other IPs; in other words. it should be possible to measure the separate GHG outcomes of each IP.
- Each IP should contain a strategy or incentive measure for changing the behaviour of stakeholders who are
 directly or indirectly contributing to the current problem.
- IPs should contribute to the implementation of national PAMs contained in the NS/AP.
- IPs should be cost-effective, as assessed through a feasibility analysis (see below).

Key steps in the definition of IPs are to:

- Prioritise and combine key results⁷ from the solution trees into a coherent strategy (or IP) for counteracting each
 of the prioritised 'key challenges', and that will support and complement national PAMs identified in the NS/AP.
- Identify a goal or quantitative objective for each IP.
- Identify outputs (or sub-strategies) for achieving these objectives or goals.
- Specify the activities for each output (or sub-strategy).

It is also essential to check existing plans and projects in the sub-national area to avoid duplication and maximize complementarity between IPs and existing projects or programmes, and this is also vital for the budgeting stage.

Once provisional IPs are identified, a feasibility analysis for each IP can be undertaken by the expert group. This involves identification and analysis of threats or obstacles to effective implementation, based on the likelihood of the

threat and the severity of its potential impact on the desired outcomes. Where significant obstacles are identified, feasible and cost-effective mitigation measures need to be identified and incorporated into the IP. The feasibility analysis should include an analysis of political complexity, consideration of the land use opportunity costs and IP implementation costs, and the likely effectiveness (or weaknesses) of incentive measures for changing current land use or management practices. Prioritising the IPs also requires consideration of the potential for additional emission reductions or removals against the feasibility and cost-effectiveness of implementation.

After the feasibility analysis, IPs with low inherent feasibility or reduced cost-effectiveness after incorporating the identified mitigation measures, may be recommended for removal from the SRAP. Such a decision needs to be clearly rationalized and communicated to the wider stakeholder group.

Following the feasibility analysis, safeguards analysis is required to

⁷ It is recommended that no more than six key results are prioritised from each solution tree since otherwise it will be difficult to develop a strategic and focused SRAP.



Photo 3: Conducting feasibility analysis of IPs in Chitwan District,
Nepal

assess the socio-economic and environmental risks and benefits inherent in the IPs. The objectives of this exercise are to identify both the positive and negative impacts of each IP and, similarly do the feasibility analysis, assess the likelihood and severity of impact of each risk/benefit, and the risk mitigation and benefit enhancement measures to be incorporated into the IPs (see, for example, Table 1).

Table 1: Risks analysis of actions to reduce forest encroachment, Chitwan District, Nepal^{8, 9}

IPs/activities	Risk	Likelihood of risk	Impact of risk	Risk reduction measures	
Agroforestry cooperatives established & supported	Poor/marginalised households excluded	Medium	Medium	Reserve equity share in cooperatives for target groups	
Agroforestry promoted by technical & financial assistance	Reduced traditional crop food production by poor households	Medium	Medium	Promote multi-layer agroforestry practices including traditional food crops	
	Elite capture	Medium	Medium	Expand pro-poor leasehold forestry in public and community forests	
	Biodiversity risk: hybrid/ exotic species replacing indigenous species	Medium	Medium	At least 50% of trees in AF extension/ credit packages are indigenous species	
Boundary demarcation of forest and private land boundaries in conflict areas	Relocation of poor, increased poverty & crime by evicted households	Medium	High	Vocational training for evicted households; Increased access to public land	
Grant support for diversification (through Livelihood Improvement Plans)	Elite capture: grants not received by poor households	Medium	Medium	Transparent grant approval, monitoring & reporting mechanisms	

Various approaches to safeguards analysis were adopted in the pilot SRAPs. In some cases, it was conducted in a multiple stakeholder workshop and in others through a combination of local level analysis, involving meetings with local stakeholder groups, and expert group meetings. Whether to hold a multiple stakeholder workshop depends on various factors, including the likelihood of effective participation by representatives of vulnerable stakeholder groups and women. In at least one SRAP process in Vietnam, an all-female working group was formed to assess the potential gender risks and benefits of the IPs (Photo 4).



