

Document of  
The World Bank

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Report No:  
105084

PROJECT PAPER

FOR

SMALL RECIPIENT EXECUTED TRUST FUND (RETF) GRANT

US\$0.77 MILLION

TO THE

MAINYOITO PASTORALISTS INTEGRATED DEVELOPMENT ORGANIZATION

FOR A

PAN-AFRICAN FOREST-DEPENDENT INDIGENOUS PEOPLES  
FOREST CARBON PARTNERSHIP FACILITY CAPACITY BUILDING PROGRAM  
ON REDD+ PROJECT

MARCH 14, 2016

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## FISCAL YEAR

July 1 – June 30

## ABBREVIATIONS AND ACRONYMS

CBP	Capacity Building Program
COP	Conference of Parties
CSO	Civil Society Organization
DGM	Dedicated Grant Mechanism
FAO	UN Food and Agricultural Organization
FCPF	Forest Carbon Partnership Facility
FIP	Forest Investment Program
FMT	Facility Management Team
FPIC	Free Prior and Informed Consent
FY	Fiscal Year
GEF	Global Environment Facility
GRM	Grievance Redress Mechanisms
ILO	International Labor Organization
IPs	Indigenous Peoples <sup>1</sup>
M&E	Monitoring and Evaluation
MPIDO	Mainyoito Pastoralists Integrated Development Organization
NGO	Non-Governmental Organization
OFD	Other Forest Dwellers
PA	Participant Assembly
PACJA	Pan African Climate Justice Alliance
PC	Participant Committee
PDO	Project Development Objective
REDD	Reducing Emissions from Deforestation and Forest Degradation
SDG	Sustainable Development Goal
SRETF	Small Recipient Executed Trust Fund
TAC	Technical Advisory Committee
UNDRIP	UN Declaration on the Rights of Indigenous Peoples
UNEP	UN Environment Program

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<sup>1</sup> The concept of Indigenous Peoples is used variably in different countries

UNFCCC

UN Framework Convention on Climate Change

Regional Vice President:

Makhtar Diop

Country Director:

Ahmadou Moustapha Ndiaye

Senior Global Practice Director:

Ede Jorge Ijjasz-Vasquez

Practice Manager:

Robin Mearns/Jan Weetjens

Task Team Leader:

Nicholas Meitiaki Soikan

**AFRICA**  
**Pan-African Forest-Dependent Indigenous Peoples FCPF Capacity Building Program on**  
**REDD+ Project**

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## DATA SHEET

### AFRICA

#### Pan-African Forest-Dependent Indigenous Peoples FCPF Capacity Building Program on REDD+ Project Small RETF Grant Project Paper

#### *Africa Region*

Basic Information			
Project ID P155373	EA Category C - Not Required	Team Leader Nicholas Meitiaki Soikan	
Lending Instrument	Fragile and/or Capacity Constraints [   ]		
Investment Project Financing (IPF)	Financial Intermediaries [   ]		
	Series of Projects [   ]		
Project Implementation Start Date March 30, 2016	Project Implementation End Date June 30, 2018		
Expected Effectiveness Date March 30, 2016	Expected Closing Date June 30, 2018		
Joint IFC No			
Practice Manager/Manager Robin Mearns/Jan Weetjens	Senior Global Practice Director Ede Jorge Ijjasz- Vasquez	Country Director Ahmadou Moustapha Ndiaye	Regional Vice President Makhtar Diop
Approval Authority			
Approval Authority Regional Vice President			
Project Financing Data (in USD Million)			
Total Project Cost:	0.77	Total Bank Financing:	0.77

Financing Gap:	0.00								
<b>Financing Source</b>					<b>Amount</b>				
Readiness Fund of the Forest Carbon Partnership Facility					0.77				
Total					0.77				
<b>Expected Disbursements (in USD Million)</b>									
Fiscal Year	2016	2017	2018	0000	0000	0000	0000	0000	0000
Annual	0.15	0.38	0.24	0.00	0.00	0.00	0.00	0.00	0.00
Cumulative	0.15	0.53	0.77	0.00	0.00	0.00	0.00	0.00	0.00
<b>Institutional Data</b>									
<b>Practice Area (Lead)</b>									
Social, Urban, Rural and Resilience Global Practice									
<b>Contributing Practice Areas</b>									
<b>Cross Cutting Topics</b>									
<input checked="" type="checkbox"/> Climate Change <input type="checkbox"/> Fragile, Conflict & Violence <input checked="" type="checkbox"/> Gender <input type="checkbox"/> Jobs <input type="checkbox"/> Public Private Partnership									
<b>Sectors / Climate Change</b>									
Sector (Maximum 5 and total % must equal 100)									
Major Sector			Sector		%	Adaptation Co-benefits %		Mitigation Co-benefits %	
Agriculture, fishing, and forestry			Forestry		100				
Total					100				
<input checked="" type="checkbox"/> I certify that there is no Adaptation and Mitigation Climate Change Co-benefits information applicable to this project.									
<b>Themes</b>									
Theme (Maximum 5 and total % must equal 100)									
Major theme			Theme				%		
Social dev/gender/inclusion			Participation and civic engagement				20		



Social dev/gender/inclusion	Indigenous peoples	20
Social dev/gender/inclusion	Social Inclusion	60
Total		100
Proposed Development Objective(s)		
The Project Development Objective (PDO) is to strengthen: (i) the knowledge of targeted forest-dependent indigenous peoples of REDD+ Readiness at the national level and (ii) knowledge exchange at the regional level.		
Components		
Component Name	Cost (USD Millions)	
Component 1: National Capacity Building and Awareness Raising	0.55	
Component 2: Regional Exchange and Sharing of Lessons Learned	0.15	
Component 3: Management, M&E and Reporting	0.07	
Compliance		
Policy		
Does the project depart from the CAS in content or in other significant respects?	Yes [ ]	No [X]
Does the project require any waivers of Bank policies?	Yes [ ]	No [X]
Have these been approved by Bank management?	Yes [ ]	No [ ]
Does the project meet the Regional criteria for readiness for implementation?	Yes [X]	No [ ]
Safeguard Policies Triggered by the Project	Yes	No
Environmental Assessment OP/BP 4.01		X
Natural Habitats OP/BP 4.04		X
Forests OP/BP 4.36		X
Pest Management OP 4.09		X
Physical Cultural Resources OP/BP 4.11		X
Indigenous Peoples OP/BP 4.10	X	
Involuntary Resettlement OP/BP 4.12		X
Safety of Dams OP/BP 4.37		X
Projects on International Waterways OP/BP 7.50		X
Projects in Disputed Areas OP/BP 7.60		X

Legal Covenants				
Name	Recurrent	Due Date	Frequency	
Maintenance of a Technical Advisory Committee	X			
Description of Covenant				
The Recipient shall maintain, at all times during the implementation of the Project, a technical advisory committee, with mandate, composition and resources satisfactory to the World Bank, comprising two representatives from Francophone Participating Countries, two representatives from Anglophone Participating Countries and one forest expert from an indigenous community in one of the Participating Countries.				
Name	Recurrent	Due Date	Frequency	
Maintenance of a Board of Governors	X			
Description of Covenant				
The Recipient shall maintain, at all times during Project Implementation, the Board of Governors with mandate, composition and resources satisfactory to the World Bank, to be responsible for Project oversight, including the fiduciary aspect of the Project as well as Project monitoring and evaluation.				
Name	Recurrent	Due Date	Frequency	
Sub-grants	X			
Description of Covenant				
No proposed Sub-project shall be eligible for financing under Part A.1.(b) of the Project unless: (i) the Recipient has determined, on the basis of an appraisal conducted in accordance with guidelines acceptable to the World Bank, that the proposed Sub-project satisfies the eligibility criteria specified below in paragraph (b) of this Section, and such additional criteria as may be specified in the Project Operational Manual; and (ii) the World Bank has approved such Sub-project, unless the World Bank shall have previously notified the Recipient in writing that its approval of Sub-projects is no longer required.				
Conditions				
Source Of Fund	Name		Type	
FCPF Grant	Withdrawal Conditions		Withdrawal	
Description of Condition				
Notwithstanding the provisions of Section 3.01 of this Agreement, no withdrawal shall be made for payments made prior to the date of this Agreement.				
Team Composition				
Bank Staff				
Name	Role	Title	Specialization	Unit
Nicholas Meitiaki Soikan	Team Leader (ADM Responsible)	Social Development Specialist		GCCFL

Joel Munyori/Pascal Tegwa	Procurement Specialist	Senior Procurement Specialist		GGODR
Henry Amena Amuguni	Financial Management Specialist	Senior Financial Management Specialist		GGODR
Vidya Narasimhan	Financer Officer	Finance Officer		WFALN
Hanna Jang	Counsel	Counsel		LEGEN
Marie Roger Augustin	Counsel	Legal Analyst		LEGAM
Johanna van Tilburg	Safeguards Advisor	Senior Social Development Specialist		OPSOR
Kennan W. Rapp	Window Manager	Senior Social Development Specialist		GCCFL
Edward Felix Dwumfour	Team Member	Senior Environmental Specialist		GENDR
Kristyna Bishop	Peer Reviewer	Senior Social Development Specialist		GSURR
Dianna M. Pizarro	Peer Reviewer	Senior Social Development Specialist		GSURR
Luis Felipe Atahualpa Duchicela Santa Cruz	Peer Reviewer	Adviser, Indigenous Peoples		GSURR
Robin Mearns/Jan Weetjens	Program Manager	Practice Manager		GSURR
Melissa C. Landes	Environmental Specialist	Natural Resources Mgmt. Spec.		GENDR
Mirtha Liliana Escobar Saenz	Team Member	Operations Analyst		GCCFL
Sachiko Morita	Counsel	Senior Counsel		LEGEN
Varalakshmi Vemuru	Peer Reviewer	Senior Social Development Specialist		GSURR
Anders Jensen	Monitoring and Evaluation	Senior M&E Specialist		GPSOS
Ayala Peled Ben Ari	Operations Specialist	Consultant		GENDR
<b>Extended Team</b>				
<b>Name</b>	<b>Title</b>	<b>Office Phone</b>	<b>Location</b>	

<b>Locations</b>					
<b>Country</b>	<b>First Administrative Division</b>	<b>Location</b>	<b>Planned</b>	<b>Actual</b>	<b>Comments</b>
Burkina Faso, Cameroon, Central African Republic, Democratic Republic of Congo, Republic of Congo, Cote d'Ivoire, Ethiopia, Gabon, Ghana, Kenya, Liberia, Madagascar, Mozambique, Nigeria, Sudan, Tanzania, Togo, Uganda			X	X	
<b>Consultants (Will be disclosed in the Monthly Operational Summary)</b>					
Consultants Required? No					

## I. STRATEGIC CONTEXT

### A. Regional Context

1. **Deforestation and forest degradation are the second leading cause of global warming, responsible for about 15 percent of global greenhouse gas emissions, which makes the loss and depletion of forests a major issue for climate change.** The UN Food and Agriculture Organization (FAO) 2010 Global Forest Resources Assessment estimates that the world's forests store 289 gigatonnes (Gt) of carbon in their biomass alone, and during the period 2005–2010, carbon stocks in forest biomass worldwide decreased by an estimated 0.5 Gt annually, mainly because of a reduction in global forest area.<sup>2</sup> Research has shown that reducing emissions from deforestation and forest degradation (REDD) is a potentially effective way to reduce net emissions through increased carbon sequestration.<sup>3</sup>

2. **REDD was first considered by the United Nations Framework Convention on Climate Change (UNFCCC) 11<sup>th</sup> Conference of the Parties (COP11) in Montreal in December 2005.** Five years later in Cancun, COP16 parties agreed that “developing countries could contribute to mitigation actions in the forest sector by reducing emissions from deforestation; reducing emissions from forest degradation; conserving forest carbon stocks; sustaining management of forests; and enhancing forest carbon stocks.” This became known as the REDD+ agenda.

3. **The Forest Carbon Partnership Facility (FCPF) was launched in 2007 as a result of strong interest of developing countries in REDD, and a clear demand from both industrialized and developing country governments for a mechanism that would help forested countries reduce emissions from deforestation and forest degradation and conduct demonstration activities to show how REDD could be implemented.** Decisions taken that year at COP13 in Bali specifically invited parties to further strengthen and support ongoing REDD efforts, support capacity building, provide technical assistance and address the institutional needs of developing countries. The Facility has since become a global partnership of governments, businesses, civil society and indigenous peoples (IPs), which comprises 46 partner developing countries (18 in Africa<sup>4</sup>, 17 in Latin America and the Caribbean, and 11 in the Asia-Pacific Region) and 17 financial contributors from both the public and private sectors. The main focus of the Facility has been on laying the ground for future REDD+ activities, and piloting performance-based payment systems. The FCPF has two complementary funding mechanisms to achieve its strategic objectives (see Box 1 and Figure 1): the *Readiness Fund*, which assists tropical and sub-tropical developing countries in preparing to participate in a future, large-scale system of positive incentives for REDD+; and the *Carbon Fund* for testing a program of performance-based incentive payments in pilot

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<sup>2</sup> FAO (2010). Global Forest Resources Assessment 2010. Forestry Paper 163. Rome, Food and Agriculture Organization of the United Nations.

<sup>3</sup> For example, Gullison et al. (2007) estimate that total emissions reductions from reducing deforestation rates by 50 percent by the year 2050, and maintaining those rates for another 50 years, would save the equivalent of worldwide fossil fuel emission for the past six years.

<sup>4</sup> Burkina Faso, Cameroon, Central African Republic, Democratic Republic of Congo, Republic of Congo, Côte d'Ivoire, Ethiopia, Gabon, Ghana, Kenya, Liberia, Madagascar, Mozambique, Nigeria, Sudan, Tanzania, Togo and Uganda

countries. The World Bank is the Facility's Trustee as well as one of its Delivery Partners. It also houses the FCPF Facility Management Team (FMT) that is responsible for the operation of the Facility. Concrete activities implemented under the Readiness Fund include the development of Reference Levels and a REDD+ strategy, the design of monitoring systems for reporting and verification, the establishment of REDD+ national management arrangements, and the identification of social and environmental impacts associated with REDD+.

**4. In order to provide coordinated support to partner countries, the FCPF works closely with the Forest Investment Program (FIP) under the Climate Investment Funds (CIF), and shares secretariat responsibilities with the UN-REDD Program under a REDD+ Partnership.<sup>5</sup>** Coherence and cooperation across the different FIP and FCPF activities have been achieved especially in the DRC, Ghana, Indonesia, and Mexico, as governments ensure that activity planning is closely coordinated between the two initiatives. At the secretariat level, the FCPF is an observer to the FIP governing body, and FIP has equally participated in the FCPF meetings. Coordination between the FCPF and the UN-REDD Program involves joint scheduling of governance body meetings, coordination of analytical and capacity building efforts, and joint delivery of secretariat services to the REDD+ Partnership. FY14 marked the first year of regional workshops in Asia, Latin America and Africa, where the process of country needs assessments was furthered, and capacity was enhanced to take key readiness steps and access REDD+ finance. Together, the FCPF, FIP and UN-REDD Program support REDD+ readiness and investment activities in 48 countries across Africa, Asia-Pacific and Latin America.

#### **Box 1. The Forest Carbon Partnership Facility's objectives**

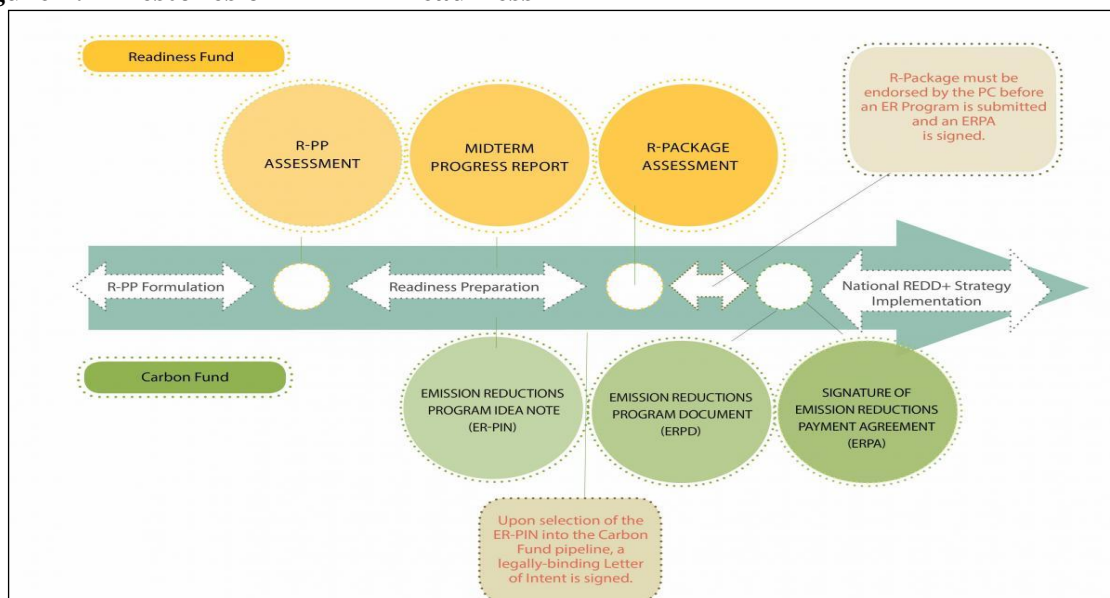
The FCPF pursues four strategic objectives:

- To assist eligible REDD+ Countries in their efforts to achieve Emission Reductions (ER) from deforestation and/or forest degradation by providing them with financial and technical assistance in building their capacity to benefit from possible future systems of positive incentives for REDD+;
- To pilot a performance-based payments system for ER generated from REDD+ activities, with a view to ensuing equitable sharing and promoting future large-scale positive incentives for REDD+;
- Within the approach to REDD+, to test ways to sustain or enhance livelihoods of local communities and to conserve biodiversity; and
- To disseminate broadly the knowledge gained in the development of the Facility and implementation of Readiness Plans and ER Programs.

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<sup>5</sup> The REDD+ Partnership is an international interim platform for its partner countries to scale up actions and finance for REDD+.

**Figure 1. Milestones of REDD+ Readiness**



## B. Sectoral and Institutional Context

5. **The UNFCCC COP 16 decision on REDD+ called for the full and effective participation of IPs and local communities and the need to respect their traditional knowledge and rights.** IPs have been recognized as key stakeholders given their close relationships with and dependence on forested lands and resources worldwide and due to IPs' long history of adapting to climatic variability and ecosystem changes. However, the level of participation of IP communities in national REDD+ processes and international decision making has often been low due to insufficient understanding of the issues, lack of resources to increase the level of understanding, and weak communication between forest-dependent IP representatives and national and international REDD+ functions.

6. **A series of regional dialogues between the FCPF and IP representatives that have taken place since the beginning of the FCPF resulted in a request to support forest-dependent IPs in building their capacity to engage in REDD+ activities at the national and regional levels.** The FCPF has organized regional dialogues in Africa, Latin America and Asia, where forest-dependent IPs, southern civil society and local community representatives<sup>6</sup> raised a number of concerns with respect to REDD+ in general and the FCPF in particular, and requested a regional and national capacity building program to enhance their knowledge on climate change and the technicalities of REDD+. They felt this would enable them to play a more meaningful role in the REDD+ Readiness process in their respective countries. While capacity needs vary between countries and communities, a number of common priority areas

<sup>6</sup> As defined in the FCPF 2008 Charter. Local communities are sometimes also referred to as "Other Forest Dwellers" (OFD).

have emerged; these include (i) research and publication of knowledge products on REDD+; (ii) awareness raising on REDD+ policies, concepts and processes; (iii) coordination, communication and information sharing systems within and across countries; (iv) collaboration between Civil Society Organizations (CSOs), IPs and national REDD+ frameworks; (v) recognition and respect for indigenous knowledge that is critical in climate change adaptation and mitigation; and (vi) understanding of the threats to land tenure and local livelihoods in the context of REDD+. Capacity and participation needs of women and youth have been recognized as requiring affirmative action across the board.

**7. The dialogue also acknowledged that efforts to enhance forest-dependent IPs and CSOs' understanding of REDD+ required strategic and systematic plan of action and funding.** Consequently, a Global Action Plan was issued that provided a roadmap for the engagement of IPs in the FCPF, and the FCPF Capacity Building Program (CBP) was established to provide forest-dependent IPs, southern civil society and local communities with information, knowledge and awareness on REDD+. The program was conceived to be a demand-driven one, in which forest-dependent IPs and Southern CSOs were to make proposals to the FCPF based on their needs.

**8. Phase I of the CBP (2008-2015) has funded 29 projects in Asia, Latin America and Africa (including two global projects), with a total allocation of over US\$1.7 million, supporting awareness-raising workshops, publication of training manuals and capacity building activities.** Proposals for capacity building activities have been processed through the World Bank's general corporate procurement system where IPs and CSOs were selected and contracted as consultants to carry out specific capacity building activities (see Box 2 below for a list of Phase I beneficiary organizations). During this phase, forest-dependent communities in Africa, Latin America and the Caribbean and Asia were engaged in national REDD+ planning and formulation and played an active role in partnering with governments to implement consultation activities. Strengthened consultation and participation have also helped to publicize and increase the understanding of forest-dependent IPs' views and potential contributions to the REDD+ system design and implementation. In addition, during this period, forest-dependent IPs have played an important role in the decision making process of the FCPF through self-selected observers in the FCPF Participants Assembly (PA) and Participants Committee (PC) meetings<sup>7</sup> and as members of the Ad Hoc Technical Advisory Panel (TAP).<sup>8</sup>

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<sup>7</sup> The Participant Assembly includes all FCPF participants and is responsible to elect members to a Participants Committee (PC); provide general guidance to the PC; review decisions made by the PC with respect to certain items specified in the charter; and serve as a forum for exchanging information and sharing knowledge among participants and observers. The PC is made up of an equal number of REDD+ countries (14) and financial contributors (14), and it also comprises observers representing IPs, civil society, international organizations, the UN-REDD Program, the UNFCCC Secretariat and the private sector. The PC meets twice a year, and is the main decision-making body of the FCPF.

<sup>8</sup> The TAP is an independent forum of technical experts that provides technical advice and information to the PC and PA on specific issues.



## **Box 2. CBP Phase 1: Beneficiary Organizations**

### **INDIGENOUS PEOPLES' ORGANIZATIONS**

- Wildlife Conservation Society (WCS) on behalf of CACO REDD+
- Dynamique des Groupes des Peuples Autochtones (DGPA)
- Réseau des Peuples Autochtones et Locaux pour la Gestion Durable des Ecosystèmes d'Afrique Centrale (REPALEAC)
- Indigenous Peoples of Africa Coordinating Committee (IPACC)
- Rainforest Nations Conservation Alliance
- Children's Development Association (CDA)
- Nepal Federation of Indigenous Nationalities (NEFIN)
- Perkumpulan Telapak
- Organización de Pueblos y Naciones Indígenas en Argentina (ONPIA)
- Coodinadora de las Organizaciones Indígenas de la Cuenca Amazónica (COICA)
- Organización de Pueblos Indígenas de la Amazonia Colombiana (OPIAC)
- Instituto de Investigaciones y Desarrollo de Kuna Yala (IIDKY)
- Mainyoto Pastoralist Integrated Development Organization (MPIDO)
- Association of Indigenous Leaders in Suriname (VIDS)
- Fundación para la Promoción del Conocimiento Indígena (FPCI)
- Asociación Sotz'il
- Red Indígena de Turismo de México (RITA)
- Organizacion de Jóvenes Emberay Wounaan de Panamá (OJEW)

### **SOUTHERN CSOs**

- African Women's Network for Community Management of Forests (REFACOF)
- Pan African Climate Justice Alliance (PACJA)
- Dalit Alliance for Natural Resource (DANAR)
- Nepal Law Society (NLS)
- Instituto del Bien Común (IBC)
- Instituto para el Desarrollo Sustentable en Mesoamérica A.C (IDESMAC)
- Derecho Ambiente y Recursos Naturales (DAR)

9. In moving forward to Phase II of the CBP, the FMT in June 2012 decided to transition the execution of the program to Small Recipient-Executed Trust Fund (SRETF) grants. It was agreed to implement the program through regional IP and civil society organizations (called Recipient Organizations), allowing the World Bank to better supervise funded activities and foster a stronger sense of ownership for beneficiaries. At the technical level, it was agreed to invest in awareness raising and capacity building of people at the grassroots; engage forest-dependent IP in all phases of REDD+; and build a knowledge base of forest-dependent IP and CSOs on climate change and REDD+, thus empowering them to translate global knowledge into actionable plans at the national level. Based on an open call for proposals and an agreed set of criteria, six regional Recipient organizations were selected (see Table 1).<sup>9</sup> Through six individual SRETFs, each organization is expected to be

<sup>9</sup> The choice of organizations is an outcome of a rigorous competitive global selection process undertaken by the FMT of the FCPF in late 2012/early 2013 through an open call for proposals, and subsequent evaluation in

responsible for selecting and supporting small capacity building projects within their regions and targeted communities.

**Table 1. Recipient Organizations Selected for Implementation of CBP Phase II**

Region	Indigenous Peoples Organizations	Civil Society Organizations
<b>Africa</b>	Mainyoito Pastoralist Integrated Development Organization (MPIDO)	Pan African Climate Justice Alliance (PACJA)
<b>Asia</b>	Indigenous Peoples' International Centre for Policy Research and Education (Tebtebba)	Asia Network for Sustainable Agriculture and Bioresources (ANSAB)
<b>Latin America</b>	Association Sotz'il	Asociación Coordinadora Indígena y Campesina de Agroforestería Comunitaria de Centroamérica (ACICAFOC)

10. The proposed project seeks to finance the CBP Phase II for forest-dependent IPs in Africa, titled “Pan-African Forest-Dependent Indigenous Peoples FCPF Capacity Building Program on REDD+ Project” for a total of US\$774,583. The selected Recipient Organization for this project is the Mainyoito Pastoralist Integrated Development Organization (MPIDO), based in Kenya.<sup>10</sup>

### **C. Higher Level Objectives to which the Project Contributes**

11. **United Nations Framework Convention on Climate Change, COP16 in Cancun (UNFCCC, 2010).** The call of the UNFCCC COP16 for full and effective participation of IPs and local communities, and the need to respect traditional knowledge and rights, are the guiding principles of the proposed project. While the FCPF is different in origin, life span and funding arrangements from the UNFCCC, it nonetheless endeavors to align with the emerging policy guidance of the Convention, and to inform the UNFCCC negotiations through lessons emerging from country-led implementation of REDD+ programs.

12. **United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP, 2007)**

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collaboration with World Bank regional social development staff (eligibility criteria included the applicants’ level of credibility and solid track record, and administrative and fiduciary capacity to manage World Bank funds). The outcome of the assessment process was reviewed by members of the PC and respective IPs and CSOs Observers to the FCPF, who gave a no-objection report.

<sup>10</sup> The decision to process separately two small grants per region instead of a joint CSO/IP grant per region was based on the facts that (i) the grants address two different constituencies; and (ii) OP/BP 4.10 is triggered by only one of the two projects (P155373 – the proposed project).

**and the International Labour Organization (ILO) Convention No. 169 (1989).** The proposed project directly responds to the UN Declaration on the Rights of Indigenous Peoples and ILO Convention No. 169, which called on organs and specialized agencies of the UN system and other intergovernmental organizations to contribute to the full realization of the provisions of the Declaration through the mobilization, *inter alia*, of financial cooperation and technical assistance. The Declaration recognizes the urgent need to respect and promote the inherent rights of IPs, especially their rights to their lands, territories and resources, and states IPs' right to determine and develop priorities and strategies for exercising their right to development through their own institutions.

**13. Indigenous Peoples' Global Summit on Climate Change, Anchorage Declaration (2009).** The project supports the Declaration's call for a fund to be created to enable IPs' full and effective participation in all climate processes, including adaptation, mitigation, monitoring and transfer of appropriate technologies in order to foster their empowerment, capacity building, and education; and the urging of relevant UN bodies to facilitate and fund the participation, education, and capacity building of indigenous youth and women to ensure engagement in all international and national processes related to climate change.