Photos 4/5: Conducting safeguards analysis in Vietnam and Nepal

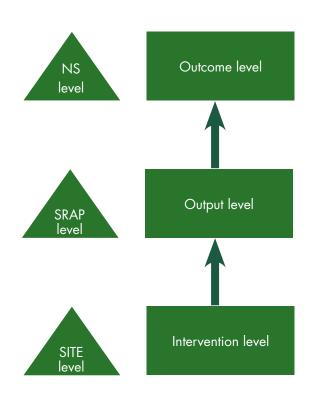
⁸ In the case of the Chitwan DRAP process, social risks were analysed separately from environmental risks. However, this separation is unnecessary: social, governance and environmental risks can be analysed together.

⁹ In safeguards analysis a similar table for 'benefits analysis' is required in which the final column will be 'benefit enhancement measures'. An example table is not included here in the interest of brevity.

Stage D: Monitor

As with the planning and budgeting stages, the monitoring stage should be conducted in an expert, or key informant, workshop. There are three main levels or scales of REDD+ monitoring as shown in Figure 6: the national or NS/AP level, the sub-national or SRAP level, and the local or IP activity implementation level.

Figure 6: Three levels of REDD+ Monitoring



- Measurement, Reporting & Verification (MRV) of GHG emissions and removals
- Safeguards Information System: aggregated SRAP safeguards data
- Other safeguard indicators, e.g., inter-regional leakage, consistency with national policies
- Monitor proxy indicators of impacts of IPs: aggregate site-level monitoring of forest cover & condition, land use changes
- Safeguard monitoring: risk reduction and benefit enhancement measures
- Monitor progress, quality/quantity of IP outputs and outcomes
- Site-level safeguard monitoring
- Participatory monitoring of governance of finance/resource disbursement

The UNFCCC does not require Measurement, Reporting and Verification (MRV) of GHG emission reductions and removals at the sub-national level, but it is essential to monitor the implementation of SRAPs, both for adaptive management and to be able to compensate or incentivise local stakeholders for their contribution to positive outcomes. As part of a SRAP, a monitoring plan should include a description of the institutional framework envisaged to carry out monitoring activities. As far as possible it is important to build on existing monitoring systems for assessing the implementation of IPs, and the impact of the PRAP as a whole, on forest-related indicators. Training local stakeholders in basic data collection can also improve the cost-effectiveness of monitoring and provide a means for validating data generated.

The first task in the monitoring stage is to identify 'proxy indicators' (e.g., changes in forest area and condition) for the GHG emission/removal outcomes of the IPs. Effective monitoring of these proxy indicators is essential for adaptive management of the SRAP: if the SRAP is not achieving the desired mitigation benefits it will need to be modified. For each indicator, a method of data collection or source of data (if the data already exists) is required. In Nepal, for example, it was decided that a cost-effective approach to recording forest biomass and condition was to train local stakeholders to collect the data and for forestry staff to undertake random sample spot checks. Monitoring plans can then be drawn up specifying, for each selected proxy indicator:

- The method(s) of data collection;
- The frequency or timing, location and relative cost of data collection; and
- Responsibilities of specific stakeholders and institutions in the data collection and monitoring process.

The cost of data collection can be highly variable between IPs, depending on whether it draws on existing monitoring processes or secondary data sources. This cost must also be factored into the budget for each IP; if the cost is high it could become another factor to consider as regards the viability of the IP and therefore inclusion in the SRAP.

A similar approach is used for monitoring the progress of implementation of the IPs, including the risk mitigation and benefit enhancement measures identified in the safeguards analysis. The monitoring indicators should be derived from quantified IP outputs and targets for the risk mitigation and benefit enhancement measures. These quantified outputs and targets are also needed for the SRAP budget.