**14. The project is consistent with the Sustainable Development Goals (SDGs),** in particular SDG13 of taking urgent action to combat climate change and its impacts, SDG15 on protecting, restoring and promoting sustainable use of terrestrial ecosystems, sustainably manage forests, and SDG16 on promoting peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels.

**15. World Bank Group Strategy (2013).** The project is consistent with the World Bank Group Strategy and the twin goals of ending extreme poverty and promoting shared prosperity that cannot be achieved without addressing climate change and securing ecosystem integrity. The project fulfill the strategy's premise of creating an inclusive society, not only in terms of economic welfare but also in terms of the voice and empowerment of all groups, including traditionally marginalized groups, such as ethnic minorities and indigenous populations, in decision-making processes. *The project further fulfills the vision of the Bank's Environment Strategy 2012 – 2022 (2012)* on low-emission development strategies and innovative finance, calling for cross-region and cross-sector work to find innovative carbon finance and climate finance solutions to help countries adopt low-mission paths to development and improve resource efficiency. The project also closely responds to the three *World Bank's Forests Strategy (2002)* pillars of (i) Harnessing the potential of forests to reduce poverty; (ii) Integrating forests in sustainable economic development; and (iii) Protecting vital local and global environmental services and values. The project conforms to the Strategy's principle of ensuring that marginalized groups in society are able to take a more active role in formulating and implementing rural forest policies and programs; and working with local groups, non-government organizations (NGOs), and other partners to integrate forest, agroforestry, and small enterprise activities in rural development strategies.

**16. The World Bank Strategy for sub-Saharan Africa (2011)** recognizes that the region's poor are likely to be hit hardest by climate change, and encourages regional integration and knowledge investments to improve connectivity, leverage economies of scale, improve

development outcomes and make aid more effective. The project will supplement the strategy's climate change priorities<sup>11</sup> by furthering inclusion and empowerment of stakeholders and community participation in development processes, including REDD+, to achieve vital social and environmental objectives. The project will further support both the climate change and the shared prosperity agenda by strengthening the capacity of forest-dependent IPs for sustainable management of biodiversity, alternative livelihoods, and the equitable sharing of revenues generated from emissions reductions, and enhance regional integration and cooperation by disseminating good practices and lessons learned.

**17. The project is consistent with the World Bank OP 4.10 on Indigenous Peoples which contributes to the Bank's mission of poverty reduction and sustainable development by ensuring that the development process fully respects the dignity, human rights, economies, and cultures of IPs.** As part of an ongoing Global Dialogue and Engagement process with IPs, the World Bank aims to include IPs in the ongoing World Bank Environmental and Social Safeguards Review and Update process and to strengthen World Bank support to and engagement with IPs worldwide. Through its work, the World Bank seeks to position excluded groups, such as IPs, at the center of the development agenda.

**18. Relationship to CAS/CPS/CPF.** The following describes the alignment of the project with each of the participating countries' assistance/partnership strategies<sup>12</sup>:

**Table 2. Participating Countries' Strategies' Relevant Instructions**

<b>Country</b>	<b>Assistance/partnership strategy's relevant instructions</b>
Burkina Faso	Country Partnership Strategy for the period FY13-FY16 (Report No. 78793), Strategic Objective Three: Reduce social, economic, and environmental vulnerabilities: promotion of low-carbon rural development to ensure sustainable use of the land and natural resources
Cameroon	Country Assistance Strategy for the period FY10-FY13 (Report No. 52997), Pillar 2 (Improve transparency, equity, and sustainability in the use of natural resources): strengthen public and private efforts to achieve socially, economically, and ecologically sustainable use of national forest and wildlife resources.
Central African Republic	Country Engagement Note for the period FY16-FY17 (Report No. 96209): Environment and climate change: Work to date includes implementation of the regional GEF-supported REDD strategy (Reducing Emissions from Deforestation and forest Degradation) for the entire Congo Basin (efforts under crosscutting themes).
Democratic Republic of Congo	Country Assistance Strategy for the period FY13-FY16 (Report No. 66158): Climate Change Cross-Cutting Theme: <del>protecting the environment and fighting climate</del>
Republic of Congo	Country Partnership Strategy for the period FY13-FY16 (Report No. 71713), Foundation: Strengthening Government Capacity and Governance; Supporting reforms in the forestry sector by enhancing the participation of local communities in forest management.
Côte d'Ivoire	Systematic Country Diagnostic (Report No. 98178), practice sustainable agricultural to improve rural incomes and reduce greenhouse gas emissions caused by deforestation and forest degradation. Harness international financial incentives for

<sup>11</sup> Investing in climate-change adaptation techniques and disaster risk management

<sup>12</sup> See Section II.B. below on participating countries

	REDD+.
Ethiopia	Country Partnership Strategy for the period FY13-FY16 (Report No. 71884), Cross Cutting Issue: Climate Change: continue engaging in few climate change-specific tasks such as climate information systems or other specific AAA products or supporting the agenda on Reducing Emissions from Deforestation and Forest Degradation.
Gabon	Country Partnership Strategy for the period FY12-FY16 (Report No. 67343), advancing reforms in natural resource management as part of the Reducing Emissions from Deforestation and Forest Degradation (REDD+) initiative.
Ghana	Country Partnership Strategy for the period FY13-FY16 (Report No. 76369), Pillar 2: Improving Competitiveness and Job Creation: address climate change issues through support for Reducing Emissions from Deforestation and Forest Degradation (REDD) and programs focused on attention to water management and land degradation.
Kenya	Country Partnership Strategy for the period FY14-FY18 (Report No. 88940), Domain Two: Protection and potential—delivering shared prosperity: improved capacity to manage risks from climate change and Domain Three: Consistency and equity (governance): consistent and equitable treatment of vulnerable groups, including IPs; a program of dialogue and capacity building of key national authorities working in this field.
Liberia	Country Partnership Strategy for the period FY13-FY2017 (Report No. 74618), Pillar I: Economic Transformation: National REDD+ strategy is prepared and validated by national stakeholders (indicator for Improved management and productivity in agriculture, forestry and fisheries).
Madagascar	Country Environmental Analysis (Report No. 77993), REDD+: put in place legislation and a national-level mechanism that allows REDD+ funds to be allocated in an efficient manner to those actors that effectively contribute to reducing emissions, thus creating the assets being paid for. Once a full-fledged REDD+ system at the national level is in place [.....] funds management mechanism will have to allocate resources from the national to the local level.
Mozambique	Country Partnership Strategy for the period FY12 - FY15 (Report No. 66813), Pillar II: Vulnerability and Resilience: progress in achieving lower carbon-intensity development and helping to ensure sustainable use and preservation of the country's vast tracts of forests for carbon sequestration (outcome for climate change mitigation and adaptation activities).
Nigeria	Country Partnership Strategy for the period FY14-FY17 (Report No. 82501), First Strategic Cluster: Federally Led Structural Reforms for Growth and Jobs, Agricultural Productivity and Climate Change (Resilience): reducing immediate and long-term climate risks to rural livelihoods by treating and reversing land degradation, supporting climate smart agriculture, water catchment management, reducing deforestation and forest degradation and fostering reforestation, and enhancing capacity to prevent and manage climate- related disasters including through more efficient hydro-meteorological systems and innovative finance to respond to shocks.
Sudan	Interim Strategy Note for the period FY14-FY15 (Report No. 80051), Cross-Cutting Themes: Governance and Gender: support institutional and governance reforms that enhance participation, transparency and voice, especially for marginalized groups, such as women, youth, and conflict-affected populations.
Tanzania	Country Assistance Strategy for the period FY12-FY15 (Report No. 60269), Objective

	1: Promote Inclusive and Sustainable, Private Sector-led Growth, Enhanced sustainability and improved management of natural resources: support Tanzania's work to prepare a climate change strategy, secure funding, and adapt to and mitigate climate change.
Togo	Joint IDA-IMF Staff Advisory Note on the strategy for boosting growth and promoting employment (Report No. 86108), Pillar 5: Promoting Participative, Balanced, and Sustainable Development Environment, Sustainable Management of Natural Resources, and Quality of Life, Combating Climate Change: strengthening the institutional framework for implementing the UNFCCC and adapting principal development sectors to climate change remain challenges to be faced. The sectors identified as the most vulnerable to climate change and for which adaptation/mitigation measures must be a priority include: agriculture, forestry, energy, water resources, human settlements, health, and the coastal area.
Uganda	Country Assistance Strategy for the period FY11-FY15 (Report No. 54187), Strategic Objective 1: Promote Inclusive and Sustainable Economic Growth: Mitigation of greenhouse gas emissions will target one of the most significant sources of greenhouse gas emissions in Uganda—deforestation and forest degradation—and will be implemented through a forestry or natural resource management operation and through support for renewable energy.

## II. PROJECT DEVELOPMENT OBJECTIVES

### A. PDO

19. The Project Development Objective (PDO) is to strengthen: (i) the knowledge of targeted forest-dependent indigenous peoples of REDD+ Readiness at the national level and (ii) knowledge exchange at the regional level.

20. This PDO is a derivative of the FCPF CBP's objective: to provide forest-dependent IPs on one hand, and Southern CSOs and OFD on the other, with information, knowledge and awareness on REDD+ in order to enhance their understanding of REDD+, and to engage more meaningfully in the implementation of REDD+ Readiness activities. The PDO will be achieved by funding activities that enhance forest-dependent IPs and their representative institutions' capacity, knowledge and networking capabilities around the REDD+ Readiness process nationally, and strengthening collaboration regionally.

### B. Project Beneficiaries

21. The beneficiaries of the project will be forest-dependent IPs and their representative organizations and networks in the 18 FCPF eligible countries in Africa<sup>13</sup>, namely **Burkina Faso, Cameroon, Central African Republic, Democratic Republic of Congo, Republic of Congo, Cote d'Ivoire, Ethiopia, Gabon, Ghana, Kenya, Liberia, Madagascar, Mozambique, Nigeria, Sudan, Tanzania, Togo and Uganda**, which will be eligible to participate in regional learning and exchange activities (activities funded under Component 2). Of the 18 countries, IP organizations/networks from eleven countries will also be eligible to

<sup>13</sup> These are developing countries located in a subtropical or tropical area that have signed a Participation Agreement to participate in the FCPF Readiness Fund.

participate in national-level activities (under Component 1), namely **Cameroon, Republic of Congo, Côte d'Ivoire, Ethiopia, Liberia, Madagascar, Mozambique, Nigeria, Sudan, Togo and Uganda**. These countries have been prioritized for national-level activities for the following reasons:

- i. Their respective governments have signed Readiness Grant Agreements with the FCPF, thereby allowing the project to reinforce their REDD+ Readiness efforts<sup>14</sup>;
- ii. They are not beneficiaries of the Global Dedicated Grant Mechanism (DGM) for Indigenous Peoples and Local Communities project of the FIP<sup>15</sup>; and
- iii. They are countries at advanced stages to REDD+ phases, and which are piloting Emission Reduction projects/programs.

22. The national IP organizations and networks that will participate in project-funded activities will be selected by MPIDO and a Technical Advisory Committee (TAC—see more below under implementation arrangements) based on eligibility criteria that were agreed by representatives from the 11 participating countries and the World Bank. These criteria are detailed in a Project Operational Manual, including ongoing and past involvement in REDD+ related activities at the country level. The organizations and networks will be contacted by MPIDO either through a call for proposals or through targeted invitations to make proposals. If additional countries (beyond the 11 Component 1 eligible countries) sign Readiness Grant Agreements during the course of the project, they may be eligible to participate in Component 1.

23. Other potential project beneficiaries are national and regional stakeholders from the REDD+ community that will benefit from project-funded studies and reports on good practices in REDD+ capacity building. This includes FCPF REDD+ Country Participants from Asia and LAC; FCPF Donor Participants and Carbon Fund Participants<sup>16</sup>; Readiness Fund Delivery Partners (the UN Development Program—UNDP and the Inter-American Development Bank), and other multilateral, bilateral and private sector entities and fora. The government entity implementing REDD+ Readiness or Carbon Fund activities will be engaged from time to time and consulted with in order to enhance coordination at the national level.

24. *See Annex 5 for a Project Map.*

### **C. Results Indicators**

25. The following Results Indicators will be used:

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<sup>14</sup> Informed by FMT Note 2012-5, which states in part that the CBP activities reinforce national REDD+ readiness efforts.

<sup>15</sup> Informed by PC 19 guidance from May 2015, seeking to ensure coordination between the FIP Dedicated Grant Mechanism and the CBP, and also to ensure that as many eligible organizations and countries can benefit from the DGM and CBP, while avoiding any potential duplications of beneficiary organizations and countries under the two programs.

<sup>16</sup> For the full lists of FCPF participants, see <http://forestcarbonpartnership.org/participants-page>

- i. National knowledge exchange products disseminated in appropriate languages (Target to be determined before project effectiveness in accordance with the agreed work plan)
- ii. Regional knowledge exchange products disseminated in appropriate languages and accessible formats (Target: 5)
- iii. Meetings held between IP representatives, and between IP representatives and national REDD+ decision making entities (Target: 110)
- iv. Direct project beneficiaries, of which female (Core Indicator) (Target to be determined before project effectiveness in accordance with the agreed work plan)
- v. Examples of the participation of direct project beneficiaries in national REDD+ processes and structures (Target to be determined)<sup>17</sup>

26. Information for the above indicators will be aggregated by MPIDO from meeting summaries, reports of IP organization and networks carrying out capacity building and awareness raising activities, and records of 'organizations IPparticipation in national, bi-lateral and regional activities. MPIDO will analyze the results of capacity building activities and bilateral and multilateral meetings with emphasis on good practices and lessons learned that could inform the design of similar programs and be discussed at the regional workshops.

27. *See Annex I for the Project Results Framework.*

### **III. PROJECT DESCRIPTION**

#### **A. Project Activities**

28. The Pan-African Forest-Dependent Indigenous Peoples FCPF Capacity Building Program on REDD+ Project will be financed through a US\$774,583 Recipient-Executed Trust Fund from the FCPF CBP, and implemented by the Mainyoito Pastoralists Integrated Development Organization (MPIDO), which is located in Kenya. Financed activities will be grouped into the following three components:

#### **Component 1: National Capacity Building and Awareness Raising (US\$549,870)**

29. Component 1 will support capacity building and awareness raising activities for forest-dependent IPs and their representative organizations and networks in the eleven participating countries, with specific focus on women and youth. Activities may be carried out at the national, sub-regional and/or jurisdiction levels. The design and choice of activities will be informed by the key principles of language diversity within the region (ensuring a balance between proposals from Anglophone, Francophone and Lusophone countries and making sure knowledge products are produced in key local languages), gender considerations (funding women-specific activities and actively seeking a balance between female and male beneficiaries), and understanding of infrastructural constraints within IPs' territories,

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<sup>17</sup> Direct project beneficiaries are members of IP organizations involved in project activities who participate more actively in the design of national REDD+ strategies and Emission Reduction Programs, and are represented more effectively in the various REDD+ thematic working groups and steering committees set up at the national level.



especially those related to means and forms of communication. Activities will also be considered in view of past and present REDD+ capacity building programs in the region and elsewhere, and use to the extent possible existing manuals, training material, and other tools. The government entity/national focal point<sup>18</sup> implementing REDD+ processes will be engaged and consulted with from time to time in order to enhance coordination at the national level.

#### ***Sub-component 1.1: Implementation of capacity building and awareness raising activities***

30. Through a review of existing appropriate (in terms of content and language) learning materials, MPIDO will determine which new studies, analytical reports and learning materials need to be produced for the use of IP organizations/networks to deliver key messages, and these will be developed in simple formats and relevant languages by MPIDO and/or hired consultants, as appropriate. The produced studies, reports and learning material will be reviewed by the TAC to ensure technical soundness, coherence and clarity of the messages. Once they have been finalized, these knowledge products will be shared with the organizations/networks executing capacity building and knowledge sharing activities, to be used in such activities and translated to local languages as appropriate.

31. In parallel to the identification and development of the knowledge products, MPIDO will issue calls to IP organizations/networks to submit sub-grant proposals in accordance with agreed procedures as reflected in the project Operational Manual. The project may also approach directly in-country organizations as consultants by issuing a Request for Proposals to deliver specific goods and/or services to un-represented communities or to under-represented segments within communities such as women and youth, as needed. Following a review and approval process by MPIDO and the Bank, approved capacity building and awareness raising activities will be carried out by the recipients using existing and newly development knowledge products.

#### ***Sub-component 1.2: Support and empowerment of IP organizations and networks***

32. In parallel to the activities described under sub-component 1.1, the project will finance activities that strengthen the capacities of select national IP organizations and networks to participate in the implementation of REDD+ Readiness actions. The project will help enhance entities' REDD+ capacities by: (i) strengthening the dialogue between national IP organizations and networks (within a given country) to enhance their collaboration and refine their messages through workshops and meetings around key REDD+ themes; (ii) facilitating liaison between national organizations and networks and the respective national REDD+ focal points, FCPF IP observers and governmental committees for climate change through joint workshops and meetings around key themes; and (iii) supporting IP networks' participation in R-PP implementation, coordination, supervision and monitoring structures nationally<sup>19</sup> by creating an infrastructure for a self-selection process; this would entail joint meetings of

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<sup>18</sup> Focal points are officially nominated national liaisons with the UNFCCC secretariat and the relevant bodies under the Convention. In the context of this project a focal point could also mean a liaison between the national government and the FCPF. They are also referred to as National REDD+ Coordinators.

<sup>19</sup> Structures include technical working groups and committees, local governance structures, structures for key REDD+ components and cross-cutting themes, SESA preparation groups, etc.

national IP networks and organizations, joint preparation of ToRs for the selection process, and training of selected representatives as needed. Activities are expected to have a trickle-down effect on forest-dependent IPs as their representative organizations will be better equipped to represent them at national and regional REDD+ fora, and have stronger capacities to support and engage their communities in all REDD+ stages.

*Key Outputs of Component 1:*

- i. Studies, analytical reports and learning materials for the use of IP organizations/networks
- ii. Capacity building and awareness raising activities (through sub-grants and consultancies)
- iii. Workshops and meetings between national IP organizations and networks around key REDD+ themes and the self-selection process
- iv. Agreed ToRs for self-selection
- v. Workshops and meetings between national IP organizations and networks and the respective national REDD+ focal points, FCPF IP observers and governmental committees for climate change around key REDD+ themes.

**Component 2: Regional Exchange and Sharing of Lessons Learned (US\$147,255)**

33. In response to forest-dependent IP representatives' calls for knowledge sharing and dissemination at the regional level, the focus of Component 2 funding is the design and implementation of a robust regional platform for information exchange and knowledge sharing between forest-dependent IP organizations and networks in all 18 FCPF member countries. The project will finance the following activities:

***Sub-component 2.1: Regional learning and exchange***

34. MPIDO will convene two regional workshops (at inception and toward completion) which will serve to: (i) disseminate available and newly produced REDD+ knowledge products for IP communities, including deliverables of Phase I of the CBP and any knowledge products developed by the project under sub-component 1.1; (ii) discuss the relevance of traditional knowledge and practices for climate change and REDD+ strategies; (iii) raise participants' awareness of the project under CBP Phase II; and (iv) disseminate lessons learned and good practices from Component 1. The workshops will bring together REDD+ Focal Points of the African FCPF countries, representatives of IP organizations, and IP observers from the FCPF and related initiatives (such as the UN-REDD Program). Each of them will include a side event on indigenous women and REDD+ that will discuss challenges and good practices related to IP women's participation and representation in the REDD+ Readiness process. In addition to the two workshops, the project will facilitate South-South exchanges between advanced and less advanced participating countries to encourage first-hand learning and sharing of experience from REDD+ Readiness processes.

***Sub-component 2.2: Dissemination of knowledge products and lessons learned***

35. This sub-component will fund the development and dissemination of existing and new REDD+ educational and knowledge products, and communication of lessons learned/good

practices from Component 1 to the wider IP audience in FCPF countries (in Africa and elsewhere). The first step would be the preparation of a regional communication strategy. The strategy is expected to determine the key messages, audiences and communication techniques by which the products will reach IP communities, paying particular attention to women and youth audiences within communities, and reflecting the views and voices of IPs and their organizations/networks. The strategy will take into consideration existing material and knowledge dissemination platforms which could be utilized by the project, and prepare a budget and a strategy for post-project communication. Following a technical review of the strategy by the TAC, MPIDO will prepare the needed educational and knowledge products, which could include brochures, posters, short documentaries, fact sheets and use of different media platforms (e.g., radio programs, existing websites, social media) in commonly used languages and in accessible forms.

*Key Outputs of Component 2:*

- i. A regional inception workshop and a side event focusing on indigenous women and REDD+
- ii. A regional completion workshop and a side event focusing on indigenous women and REDD+
- iii. South-South exchanges (in content and number to be proposed by the participating countries and depending on availability of project and countries' financing, respectively)
- iv. Dissemination of existing and new REDD+ educational and knowledge products, including lessons learned and good practices in accordance with the project communication strategy

**Component 3: Management, M&E and Reporting (US\$77,458)**

36. This component will finance the overhead costs of the MPIDO team that will manage the project during the 18 month project duration. Project management includes procurement, financial management, environmental and social safeguard compliance assurance, monitoring and evaluation (M&E) and reporting, and preparation of annual work plans and budgets acceptable to the World Bank. This component will also finance an annual audit of the project account by an external auditor and any costs related to the execution of a grievance redress mechanism. M&E will take place at the project and national levels in accordance with the project results framework (see Annex 1) using information which MPIDO will collect from all Component 1 recipient organizations, and self-generated data under component 2. MPIDO will synthesize the information into quarterly progress reports which it will submit to the World Bank. For further information on M&E, see section IV.B.

*Key Outputs of Component 3:*

- i. Annual work plans and budgets
- ii. Quarterly progress reports (including financial data)
- iii. Annual external audits
- iv. Operational grievance redress mechanism

37. See Annex 2 for a Detailed Project Description.

## **B. Project Financing**

### **Instrument**

38. The project will be financed by a SRETF grant from the FCPF, to be implemented over 27 months. The grant will be governed by the World Bank's "Procedures for Small Recipient-Executed Trust Fund Grants", which specify the process for the design and implementation of small grants. In a letter dated April 28, 2014 to the World Bank Country Director for Kenya, the Principal Secretary of the National Treasury of Kenya confirmed its no-objection to provide the grant directly to MPIDO to implement the project and to proceed with the signing of a grant agreement.

## **C. Lessons Learned and Reflected in the Project Design**

39. The project puts into practice lessons learned by the FCPF and other REDD+ instruments in Africa and elsewhere<sup>20</sup> about the importance of engaging forest-dependent IP communities and other local populations in the REDD+ Readiness process, and the recognition that engagement is more effective when targeted communities are well-informed and have the capacity to participate. While capacity and willingness to participate are clearly related to local culture and education, it has been shown that they can be enhanced through various training instruments, especially through partnering with local leaders and existing institutions in a culturally sensitive way. Working with recognized IP institutions and putting them in the lead of capacity building activities for REDD+ is also one of the main lessons learned from CBP Phase I, which this project will implement toward the end of increasing the effectiveness of capacity building efforts.<sup>21</sup>

40. While there is a plethora of lessons learned on community engagement in rural development projects, specific recommendations<sup>22</sup> to the REDD+ Readiness process, which the project will incorporate under sub-component 1.1, point to the importance of clearly explaining to local stakeholders how REDD+ activities work in ways that are compatible with local cultures; managing inordinate expectations about the magnitude and timing of benefits; allowing for flexibility in the way forest-dependent people communicate with stakeholders; addressing issues related to land and carbon property rights and livelihoods; working with locally trusted organizations which identify with specific ethnic or other culturally distinct groups; and maintaining stakeholder participation over the project lifetime.

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<sup>20</sup> See: FCPF Working Paper #1 (revised version). Harvesting Knowledge on REDD-plus: Early Lessons from the FCPF Initiative and Beyond (Report No. 61123); FCPF and the Amazonas Sustainable Foundation. REDD+ and Community Forestry: Lessons Learned from an Exchange between Brazil and Africa (Report No. 76565); Salas, Paula Cordero. *Implementation of REDD+ Mechanisms in Tanzania*. World Bank. Washington, DC: Policy Research Working Paper No. 6815, March 2014

<sup>21</sup> As can be seen in MPIDO's draft summary report from its activities under CBP Phase I in June 2013 – February 2015 (reference pending)

<sup>22</sup> Blomley, Tom, and Michael Richards. *Community Engagement Guidance: Good Practice for Forest Carbon Projects*. In Building Forest Carbon Projects, Johannes Ebeling and Jacob Olander (eds.). Washington, DC: Forest Trends, 2011.

41. From a broader point of view, the project echoes two of the lessons highlighted by the Independent Evaluation Group (IEG) for the FCPF in 2011<sup>23</sup>, the first one being the need to enhance the effectiveness of FCPF management by taking advantage of internal World Bank reforms relating to micro and small grants; and the second one about giving priority to “no regrets” investments and activities which are also useful outside of the REDD+ context and could be synergistic with the World Bank’s wider country partnership objectives. The use of the World Bank procedures for SRETF to prepare and implement this project is in response to the first lesson learned, while the concentration on capacity building, awareness raising and regional and national collaboration is considered a valuable result which goes beyond the forests sector.

## IV. IMPLEMENTATION

### A. Institutional and Implementation Arrangements

#### *Project institutional arrangements*

42. The World Bank is the home of the FCPF Facility Management Team (FMT, the FCPF Secretariat) that is responsible for the operation of the Facility and relations with the Facility’s governing body, the FCPF Participants Committee (PC). The project will be implemented according to a grant agreement that will be signed by the World Bank and MPIDO, which is the selected Recipient Organization for this project. At the national level, capacity building activities will be funded through sub-grants and consulting contracts (as needed) and carried out by select IP organizations/networks and consultants, respectively, through agreements/contracts with MPIDO. Regional activities will be implemented by MPIDO and by consultants it will hire for specific tasks.

#### *Project implementation arrangements*

43. **MPIDO will be the grant recipient and the implementing agency of this project; as such, it will be responsible for the overall management of the project.**<sup>24</sup> It is a Kenya-based organization that was established in 1996 and registered as an NGO in 2000 with the mission to promote, facilitate and create an enabling environment to realize human rights and secure natural resources and livelihoods for the sustainable development of IPs. It is recognized by IP organizations nationally, in the continent and globally, earning a reputation as a credible advocacy and community development institution, as well as an organizer, leader, and supporter of various IP organizations, partnerships and networks. MPIDO is well known in various UN bodies and agencies and by IP organizations that engage in human rights and climate change. In relation to forests, climate change and REDD+, MPIDO is one of the leading IP institutions to become engaged in REDD+ debates nationally, as well as in negotiations in the UNFCCC, and it is a member in Kenya’s REDD+ Technical Working

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<sup>23</sup> IEG. 2011. The Forest Carbon Partnership Facility: Global Program Review Vol. 6, Issue 3.

<sup>24</sup> MPIDO was selected following an FMT/World Bank evaluation of candidate organizations’ (i) eligibility criteria as outlined in FMT Note 2012-12 and related documentation; (ii) the organizations’ level of credibility and solid track record, evidenced by letters of recommendation received from partner organizations familiar with their work; and (iii) the organizations’ administrative and fiduciary capacity to manage World Bank funds, based on the information provided by the organizations in the World Bank Integrated Assessment Framework.

Group.

44. **The organization has previous experience with World Bank and other donor-funded projects, and its internal structure is expected to allow it to successfully perform its responsibilities as the project implementing agency.** MPIDO was contracted by the World Bank as a vendor in 2008 to deliver the first FCPF Pan-Africa Dialogue with Indigenous Peoples in Arusha, Tanzania, and it completed a vendor-based contract for CBP Phase I in Kenya. It has also implemented regional activities, including for the Indigenous Peoples Assistance Facility (IPAF) of the International Fund for Agricultural Development (IFAD). In an assessment carried out by the FCPF FMT during the preparation of the project, it was concluded that MPIDO had in place effective mechanisms to ensure collaboration and strategic alliances with international partners, national governments and regional mechanisms. At the same time, it was concluded that MPIDO's grievance and redress mechanisms would need to be complemented by the FCPF guidelines for grievance redress.