Stage E: Budget

This stage can follow the monitoring stage directly, possibly as part of the same expert group workshop. Detailed budgeting of the SRAP is required to draw up a five-year Operational Plan that can be presented to sub-national and national government and potential development partners, who may wish to identify specific IPs for financing. Budgeting, therefore, needs to be specific, detailed and transparent. The quantitative implementation targets defined in the planning stage (and also required for the monitoring stage) are the starting point for the budgeting process, followed by a detailed breakdown of activities needed to achieve each output, tasks (within each activity) and resources needed. It is vital, as mentioned in the planning stage, to undertake a gap analysis between the IPs identified in the SRAP and activities already planned and budgeted in existing state and NGO programmes and projects, so that the SRAP budget clearly identifies the additional resource requirements.

Approval and Implementation of the SRAP

On the basis of these five stages, a full SRAP document can be submitted for approval and/or modification by subnational and national decision makers. ¹⁰ Summaries of the SRAP, in an accessible format, should also be prepared for distribution to sub-national and national interest groups. The final SRAP should document how the process has demonstrated transparent decision-making. It should therefore include the results of analyses undertaken in the multi-stakeholder workshops and expert group meetings (for example, the problem and solution trees and the feasibility/safeguards analysis tables).

Once the SRAP is approved, it should inform iterative revisions of the NS/AP. IPs within the SRAP should be implemented through a process of negotiation and agreement with the local stakeholders and forest owners whose involvement is vital for achieving the objectives. This process should adhere to the principles of Free, Prior and Informed Consent (FPIC), and the resulting agreements should clearly set out the roles and responsibilities of all parties, the schedule and conditions of any payments to be made, and a grievance mechanism to cover non-compliance with the terms of the agreement. The time and budgetary requirements of developing implementation agreements will also need to be added to the SRAP budget. The final challenge before implementation is to access funding; in most cases it is expected that this will be through a mixture of national and sub-national government, private sector and donor finance.

Conclusions

Based on the Nepal and Vietnam pilot experiences, it is proposed that the SRAP process can make a cost-effective contribution to implementing NS/AP. Specifically, the SRAP process can:

- Identify strategic and cost-effective IPs; the emphasis of the theory of change approach on cause and effect
 analysis helps ensure that REDD+ interventions are strategic responses to the D&FD drivers and to barriers to
 scaling up enhancement activities;
- Increase stakeholder ownership and transparency in the REDD+ planning process, thereby strengthening the social sustainability of the SRAP;
- Identify risk mitigation and benefit enhancement measures that enhance the multiple benefits of REDD+,
 minimise trade-offs between objectives, and demonstrate that REDD+ safeguards are addressed and respected;
- Generate monitoring indicators with a reasonable level of attribution since they are based on cause-and-effect results chains:
- Facilitate the required iterative basis of adaptive management the problem and solution trees should be
 periodically reviewed (e.g., every 3–5 years or in accordance with the country's land use planning cycles) to
 ensure that the IPs are still valid;

¹⁰ In the case of Vietnam, the PRAPs are legally underpinned and prescribed (regarding content and structure) by a government directive (MARD 5414 Ministry of Agriculture and Rural Development 2015).

- Maximise complementarity of REDD+ implementation with other provincial plans;
- Facilitate financing of the SRAP by addressing concerns of potential investors regarding rigour, viability, (local) ownership and participation; and
- Develop sub-national capacity to apply a generic planning methodology to a range of natural resource management contexts.

The SRAP pilots in Nepal and Vietnam revealed several essential ingredients for a strong SRAP process, including:

- building and achieving strong sub-national government ownership, which can also improve the vital cross-sectoral collaboration needed for REDD+;
- investing significantly in the training of workshop facilitators;
- careful selection of workshop participants; and
- the integration of spatial and participatory analysis.

The pilot SRAP experiences have demonstrated a cost-effective and replicable approach to sub-national REDD+ planning and, therefore, provided a basis for operationalising the NS/APs of Nepal, Vietnam and other countries in the region and beyond.

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