45. **MPIDO's Secretariat will receive external technical support from a Technical Advisory Committee (TAC).** The TAC will be established before the signing of the grant agreement based on terms of reference that were agreed by IP representatives from the 18 participating countries, which determine its functions, internal structure, communication methods and composition. The members of the TAC will be selected by MPIDO for the duration of the project in consultation with IP regional networks, and will possess relevant expertise, an agreed level of education, and expressed commitment to participate in the TAC. Its composition will reflect regional, gender and language balance considerations, including two representatives from participating Francophone countries, two representatives from Anglophone countries and one forest expert from an indigenous community in one of the participating countries. Project oversight will be carried out by MPIDO's Board of Governors.

46. *See Annex 3 for Detailed Implementation Arrangements.*

## **B. Results Monitoring and Evaluation**

47. **Project M&E is derived from and aligned with the overall FCPF Program Level Monitoring and Evaluation Framework.**<sup>25</sup> The framework is designed to keep track of countries' REDD+-Readiness status, consisting of a structure and system to ensure that all key data is collected, analyzed and used in a way that helps ensure learning and adaptive management at the Facility level. It is informed by country-specific monitoring and evaluation, and is linked to key milestones that are monitored and recorded in the FCPF Dashboard.<sup>26</sup> The proposed project is expected to contribute to achieving the FCPF Outcome 3 (Engagement of all stakeholders (Governments, CSO, IPs, private sector and delivery partners) to sustain or enhance livelihoods of local communities and to conserve biodiversity within the approach to REDD+) by helping to increase the engagement of IPs in REDD+ in

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<sup>25</sup> As adopted by the PC in March 2013 at its fourteenth meeting in Washington DC and dated in June 2013. Available at:

[https://www.forestcarbonpartnership.org/sites/fcp/files/2013/june2013/Final%20Draft%20ME%20framework\\_June%202013\\_FMT%20Note%202012-11%20rev%20\\_English.pdf](https://www.forestcarbonpartnership.org/sites/fcp/files/2013/june2013/Final%20Draft%20ME%20framework_June%202013_FMT%20Note%202012-11%20rev%20_English.pdf)

<sup>26</sup> [https://www.forestcarbonpartnership.org/sites/fcp/files/2015/May/FCPF%20Readiness%20Progress\\_\\_051515.pdf](https://www.forestcarbonpartnership.org/sites/fcp/files/2015/May/FCPF%20Readiness%20Progress__051515.pdf)

Africa.

48. **MPIDO will utilize the project results framework (see Annex 1) to monitor and evaluate project progress.** An assessment of MPIDO's capacity for M&E concluded that MPIDO had experience in monitoring and evaluation of projects, had experienced M&E staff in place and an M&E manual. Further M&E support, however, will be provided to MPIDO by the World Bank during project implementation. MPIDO will synthesize information from recipient IP organizations and networks and from its own records into quarterly progress reports (by August, November, February and May) that it will submit to the World Bank. The Bank will share the reports with the FCPF FMT which, in turn, will update the PC during its regular meetings.

### **C. Sustainability**

49. **The project's concept, design and implementation arrangements are based on the principles of social, environmental, institutional and financial sustainability.** The CBP was established to help create a long-lasting enabling environment for social inclusion and empowerment for IPs, CSOs and OFD, which would bring them to the forefront of the REDD+ dialogue at all levels, and the project is the one of principle mechanisms for executing this vision. The project is expected to put a focus on indigenous communities' traditional knowledge that may be critical to climate change adaptation and at the same time help reduce their vulnerability to the impacts of climate change by bringing in new knowledge about sustainable forest management and the financial benefits it could bring to people.

50. Creation and dissemination of knowledge products in formats that do not need further printing or updating, together with building broad capacity, are the cornerstones of the sustainability of this project. Capacity building and awareness raising activities will take place at the community level and through existing IP organizations and networks that are recognized and trusted by the communities they support; the experience they will gain through the project will allow them to continue their engagement with IP communities on REDD+ beyond the project. The project will help strengthen the relationships between IP organizations and national and regional REDD+ entities to ensure that IP interests are better represented and reflected in government-based decision making during the timeframe of the project and afterwards, and promote networking and partnerships between IP organizations at the country level and regionally. The project will use learning material and knowledge products from the existing pool of REDD+ resources to the extent possible, and develop new ones only as needed. Similarly, existing communication platforms will be used to reach stakeholders and a communication long-term strategy will be developed.

51. The project will not establish new implementation structures but rather work through an existing and well-established implementing agency (MPIDO), utilizing its in-house expertise and internal management structures. The financial sustainability of supported activities will depend on the relationships that IP organizations and networks will be able to establish with potential REDD+ partners nationally and regionally, and the project will support them in this through the planned national-level support (component 1) and regional workshops and communication program (component 2) that it will finance.

#### **D. Donor Harmonization**

52. **The project will tap into and build on national, regional, and global processes, ongoing and pre-existing networks, and capacity building efforts.** By doing so, the project is expected to avoid duplicating existing efforts, promote synergistic capacity building actions and leverage additional resources.

53. ***Coordination with CBP Phase II regional organizations.*** MPIDO will communicate on an ongoing basis with the other five Phase II regional organizations, especially the Pan African Climate Justice Alliance (PACJA), as their respective projects begin implementation. By doing so, the staff for all six projects will be able to learn from each other's experience, reduce costs by adapting already produced materials and communication platforms, and avoid duplication of efforts. The FMT will facilitate the interaction between the recipient organizations as it will maintain an overall view of the program.

54. ***Collaboration with the UN-REDD Program.*** Collaboration between the FCPF and the UN-REDD Program (led by FAO, UNDP and the UN Environment Program-UNEP) will continue to involve coordination of analytical and capacity building efforts, and, whenever possible, the joint scheduling of governance body meetings. Country reporting to the FCPF and UN-REDD Program will continue to be synchronized and include progress reporting and lessons learned from project-funded activities. The project has begun collaborating with the Community Based REDD+ (CBR+), which is a partnership between UN-REDD and the Global Environment Facility (GEF) Small Grants Program that supports community level capacity building and development of experiences in pilot countries<sup>27</sup>, and will continue to do so during the implementation phase through exchanging of experiences and knowledge products.

55. ***Collaboration with the Forest Investment Program.*** The FIP is currently active in eight pilot countries<sup>28</sup>, including through the Global Dedicated Grant Mechanism (DGM) for Indigenous Peoples and Local Communities project, approved in March 2015. The proposed project will not finance national-level activities in these eight countries in order to avoid duplication of efforts; however, regional activities will be coordinated with the DGM project through meetings between the governing bodies.

56. ***Collaboration with the GEF and other key multilateral and bilateral agencies that are involved in sustainable forest management*** will be enhanced through the Collaborative Partnership on Forests (CPF), of which the World Bank is member, as are the GEF Secretariat, the Center for International Forestry Research (CIFOR), FAO, the International Tropical Timber Organization (ITTO), the International Union for Conservation of Nature (IUCN), the International Union of Forest Research Organizations (IUFRO), UNEP, UNFF and others. The CPF provides the agencies with a platform for collaboration and streamlining

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<sup>27</sup> The countries are Nigeria, Democratic Republic of Congo, Panama, Paraguay, Cambodia and Sri Lanka.

<sup>28</sup> The countries are Brazil, Burkina Faso, the DRC, Ghana, Indonesia, Lao PDR, Mexico and Peru. "In its meeting of November 2015, the FIP Sub-Committee selected an additional 15 countries to join the Program, but these countries are not considered here because their DGMs are not likely to become operational within the timeframe of this project."



of work, shared expertise and pooled resources. In addition, MPIDO will continue to take part in global and regional processes on IPs' rights, such as African Commission meetings, and the United Nations Permanent Forum on Indigenous Issues (UNPFII).

## V. KEY RISKS AND MITIGATION MEASURES

### A. Systematic Operations Risk-Rating Tool (SORT)

Risk Categories	Rating
(a) Political and governance	M
(b) Macroeconomic	N/A
(c) Sector strategies and policies	M
(d) Technical design of project or program	M
(e) Institutional capacity for implementation and sustainability	S
(f) Fiduciary	M
(g) Environment and social	M
(h) Donor Harmonization / Stakeholders	S
<b>OVERALL</b>	<b>M</b>

### B. Overall Risk Rating Explanation

57. **The overall risk rating is Moderate.** The main implementation risks of the project relate to (i) lack of willingness of some governments to engage with forest-dependent communities, and political or economic instability in some of the participating countries that may hamper in-country collaboration with key stakeholders and cause tensions between forest-dependent IPs and the respective governments; (ii) the relevance of capacity building activities in countries where the readiness process is either too premature or very advanced; (iii) technically inherent risks in the fact that activities under Component 1 will only be identified during implementation; (iv) selection of a non-representative set of partners; (v) difficulties in affecting real impact using a small budget; (vi) high transaction costs for geographically dispersed audiences (often speaking different languages); (vii) lack of coordination among stakeholders that could result in the duplication of effort or gaps; and (viii) the possibility that MPIDO's legitimacy to represent wider IPs' interests throughout the region will be questioned by other IP organizations, as well as their ability to inspire confidence among potential participants and those not selected to carry out capacity building activities.

58. To mitigate these risks: (i) MPIDO will partner with regional networks and organizations in the beneficiary countries who are committed to and have the mission of supporting indigenous communities (alleviating commitment and instability risks); (ii) capacity building and awareness raising activities on REDD+ will be beneficial to communities in all stages of the readiness process, and the fact that activities in each country will be strategically targeted and take into consideration the stage of the REDD+ readiness activities (alleviating the relevance risk); (iii) the technically well-defined and narrow financial scope of Component 1 activities (alleviating the uncertainty about the actual activities in each country); (iv) using existing implementation structures and funding relatively low cost, community level activities (addressing the risk of low impact due to small

budget); and (v) the availability of clear engagement guidelines and selection criteria, as well as the engagement of the World Bank and IP organizations in the approval of the project's work plan, which address the issues of misrepresentation, transaction costs and lack of coordination.

59. MPIDO has been receiving strong stakeholder support at both local, national and regional levels, which puts it at a strong position to deepen its engagement with indigenous communities and their organizations. Nonetheless, mitigation measures have been incorporated into the design of the project, and will be monitored and mitigated through enhanced supervision by the World Bank. In addition, the World Bank will develop MPIDO's fiduciary and M&E capacities, obtain no-objections from the relevant governments prior to the implementation of some activities, and ensure that the activities are aligned with the respective countries' wider engagement strategies with the Bank in relevant sectors. Finally, MPIDO will establish robust selection criteria and procedures for the capacity building activities (to be cleared by the World Bank), and maintain a high level of community buy-in through ongoing dialogues with IP representatives.

## VI. APPRAISAL SUMMARY

### *Technical*

60. FCPF-funded activities that affect IPs are governed by the World Bank Operational Policies, in particular Operational Policy 4.10 on Indigenous Peoples (OP/BP 4.10 - see more below under safeguards), and by the FCPF Charter (Revised November 23, 2015), which sets the terms and conditions for the establishment and administration of the Facility. The technical principles for partnering with IPs and other forest-dependent communities' under the FCPF is dictated by and detailed in the "Guidelines on Stakeholder Engagement in REDD+ Readiness - with a Focus on the Participation of Indigenous Peoples and Other Forest-Dependent Communities" (August 2012 version). In line with these guidelines, the project will ensure effective stakeholder engagement by:

(a) **Reaching a broad range of stakeholders at the national and local levels:** Within its budgetary limitations, the project will seek to engage with as broad and diverse audience as possible in the recipient countries. At the national level, this will be achieved through a call to IP organizations and networks in the eleven eligible countries to submit sub-grant funding proposals, and as needed – approaching directly entities which could support un-represented communities or segments within communities such as women and youth. Sub-grantees' eligibility criteria (detailed in the Operational Manual) are structured in a way that ensures a minimum level of engagement with indigenous women and a diverse representation of countries and communities. IP communities living in voluntary isolation will be identified and the work program will be developed in a way that completely avoids contact with these communities. Under sub-component 1.2 (*Support and empowerment of IP organizations and networks*), the project will engage with organizations/networks from all of the eleven countries to enhance their dialogue with national REDD+ decision making functions.

(b) **Using existing IP processes, organizations and institutions.** Capacity building and awareness raising activities will be carried out by existing and recognized (by communities

and the respective governments) IP organizations and networks that will submit sub-grant proposals or directly be approached by the project. The engagement methodologies, which may differ from one proposal to the other, will be appraised by the TAC to make sure, *inter alia*, that they are cognizant of a given community's internal political structures, sub-groups and cultures.

(c) **Ensuring active participation:** The mode of engagement with communities will ensure a two-way discourse that results in feedback and reactions from communities. When a series of meetings is planned, the same participants may need to be available to ensure continuity and effective engagement. This will be stated clearly and upfront as it may have an impact on participants' willingness to participate. The content and results of the meetings will be clearly communicated in advance to avoid misinformation and generating unrealistic expectations, and to ensure that trust is maintained.

(d) **Putting special emphasis on the issues of land tenure and livelihoods.** Capacity building activities and regional discussions (components 1 and 2, respectively) will allocate special attention to the issues of land tenure in the context of REDD+, resource-use rights and property rights because in many forest countries these are unclear as IPs' customary/ancestral rights may not necessarily be codified in, or consistent with, national laws. Another important issue which will be discussed is the impact of REDD+ on peoples' livelihoods. Other key issues that could be discussed will broadly correspond to the FCPF and UN-REDD Readiness Preparation Proposal (R-PP) components, include *inter alia*: (i) current status of national forests; (ii) institutional, policy and regulatory frameworks; (iii) main causes and drivers of deforestation and forest degradation; (iv) rights and needs of IPs and other forest-dependent communities; (v) proposed REDD+ strategy; (vi) design of benefit-sharing systems for equitable and effective distribution of REDD+ revenues; (vii) economic, social and environmental impacts and risks of REDD+ and the mitigation and prevention of risks; and (viii) monitoring of forests and forest emissions as well as environmental and social co-benefits.

(e) **Recording and publishing results.** Records of training sessions and workshops (national and regional) will be prepared and publicly disclosed in a culturally appropriate form, including in locally used languages. The reports will clearly document how views gathered have been taken into account during project implementation and elsewhere in the REDD+ Readiness process. This data will be gender disaggregated.

### ***Economic Viability***

61. Financial flows from REDD+ programs could reach up to US\$30 billion a year, in order to halve emissions between 2005 and 2030. Besides reducing carbon emissions, the flow of funds could support new, pro-poor development, and help conserve biodiversity and other vital ecosystem services. The costs of REDD+ can be grouped into opportunity costs, implementation costs and transaction costs; the costs of implementing a REDD+ program are those directly associated with actions to reduce deforestation, and hence emissions, including the costs of forest guarding, replanting trees, relocating harvesting and other economic activities and relocating infrastructure. Implementation costs also comprise the institution- and

capacity building activities that are necessary to make the REDD+ programs happen.<sup>29</sup>

62. The project takes a number of cost-effective approaches to enhancing capacity at the medium- to long-term, including the building of partnerships and alliances between IP organizations and national and regional REDD+ decision makers; and transferring relevant skills to communities living in the forest and forests margins. By working through national organizations and networks the project will be able to reach a diverse audience using its limited funding, and establish national expertise which is less costly than international support.

### ***Financial Management***

63. MPIDO has adequate financial management (FM) capacity to manage the grant, experience in implementing donor-financed projects, and it has developed an Administrative and FM Systems Manual. The budgeting is done using the procedures defined in the manual. The funds flow arrangements are simple given the small size of the institution. The accounting capacity is adequate with qualified accountants and proper maintenance of books of accounts. The accounting system is capable of generating quarterly and annual financial reports. The internal control systems is deemed to be adequate with comprehensive internal control procedures documented in the FM manual. The audit arrangements are undertaken by a private audit firm and are deemed to be sufficient. MPIDO has been having annual audits done within six months after the end of the financial year and has received clean/unqualified audit opinions.

64. With regards to project disbursement, financial reporting and audit arrangements, the following will be applicable:

- (a) The project will adopt the Statement of Expenditures (SOE) method of disbursement and will open a US\$ designated account (DA) in a commercial bank from which all project payments will be made.
- (b) The project will submit annual audit reports as part of the institutional audited financial statements. The audit report and management letter will be submitted to the World Bank within six months after the end of the financial year. Project receipts, payments and closing balances will be disclosed as notes to the accounts.
- (c) The project will submit quarterly unaudited Interim Financial Statements (IFR) to the World Bank within 45 days after the end of each calendar quarter.
- (d) The World Bank will conduct FM supervision of the project on the basis of documents and information requested from MPIDO.

65. Financial management arrangements have an overall residual risk rating of Low, which satisfies the World Bank's minimum requirements under OP/BP 10.00, and, therefore, is adequate to provide, with reasonable assurance, accurate and timely information on the status of the project as required by the World Bank.

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<sup>29</sup> WBI. 2011. Estimating the Opportunity Costs of REDD+-a Training Manual.

66. Based on the outcome of a financial management risk assessment, the following implementation support plan is proposed:

**Table 3. FM Implementation Support Plan**

Financial management activity	Frequency	FM OUTPUT
Audit report review	Annually	Audit review report
Review of other relevant FM information as requested from the implementing agency	Annually	FM review report

### ***Procurement***

#### **A. Procurement Arrangements**

67. Goods shall be procured under contracts awarded on the basis of Shopping procedures in accordance with the “Guidelines: Procurement of Goods, Works, and Non-Consulting Services under IBRD Loans and IDA Credits & Grants” by World Bank Borrowers dated January 2011 and revised in July 2014.

68. Contracts for Consultant Services shall be procured following procedures set forth in the “Guidelines: Selection and Employment of Consultants under IBRD Loans and IDA Credits & Grants” by World Bank Borrowers dated January 2011 and revised in July 2014.

69. Consultants’ services shall be procured under contracts awarded on the basis of (a) Quality and Cost based Selection (QCBS); (b) Selection based on Consultants Qualifications (CQS); (c) Least Cost Selection (LCS); (d) Selection of Individual consultants (IC); and (e) Single or Sole Source Selection (SSS). Individual Consultants will be selected on the basis of their qualifications for the assignment by comparison of CVs of at least three candidates from those expressing interest or those that are approached directly by the Implementing Agency in accordance with Section V of the Consultant Guidelines. In exceptional cases, Individual Consultants may also be selected on a sole-source basis but with due justification.

70. All Training and related activities shall be carried out on the basis of plans and budgets submitted annually by the Recipient for the prior written approval of the World Bank. The annual training plans and budgets shall identify the general framework of the training and shall include among other things; (i) training activity envisaged; (ii) objectives and justifications for the training; (iii) names of trainees and criteria for their selection; (iv) criteria for selection of training institutions or venues of training; (v) the anticipated outcome and impact of the training; (vi) the duration of the training; and (vii) the estimated costs of the training.

71. Operating Costs shall include incremental recurrent expenditures incurred on account of project implementation, as approved by the World Bank in writing, including local contractual support staff salaries; travel expenditures and other travel-related allowances; equipment rental and maintenance; vehicle operation (including fuel), maintenance and repair; office rental and maintenance, materials and supplies; and utilities, media information campaigns and communications’ expenses, but excluding the salaries of the Recipient’s civil servants.

The costs will be incurred in accordance with the Recipient's administrative procedures acceptable to the Bank.

72. Contracts to be procured under the project are relatively small in value. In this regard, and except as it may be otherwise stipulated in the Procurement Plan, all contracts shall be subject to post review by the Bank. However, all consultant services' Terms of Reference (TOR) and contracts awarded on the basis of Single Source or Sole Source Selection estimated to cost more than USD100,000 shall be subject to Bank's prior review.

#### B. Procurement Plan

73. MPIDO will prepare a draft Simplified Procurement Plan for the entire duration of the grant and share it with the Bank for review and approval. The Simplified Procurement Plan will form part of the grant agreement and will be updated from time to time as and when deemed necessary.

#### C. Frequency of Procurement Supervision

74. In addition to any prior review supervision that may be carried out from the Bank offices, it is recommended that supervision missions be conducted once every twelve months to carry out post review of procurement actions.

#### A. Safeguards Policies Triggered

75. **The project triggers OP/BP 4.10 on Indigenous Peoples since its beneficiaries are IPs as per the criteria of the policy.**<sup>30</sup> OP/BP 4.10 aims to ensure that the development process fully respects the dignity, human rights, economies, and cultures of IPs. The policy specifies that the World Bank provides financing only where free, prior, and informed consultation resulting in broad community support to the project by the affected IPs.

76. Specific compliance measures have been incorporated into the Operational Manual such as: (i) mechanisms to ensure broad community support of proposals submitted to MPIDO; (ii) the active participation of key stakeholders; and (iii) access to grievance redress mechanisms (see more below). MPIDO will receive capacity building and training from the World Bank to ensure its understanding of the Bank's environmental and social safeguard policies and its responsibilities regarding compliance. Capacity building will be based on an assessment of MPIDO's capability to screen, scope and oversee compliance with OP/BP 4.10, and to incorporate relevant elements of the policy into its own work program.

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<sup>30</sup> For purposes of this policy, the term "Indigenous Peoples" is used in a generic sense to refer to a distinct, vulnerable, social and cultural group possessing the following characteristics in varying degrees: (a) self-identification as members of a distinct indigenous cultural group and recognition of this identity by others; (b) collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories; (c) customary cultural, economic, social, or political institutions that are separate from those of the dominant society and culture; and (d) an indigenous language, often different from the official language of the country or region. A group that has lost "collective attachment to geographically distinct habitats or ancestral territories in the project area" because of forced severance remains eligible for coverage under this policy. Ascertaining whether a particular group is considered as "Indigenous Peoples" for the purpose of this policy may require a technical judgment.

77. The project will not therefore require separate Indigenous Peoples Plans or Indigenous Peoples Policy Frameworks, as the project in itself is designed to benefit IPs directly and will be implemented by IPs' own organizations.

78. Due to the nature of the activities to be financed by the project, no adverse social and environmental impacts are anticipated and therefore no other safeguards policy is triggered by the project (the project is *Environmental Assessment Category C–Not required*). However, during project implementation, any social and environmental impacts will be managed by (i) ensuring that the eligibility criteria for selection of the capacity building activities under Component 1 of the project are consistent with the World Bank's safeguard policies and incorporate appropriate environmental and social objectives; and (ii) promoting transparency, stakeholder participation, and public information disclosure.

79. This classification and the approach to be followed is consistent with the Interim Guidelines on the Application of Safeguard Policies to Technical Assistance (TA) Activities in Bank-Financed Projects and Trust Funds Administered by the Bank. The project classifies as a Type 1 TA (Type 1: Strengthening client capacity) for which no safeguards instruments need to be prepared prior to Appraisal as the activities financed do not have potential adverse environmental and social implications or risks. However, during project implementation, any social and environmental impacts will be managed by (i) ensuring that capacity building and awareness raising programs under Component 1 of the project are consistent with the World Bank's safeguard policies and incorporate appropriate environmental and social objectives; (ii) ensuring that activities are widely consulted with the key stakeholders and have the broad support of their main beneficiaries; and (iii) promoting transparency and public information disclosure. In addition, the TA to be provided under the project provides an opportunity to build counterpart capacity for integrating environmental and social concerns into their work.

80. **Grievance Redress.** MPIDO's GRM for the project will be carried out by the Secretariat, which will receive grievances through email, letters, fax, phone, meetings and proactive outreach to IP organizations and networks. Once registered, the Secretariat will propose a response following consultation with the TAC (if needed) and have the proposed response approved by the MPIDO Board of Governors before communicating it back to the issuing entity. At the national level MPIDO will support recipient organizations in REDD+ countries to build capacity to address potential disputes that are likely to arise during the implementation of capacity building activities, and ensure that satisfactory GRMs are in place before capacity building sub-grants are approved granted.

**ANNEX 1: RESULTS FRAMEWORK AND MONITORING**  
**AFRICA: Pan-African Forest-Dependent Indigenous Peoples FCPF Capacity Building Program on REDD+ Project**

Project Development Objective (PDO): Strengthen: (i) the knowledge of targeted forest-dependent indigenous peoples of REDD+ Readiness at the national level and (ii) knowledge exchange at the regional level.									
Results Indicators	Core	Unit of Measure	Baseline	Cumulative Target Values		Frequency	Data Source/ Methodology	Responsibility for Data Collection	Description
				YR1 <sup>31</sup>	YR2 <sup>32</sup>				
1. National knowledge exchange products disseminated in appropriate languages	<input type="checkbox"/>	Number	0	55	110	Annually	MPIDO and participating IP organizations/ networks	MPIDO	<p>Knowledge exchange products include: capacity building and/or awareness raising training sessions and/or workshops; and new training products</p> <p>Languages include at least: English, French, Portuguese, Arabic, Swahili and Amharic. Entities carrying out capacity building and awareness raising activities at the local level will translate products to local languages as appropriate.</p> <p>Targets for YR1 and YR2 are based on draft work plan, and will be confirmed before project effectiveness.</p>
2. Regional knowledge exchange products disseminated in appropriate languages and accessible formats	<input type="checkbox"/>	Number	0	2	5	Annually	MPIDO	MPIDO	<p>Knowledge exchange products include: South-south exchanges; regional workshops; and new lessons learned and/or best practices products</p> <p>Languages include at least: English, French, Portuguese, Arabic, Swahili and Amharic.</p>
3. Meetings held between IP representatives, and between IP representatives and national REDD+	<input type="checkbox"/>	Number	0	20	55	Annually	MPIDO and participating IP organizations/ networks	MPIDO	<p>Meeting are held within the 11 Component 1 eligible countries. Regional or bilateral meetings are not measured by this indicator.</p>

<sup>31</sup> YR1 is considered the first 12 months of the project from effectiveness.

<sup>32</sup> YR2 is considered the months from the end of the first year until June 30, 2018 (expected to be about 15 months)



decision making entities									
4. Direct project beneficiaries  Of which female	<input checked="" type="checkbox"/>	Number  Percent	0  0	5500  45	5500  45	Annually	Reports of IP organization and networks carrying out capacity building and awareness raising activities, and records of participation in regional and bi-lateral activities	MPIDO	Direct project beneficiaries are forest-dependent IP community members participating in capacity building and awareness raising activities under sub-component 1.1; members of IP organizations and networks' which participate in meetings and workshops under sub-components 1.2 and 2.1; and recipients of national and regional knowledge products.  Targets for YR1 and YR2 will be determined according to an agreed work plan, before project effectiveness.
5. Examples of the participation of direct project beneficiaries in national REDD+ processes and structures	<input type="checkbox"/>	Description	0	55	55	Annually	MPIDO and participating IP organizations  WB supervision missions	MPIDO / WB	Members of IP organizations involved in project activities participate more actively in the design of national REDD+ strategies and Emission Reduction Programs, and are represented more effectively in the various REDD+ thematic working groups and steering committees set up at the national level.

**ANNEX 2: DETAILED PROJECT DESCRIPTION**  
**AFRICA: Pan-African Forest-Dependent Indigenous Peoples FCPF Capacity Building Program on REDD+ Project**

1. The design of the *Pan-African Forest-Dependent Indigenous Peoples FCPF Capacity Building Program on REDD+ Project* is based on discussions between the FCPF FMT and IPs and CSO representatives in the past eight years, including the most recent workshop in Kenya in August 2015 where IPs and CSO representatives deliberated on the specifics of activities, implementation arrangements, eligibility for participation and more. The project will provide targeted forest-dependent IPs and their representative organizations with tools that would enable them to have a stronger voice in REDD+ Readiness and implementation programs, and participate more effectively in relevant regional and national discussions and debates.
2. Consistent with OP/BP 4.10 on Indigenous People, which pays particular attention to the rights and special needs of women, and in recognition of the widespread political, economic and socio-cultural marginalization of indigenous women, the project will ensure that indigenous women, as well as youth, are partnered with in all project-funded activities, and that their views are well reflected and voiced in produced learning materials, reports and studies. This will be achieved, where needed, by partnering with indigenous women organizations or other indigenous organizations that have programs that are specific to indigenous women and youth. At the same time, the project will be cognizant of avoiding the undermining of traditional decision-making structures and the authority of traditional representatives.
3. The project will be implemented during the years 2016-2018 in 18 FCPF countries in Africa, namely Burkina Faso, Cameroon, Central African Republic, Democratic Republic of Congo, Republic of Congo, Cote d'Ivoire, Ethiopia, Gabon, Ghana, Kenya, Liberia, Madagascar, Mozambique, Nigeria, Sudan, Tanzania, Togo and Uganda, while participation in national activities will be available to eleven of the 18 countries, namely Cameroon, Republic of Congo, Côte d'Ivoire, Ethiopia, Liberia, Madagascar, Mozambique, Nigeria, Sudan, Togo and Uganda. The project will be financed through a US\$774,583 Recipient-Executed Trust Fund from the FCPF CBP, and implemented by the Mainyoto Pastoralists Integrated Development Organization (MPIDO), which is located in Kenya. Financed activities will be grouped into the following three components:

**Component 1: National Capacity Building and Awareness Raising (US\$549,870)**

4. Component 1 will support national-level capacity building and awareness raising activities for forest-dependent IPs and their representative organizations and networks in the eleven participating countries, with specific focus on women and youth. Activities will enable participants to:
  - (a) Understand the phenomenon and impacts of climate change on IPs and their communities, including the issue of land tenure and locally-based livelihoods;
  - (b) Understand the REDD+ mechanism, including its threats and opportunities for IPs, and allow communities to voice their concerns and objectives;

- (c) Realize IPs' respective roles and responsibilities related to climate change mitigation and adaptation through sustainable management of forest and other resources;
- (d) Affirm the need for a rights-based and ecosystem approach to climate change;
- (e) Conduct monitoring of national REDD+ activities; and
- (f) Determine the ways forward vis-à-vis REDD+ and other international processes and measures, including participation in the management and implementation of REDD+ nationally through a process of self-selection of IP representatives.<sup>33</sup>

5. Activities may be carried out at the national, sub-regional and/or jurisdiction levels. The design and choice of activities will be informed by the key principles of language diversity within the region (ensuring a balance between proposals from Anglophone, Francophone and Lusophone countries and making sure knowledge products are produced in key local languages), gender considerations (funding women-specific activities and actively seeking a balance between female and male beneficiaries), and understanding of infrastructural constraints within IPs' territories, especially those related to means and forms of communication. Activities will also be considered in view of past and present REDD+ capacity building programs in the region and elsewhere, and use to the extent possible existing manuals, training material, and other tools. The government entity/national focal point<sup>34</sup> implementing REDD+ processes will be engaged and consulted with from time to time in order to enhance coordination at the national level.

#### ***Sub-component 1.1: Implementation of capacity building and awareness raising activities***

6. Through a review of existing appropriate (in terms of content and language) learning materials, MPIDO will determine which new studies, analytical reports and learning materials need to be produced for the use of IP organizations/networks to deliver key messages, and these will be developed in simple formats and relevant languages by MPIDO and/or hired consultants, as appropriate. The produced studies, reports and learning material will be reviewed by the TAC to ensure technical soundness, coherence and clarity of the messages. Once they have been finalized, these knowledge products will be shared with the organizations/networks executing capacity building and knowledge sharing activities, to be used in such activities and translated to local languages as appropriate.

7. In parallel to the identification and development of the knowledge products, MPIDO will issue calls to IP organizations/networks to submit sub-grant proposals in accordance with agreed procedures as reflected in the project Operational Manual. The number of calls for proposals will depend on the level of response and the number of satisfactory proposals. The project may also approach directly in-country organizations as consultants by issuing a Request for Proposals to deliver specific goods and/or services to un-represented communities or to under-represented segments within communities such as women and youth, as needed.

8. Organizations and networks will be assessed against the following criteria:

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<sup>33</sup> See Tebtebba (2010). Climate Change, REDD+ and Indigenous Peoples: Training Course for Indigenous Peoples.

<sup>34</sup> Focal points are officially nominated national liaisons with the UNFCCC secretariat and the relevant bodies under the Convention. In the context of this project a focal point could also mean a liaison between the national government and the FCPF. They are also referred to as National REDD+ Coordinators.

- (a) Proof of legal status at the country level
- (b) Extent of representation of forest-dependent IPs
- (c) Demonstrated technical, financial management (including an organizational bank account), procurement, human resource and safeguards compliance capacities aligned with the guidelines of the Operational Manual
- (d) Ability to communicate with MPIDO, network with national and regional partners, and communicate with communities in relevant languages
- (e) Grievance redress mechanism in place and demonstrated capacity to address grievances

9. Once submitted, the proposals will be reviewed by the TAC to ensure activities' technical soundness and eligibility, as well as applicants' capacity and legitimacy to implement the proposals. The TAC also will seek a balance between eligible proposals from Francophone, Anglophone and Lusophone countries, and the allocation of funds between the 11 countries, to the extent possible. The following describes the minimum eligibility criteria that have been agreed upon by IP representatives during the preparation phase (all of the criteria will need to be met at a minimum):

- (a) Activities are implemented in eligible FCPF Country Participant for the benefit of forest-dependent IPs.
- (b) The focus of capacity building activities is aligned with the PDO, i.e., strengthening the knowledge of targeted IPs of REDD+ Readiness at the national level and strengthen knowledge exchange at the regional level. A description of the methodology for the planned activities is included in the proposal.
- (c) Activities are aligned with a recipient country's agreed engagement strategies with the World Bank regarding climate change, REDD+ and the forestry sector, among others.
- (d) Activities include national capacity building workshops in line with related initiatives on REDD+.
- (e) The proposal ensures active and proportionate participation of women and youth (including scheduling of meetings that take account of restrictions on women's time and travel for cultural and workload reasons), and includes activities that build their capacity and awareness in appropriate methods.
- (f) Proposals show how the support will be leveraged to attract additional financial support (cash and/or in-kind).

10. The results of the TAC's proposal reviews will be forwarded to MPIDO with recommendations for improvements and resubmission, or with recommendations for approval. MPIDO will submit favored proposals and recipients' details to the World Bank for no-objection, followed by the signing of a sub-grant agreement by MPIDO and the proposing entity according to agreed formats and procedures as specified in the Operational Manual. Capacity building and awareness raising activities will then be carried out by the recipients in accordance with their approved proposals, using existing and newly development knowledge products. MPIDO will monitor their implementation and provide technical and operational support as needed. Each recipient organization will prepare a completion report that describes the implementation process, level of participation (disaggregated by gender), communities' expressed views and priorities, encountered issues and recommendations for

improvement/lessons learned.

### ***Sub-component 1.2: Support and empowerment of IP organizations and networks***

11. In parallel to the activities described under sub-component 1.1, the project will finance activities that strengthen the capacities of select national IP organizations and networks to participate in the implementation of REDD+ Readiness actions. The project will help enhance entities' REDD+ capacities by: (i) strengthening the dialogue between national IP organizations and networks (within a given country) to enhance their collaboration and refine their messages through workshops and meetings around key REDD+ themes; (ii) facilitating liaison between national organizations and networks and the respective national REDD+ focal points, FCPF IP observers and governmental committees for climate change through joint workshops and meetings around key themes; and (iii) supporting IP networks' participation in R-PP implementation, coordination, supervision and monitoring structures nationally<sup>35</sup> by creating an infrastructure for a self-selection process; this would entail joint meetings of national IP networks and organizations, joint preparation of ToRs for the selection process, and training of selected representatives as needed. Activities are expected to have a trickle-down effect on forest-dependent IPs as their representative organizations will be better equipped to represent them at national and regional REDD+ fora, and have stronger capacities to support and engage their communities in all REDD+ stages.

#### ***Key Outputs of Component 1:***

- vi. Studies, analytical reports and learning materials for the use of IP organizations/networks
- vii. Capacity building and awareness raising activities (through sub-grants and consultancies)
- viii. Workshops and meetings between national IP organizations and networks around key REDD+ themes and the self-selection process
- ix. Agreed ToRs for self-selection
- x. Workshops and meetings between national IP organizations and networks and the respective national REDD+ focal points, FCPF IP observers and governmental committees for climate change around key REDD+ themes.

### **Component 2: Regional Exchange and Sharing of Lessons Learned (US\$147,255)**

12. In response to forest-dependent IP representatives' calls for knowledge sharing and dissemination at the regional level, the focus of Component 2 funding is the design and implementation of a robust regional platform for information exchange and knowledge sharing between forest-dependent IP organizations and networks in all 18FCPF member countries. Representatives' specific requests were to support (i) a mechanism for information dissemination and awareness-raising activities that would reach forest-dependent IP communities; (ii) the development of clear FCPF communication and outreach plans for IPs at the grassroots level in forms and languages accessible to IPs, drawing upon existing resources, relationships, and networks; and (iii) reflecting views and voices of IPs in REDD+ publications on lessons learned and challenges. Accordingly, the project will finance the

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<sup>35</sup> Structures include technical working groups and committees, local governance structures, structures for key REDD+ components and cross-cutting themes, SESA preparation groups, etc.

following activities:

***Sub-component 2.1: Regional learning and exchange***

13. MPIDO will convene a regional project inception workshop which will serve to: (i) disseminate available REDD+ knowledge products for IP communities, including deliverables of Phase I of the CBP and any knowledge products developed by the project under sub-component 1.1; (ii) discuss the relevance of traditional knowledge and practices for climate change and REDD+ strategies; and (iii) raise participants' awareness of the project under CBP Phase II. The workshop will bring together REDD+ Focal Points of the African FCPF countries, representatives of IP organizations and IP observers from the FCPF and related initiatives (such as the UN-REDD Program). It will include a side event on indigenous women and REDD+ that will discuss challenges and good practices related to IP women's participation and representation in the REDD+ Readiness process.

14. Toward the end of the project, MPIDO will convene a second regional workshop where organizations that carried out capacity building and awareness raising activities under Component 1 will share their learned lessons, good practices and recommendations. This event will also give stage to most recent advances in various climate change processes in the region and globally. Participation will be similar to the inception workshop, and a second women-focused side event will be organized with focus on women-specific lesson learned and recommendations. Representatives of relevant regional institutions such as UN-REDD, GCF, CBD, African Union and global process such as the UNFCCC will be invited to participate in the workshops.

15. In addition to the two workshops, the project will facilitate South-South exchanges between advanced and less advanced participating countries to encourage first-hand learning and sharing of experience from REDD+ Readiness processes. The number of visits will be determined by the availability of project funding as well as co-financing from candidate countries based on proposals made by IP organizations and networks, and MPIDO.

***Sub-component 2.2: Dissemination of knowledge products and lessons learned***

16. This sub-component will fund the development and dissemination of existing and new REDD+ educational and knowledge products, and communication of lessons learned/good practices from Component 1 to the wider IP audience in FCPF countries (in Africa and elsewhere). The first step would be the preparation of a regional communication strategy. The strategy is expected to determine the key messages, audiences and communication techniques by which the products will reach IP communities, paying particular attention to women and youth audiences within communities, and reflecting the views and voices of IPs and their organizations/networks. The strategy will take into consideration existing material and knowledge dissemination platforms which could be utilized by the project, and prepare a budget and a strategy for post-project communication. Following a technical review of the strategy by the TAC, MPIDO will prepare the needed educational and knowledge products, which could include brochures, posters, short documentaries, fact sheets and use of different media platforms (e.g., radio programs, existing websites, social media) in commonly used

languages and in accessible forms.

*Key Outputs of Component 2:*

- v. A regional inception workshop and a side event focusing on indigenous women and REDD+
- vi. A regional completion workshop and a side event focusing on indigenous women and REDD+
- vii. South-South exchanges (in content and number to be proposed by the participating countries and depending on availability of project and countries' financing, respectively)
- viii. Dissemination of existing and new REDD+ educational and knowledge products, including lessons learned and good practices in accordance with the project communication strategy

**Component 3: Management, M&E and Reporting (US\$77,458)**

17. This component will finance the overhead costs of the MPIDO team that will manage the project during the 18 month project duration. Project management includes procurement, financial management, environmental and social safeguard compliance assurance, monitoring and evaluation (M&E) and reporting, and preparation of annual work plans and budgets acceptable to the World Bank. This component will also finance an annual audit of the project account by an external auditor and any costs related to the execution of a grievance redress mechanism.

18. MPIDO will coordinate and harmonize project activities with other relevant projects and partners, especially with PACJA for regional activities under Component 2. It prepared an Operational Manual, acceptable to the World Bank, with detailed technical and fiduciary procedures, including eligibility criteria, mechanisms and procedures for the selection and implementation of activities under Component 1.

19. M&E will take place at the project and national levels in accordance with the project results framework (see Annex 1) using information which MPIDO will collect from all Component 1 recipient organizations, and self-generated data under component 2. MPIDO will synthesize the information into quarterly progress reports which it will submit to the World Bank.

*Key Outputs of Component 3:*

- v. Annual work plans and budgets
- vi. Quarterly progress reports (including financial data)
- vii. Annual external audits
- viii. Operational grievance redress mechanism

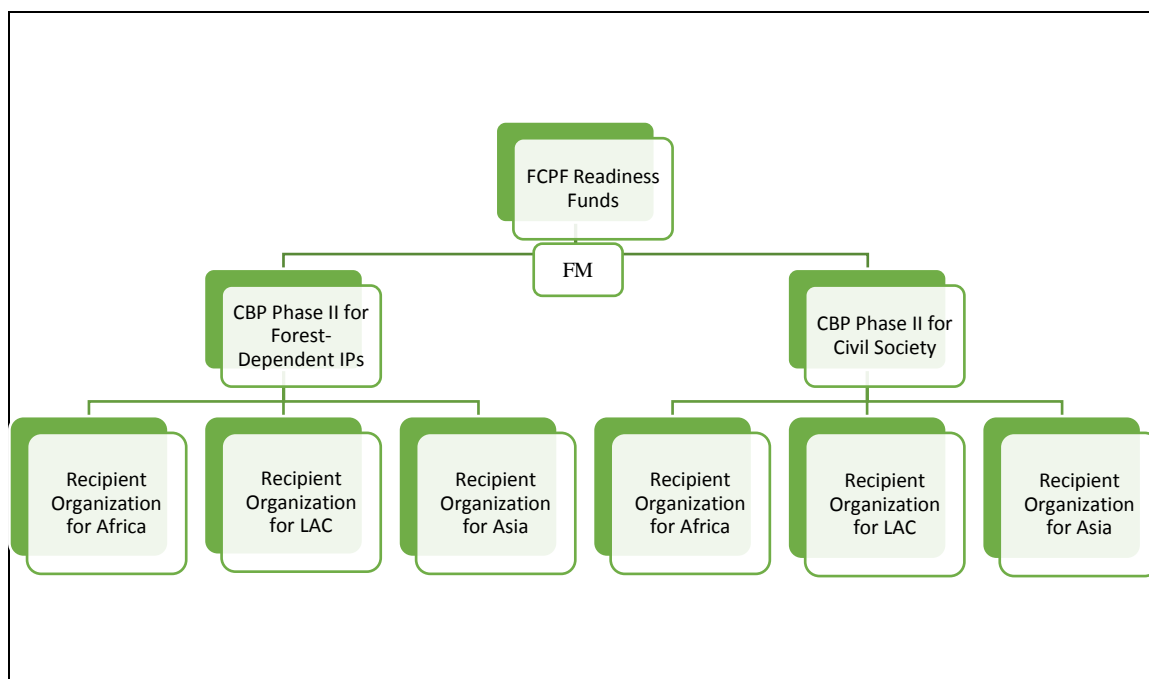
### ANNEX 3: DETAILED IMPLEMENTATION ARRANGEMENTS

#### AFRICA: Pan-African Forest-Dependent Indigenous Peoples FCPF Capacity Building Program on REDD+ Project

##### *Project institutional arrangements*

1. The World Bank is the home of the FCPF Facility Management Team (FMT, the FCPF Secretariat) that is responsible for the operation of the Facility and relations with the Facility's governing body, the FCPF Participants Committee (PC). The project will be implemented according to a grant agreement that will be signed by the World Bank and MPIDO, which is the selected Recipient Organization for this project. At the national level, capacity building activities will be funded through sub-grants and consulting contracts (as needed) and carried out by select IP organizations/networks and consultants, respectively, through agreements/contracts with MPIDO. Regional activities will be implemented by MPIDO and by consultants it will hire for specific tasks.

**Figure 1. Project Institutional Arrangements for the FCPF CBP Phase II**



##### *Project implementation arrangements*

2. **Mainyito Pastoralist Integrated Development Organization (MPIDO) will be the grant recipient and the implementing agency of this project; as such, it will be responsible for the overall management of the project.**<sup>36</sup> This arrangement reflects IP

<sup>36</sup> MPIDO was selected following an FMT/World Bank evaluation of candidate organizations' (i) eligibility criteria as outlined in FMT Note 2012-12 and related documentation; (ii) the organizations' level of credibility and solid track record, evidenced by letters of recommendation received from partner organizations familiar with their work; and (iii) the organizations' administrative and fiduciary capacity to manage World Bank funds, based on the



representatives' call for entrusting capacity building funding and programs' management in the hands of IP organizations, and relying on IP experts, technicians, professionals and traditional leaders and authorities. It also reflects the PC's decision to transition the execution of the CBP to SRETF grants to regional IP organizations and CSOs, allowing the World Bank to better supervise funded activities, affect a stronger sense of ownership for beneficiaries, and a more efficient system for the administration of capacity building grants in comparison to CBP Phase I.

**3. MPIDO is a Kenya-based organization that was established in 1996 and registered as an NGO in 2000 with the mission to promote, facilitate and create an enabling environment to realize human rights and secure natural resources and livelihoods for the sustainable development of IPs.** To achieve this mission, MPIDO has set itself the strategic priorities of food security and climate change, child education and female genital mutilation, gender and HIV/AIDS, natural resource management and conflict resolution, governance and policy advocacy and institutional strengthening, which are put into action through dedicated programs and projects. Under its climate change project, MPIDO has been carrying out awareness raising on climate change and REDD, supported participation in national, regional and international processes, conducted advocacy amongst policy makers, supported livelihoods and conservation strategies, captured and disseminated indigenous knowledge and facilitated networking on IPs' issues.

**4. MPIDO is recognized by IP organizations nationally, in the continent and globally.** It has earned a reputation as a credible advocacy and community development institution, as well as an organizer, leader, and supporter of various IP organizations, partnerships and networks. MPIDO currently hosts two networks, the Pastoralists and Hunter Gatherers Ethnic Minorities Network (PHGEMN) and the Indigenous Peoples National Steering Committee on Climate Change (IPNCCC), which are key in advocating the rights of IPs in Kenya. It is also a member of other networks such as the International Indigenous Peoples Forum on Climate Change (IIPFCC), the Kenya Land Alliance, and the Kenya Climate Change Working Groups. MPIDO has an observer status in the African Commission on Human and Peoples Rights, and has been in the lead in liaising with the Commission's Working Group on Indigenous Populations. MPIDO is well known in various UN bodies and agencies and by IP organizations that engage in human rights and climate change: it is an active participant of the UN Population Fund (UNPF) on indigenous issues and it was one of the main African organizations that promoted the development and eventual endorsement of the UNDRIP. In relation to forests, climate change and REDD+, MPIDO is one of the leading IP institutions to become engaged in REDD+ debates nationally, as well as in negotiations in the UNFCCC, and it is a member in Kenya's REDD+ Technical Working Group.

**5. MPIDO has previous experience with World Bank and other donor-funded projects.** It was contracted by the World Bank as a vendor in 2008 to deliver the first FCPF Pan-Africa Dialogue with Indigenous Peoples in Arusha, Tanzania, and it completed a vendor-based contract for CBP Phase I in Kenya. It has also implemented regional activities, including for the Indigenous Peoples Assistance Facility (IPAF) of the International Fund for Agricultural Development (IFAD), where it supervised the allocation of funds to ten IP

organizations in ten African countries. Its programs are supported by a number of multilateral and bi-lateral aid agencies.<sup>37</sup>

6. **MPIDO has prepared an Operational Manual**, acceptable to the World Bank, including detailed technical and fiduciary procedures for project implementation, and a full list of eligibility criteria and procedures for the selection, implementation and M&E of sub-grants' activities under Component 1 and a grievance redress mechanism. It also prepared a work plan and a procurement plan for the duration of the project, acceptable to the World Bank, which it validated in with stakeholders to ensure appropriate participation and inputs/feedback, and to reach agreement on regional priorities. Both Operational Manual, work plan and procurement plan were approved by the Bank.

7. **The organization's existing internal structure is expected to allow it to successfully perform its responsibilities as the project implementing agency.** MPIDO's staff comprises ten women and nine men who implement the various organizational functions, including financial management and accounting, program management, administrative management, secretary services and support staff. In an assessment carried out by the FCPF FMT during the preparation of the project, it was concluded that MPIDO had in place effective mechanisms to ensure collaboration and strategic alliances with international partners, national governments and regional mechanisms. At the same time, it was concluded that MPIDO's grievance and redress mechanisms, which consist mainly of regional networks where issues are discussed, would need to be complemented by the FCPF guidelines for grievance redress, reflected in the project's Operational Manual.

8. **MPIDO's Secretariat (i.e., Program Officer, Finance Manager, Administrator, Accountant and Assistants) will receive financial management, procurement, safeguards and M&E support from the World Bank and external technical support from a Technical Advisory Committee (TAC).** The TAC will be established before the signing of the grant agreement based on terms of reference that were agreed by IP representatives from the 18 participating countries, which determine its functions, internal structure, communication methods and composition. The members of the TAC will be selected by MPIDO for the duration of the project in consultation with IP regional networks, and will possess relevant expertise, an agreed level of education, and expressed commitment to participate in the TAC. The Committee's functions will include the review of sub-grant proposals and providing recommendations on awarding of funds. Its composition will reflect regional, gender and language balance considerations, including two representatives from participating Francophone countries, two representatives from Anglophone countries and one forest expert from an indigenous community in one of the participating countries.

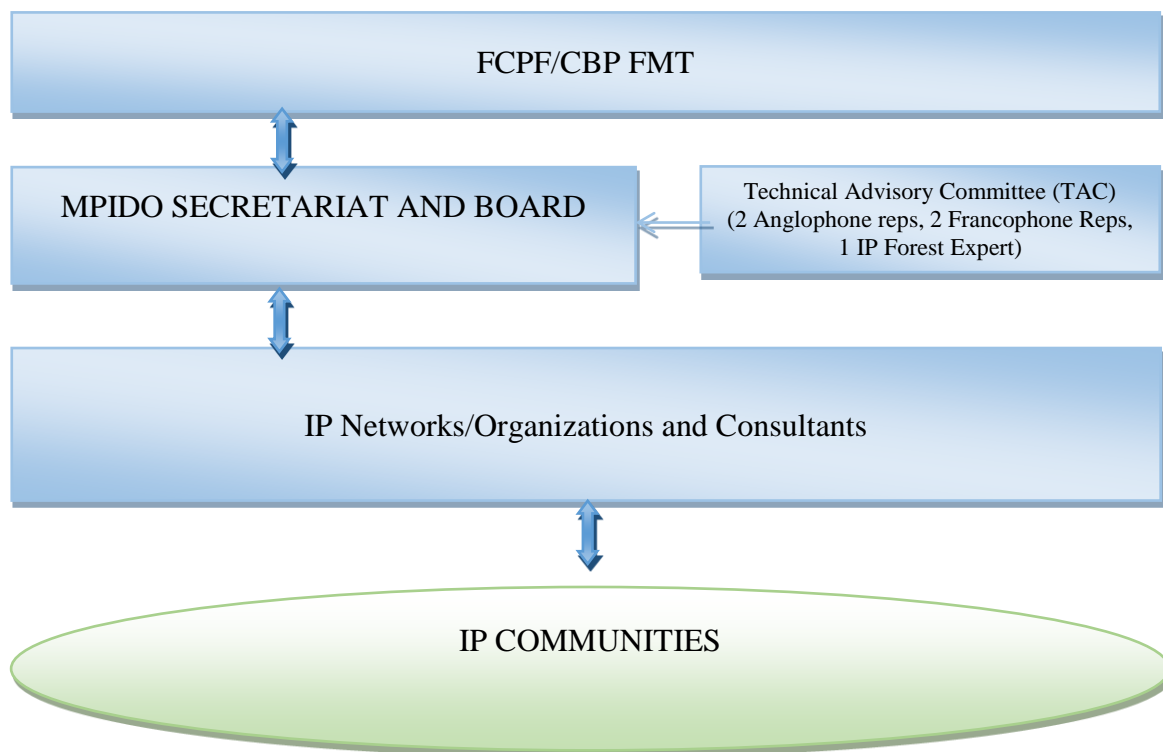
9. **Internally within MPIDO, project oversight will be carried out by MPIDO's existing Board of Governors**, which comprises a chairperson, a vice chair, a secretary, a program coordinator, a treasurer and two committee members (three women and four men in total). The Board will hold meetings on a quarterly basis or more frequently as needed, and

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<sup>37</sup> These are: Oxfam Ireland, the International Work Group for Indigenous Affairs (IWGIA), Swiss Catholic Lenten Fund, the Catholic Organisation for Relief and Development Aid (CORDAID), the International Fund for Agricultural Development (IFAD), Uraia Trust (Kenyan organization focusing on civic education), SNV, the Indigenous Peoples' Biocultural Climate Change Assessment Initiative (IPCCA) and TEBTEBBA/NORAD.

communicate its key messages regarding the project to the FMT as needed, in order to reach joint agreement on next steps.

**Figure 2. Project Implementation Structure**



**ANNEX 4: RECIPIENT ORGANIZATION'S SELECTION PROCESS**  
**AFRICA: Pan-African Forest-Dependent Indigenous Peoples FCPF Capacity Building**  
**Program on REDD+ Project**

1. The process for the selection of MPIDO as the recipient organization for this project is summarized below:
2. The FMT launched a call for proposals in December 2012 to identify organizations in Africa, Latin America and Asia interested in implementing projects under the FCPF Capacity Building Program in their respective regions (in each region one organization was selected to implement activities for forest-dependent IPs, and one organization was selected for implementing activities for CSOs and local communities).
3. The FMT received ten proposals by the deadline of January 31, 2013. Of these proposals, four were considered to implement activities for forest-dependent IPs, and six were considered for implementing activities for CSOs and local communities. From January through April 2013, FMT members and World Bank regional social development staff evaluated the ten proposals based on the following eligibility criteria outlined in FMT Note 2012-12:
  - i. The organization is an IP or civil society organization (organizations were asked to describe their organizational and governance structure, staff and similar items).
  - ii. The organization enjoys a high level of credibility regionally and has an established institutional structure with a solid track record in issues related to forestry, climate change and/or REDD+ (organizations were asked to provide information on their work in the area of forestry, climate change and/or REDD+).
  - iii. The organization has experience working effectively with other regional organizations (organizations were asked to describe their collaboration with other regional organizations or networks).
  - iv. The organization has demonstrated a capacity for effective financial management and procurement (organizations were asked to describe their major sources of funding and also the fiduciary responsibilities within the organization, i.e., budgeting, expense approval, accounting and auditing).
  - v. The organization possesses the capacity to ensure compliance with the World Bank's safeguard policies (organizations were asked to provide details on their experience undertaking and/or supervising environmental and social assessments).
  - vi. The organization has demonstrated the capacity to address grievances and provide a redress mechanism (organizations were asked to provide information on their existing mechanism to address grievances that may occur in their work and/or plans to establish such a mechanism).
  - vii. The organization offers a level of credibility and a solid track record, evidenced by letters of recommendation received from partner organizations familiar with its work.
  - viii. The organization has the administrative and fiduciary capacity to manage World Bank funds, based on the information provided by the respective organizations in the Integrated Assessment Framework (IAF).

4. Upon conclusion of the evaluation process, the FMT sent to PC members and observers the names of the selected organizations on May 16, 2013. Upon receiving no objection, the organizations were notified by the end of May 2013 of their selection as implementing entities for the FCPF Capacity Building Program.

# **ANNEX 5: PROJECT MAP** **AFRICA: Pan-African Forest-Dependent Indigenous Peoples FCPF Capacity Building Program on REDD+ Project**

