

DRAFT PROPOSAL FOR CONSULTATION
The Community-based REDD+ Initiative (CBR+)
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Table of Contents

1. Background.....	1
2. Policy framework.....	2
3. Objectives.....	2
4. Tentative components and focus.....	3
5. Comparative value and international alignment	5
6. Criteria and early scoping of countries for CBR+.....	6
7. Implementation arrangements	6
Annex 1. Synthesis of CBR+ projects, activities and delivery (2014-2017)	8
Annex 2. Selected CBR+ information and knowledge documentation (2014-2017)	9

1. Background

In 2013, the UN-REDD Programme established the Community-based REDD+ initiative (CBR+), one of the pioneering schemes for community action in the REDD+ domain. Its main objective was to enhance the engagement and inclusion of indigenous peoples and forest communities in national REDD+ processes, thus providing grassroots experiences and perspectives into national policy for REDD+. CBR+ was implemented in the period 2014-2017 and has received praise from a wide range of stakeholders: from indigenous organisations themselves to national governments, and to the UN-REDD executive board – whose members have proposed and discussed a potential new phase, which this note explores while scoping funding.

In its first phase, the CBR+ initiative was conducted in 6 pilot countries, which were UN-REDD partner countries with full-fledged national REDD+ processes: Cambodia, DRC, Nigeria, Panama, Paraguay and Sri Lanka. It was financed with USD 4 million from the Government of Norway through the UN-REDD Programme. It was implemented by UNDP, combining the technical support of its Climate & Forests Team and the existing operational architecture of the UNDP/GEF Small Grants Programme (SGP), which also provided matching grant funds. In total, CBR+ financed and helped implement over 100 community projects, as well as supporting policy dialogue, capacity building and knowledge management towards inclusive and rights-responsive REDD+ action in the beneficiary countries (see [Annex 1](#) for a synthesis of CBR+ delivery, and [Annex 2](#) for a selected list of CBR+ information and knowledge documentation).

CBR+ delivered its commitments, results and funding within the planned 4 years, with no delays or extensions required. The efficient and effective delivery was the result of a combination of factors: focused design, realistic planning, national governance arrangements based on multi-stakeholder platforms, the use of an existing grant mechanism (the SGP) and a clear purpose. Following the success, representatives of indigenous peoples and local communities, REDD+ governments and UN-REDD Executive Board members have called for a new phase, seeking the same aim of CBR+ as a catalyst of community-government partnerships for REDD+.

2. Policy framework

Since the first proposal for CBR+ in 2013, various policy developments in the climate arena have emerged and taken a central stage. They require, more than ever, national-community alliances and cooperation (as CBR+ fosters). These new policy avenues are:

- **The shift to REDD+ implementation:** A few, pioneering countries have adopted policies & measures for REDD+, have integrated them in their NDCs, and are actually implementing some of them (e.g.: Colombia, Côte d'Ivoire, DRC, Ecuador, Peru). Most of them remain supported by UN-REDD and several of them have signed bilateral/multilateral funding agreements with the leading REDD+ donors (e.g.: Germany, Norway). These countries have significant and active indigenous and forest communities, which will play a defining role in the success, inclusiveness and credibility of REDD+. There is an urgent need to ensure REDD+ finance flows to the grassroots and empowers community actions for the forests.
- **The NDCs – driving climate action:** Through the *Paris Agreement*, NDCs are the keystone policy instrument for advancing climate action. The land use, land-use change and forestry sector represents 25% of planned emission reductions in the current NDCs. A number of REDD+ countries highlight the key contribution to be made by forest-related activities to meet their NDC goals. Yet to meet these forest-related NDC goals, there is a need to ensure that indigenous peoples and forest communities have the channels and means to contribute with their perspectives, experiences, projects and knowledge toward NDC implementation and enhancement. The successful implementation of the land & forest components of NDCs lies on robust multi-stakeholder partnerships, on the full and effective engagement of indigenous peoples and forest communities, and on the promotion of forest rights. Community inclusion is essential to deliver on ambitious forest-related aspects of NDCs.
- **The UNFCCC LCIP Platform:** The UNFCCC has been negotiating a new global platform on local communities and indigenous peoples (LCIP) as an inclusive mechanism to enhance knowledge sharing and policy dialogue between governments and indigenous/community stakeholders at the UNFCCC. The LCIP Platform was adopted at the recent CoP-24 (December 2018) and will soon start an inception phase. The Platform has a unique potential for fostering and enhancing inclusive climate action in the areas where indigenous peoples and local communities have the greatest potential to contribute to mitigation, adaptation and resilience, by way of traditional knowledge and forest management practices. At this crossroads, country and local efforts on knowledge exchange, climate actions and policy dialogue (as UN-REDD and CBR+ have been doing over the past years) can provide concrete and practical inputs to the Platform, based on indigenous peoples and local communities experience with REDD+, thus guiding and nurturing its early stages.

In addition, as REDD+ finance unlocks, there is a funding gap towards indigenous and forest communities. Countries need viable examples of funding mechanisms to finance grassroots actions for forests and climate that contribute to national goals (SDGs, NDCs).

3. Objectives

In view of the mentioned policy crossroads in the climate & forest realm, a new CBR+ initiative (CBR+2) would support and empower indigenous peoples and forest communities to implement and monitor national/subnational policies and commitments for REDD+ results.

In particular, CBR+2 will support indigenous peoples and forest-dependent communities to take their own actions within national REDD+ strategies and the forest components of NDCs. It will also promote dialogue and participatory monitoring of the forest components of NDC implementation.

By financing community actions and fostering community-government alignment on REDD+, CBR+2 will enhance the ambition of NDCs and accelerate their implementation in the field.

In addition, CBR+2 could also support the inception of the new LCIP Platform of the UNFCCC by offering country examples on both community-government cooperation and the promotion of indigenous knowledge and forest management practices for climate action. In other words, CBR+ can stimulate national policy and knowledge collaborations between indigenous peoples and governments and channel them into the LCIP Platform.

4. Tentative components and focus

The initiative would have two streams:

- a country-level stream (the main one), financing indigenous and community actions in countries that are implementing REDD+ policies & measures, hence enhancing ambition and impact of the land-use and forest-related components of their NDCs; and
- a global, knowledge stream (informed by the country stream), to underpin the new LCIP Platform with community-based knowledge and experiences, as well as to feed international policy dialogues around NDCs.

An outline of CBR+ follows. If there is an expression of interest, the outline will evolve into a results framework (with outcomes, outputs and indicators) in consultation with prospective CBR+ donors, indigenous peoples and other relevant stakeholders.

Country stream

The objective of the country stream is two-fold:

- (i) to support indigenous and forest communities to participate in the implementation and monitoring of REDD+ policies & measures; and
- (ii) to foster the engagement of indigenous and forest communities in the review, implementation and monitoring of the land-use and forest components of NDCs.

The following components are proposed for the beneficiary countries:

1. **Community action:** Financing community projects that test, pilot or implement national/jurisdictional provisions for REDD+, as stated in the national strategy for REDD+, in multilateral agreements for REDD+, in the NDCs (including associated NDC partnership and/or implementation plans), in GCF/RBPs programmes, and/or in partnerships for deforestation-free commodities. In addition, CBR+2 will provide capacity building and technical advice to organisations implementing complex community projects (*e.g.*: forest restoration, design of community mechanisms for REDD+ payments, land-use planning).
2. **Policy dialogue:** Building on the community action and lessons, CBR+2 will support multi-stakeholder policy dialogues in the beneficiary countries to review, implement and monitor the forest-related components of the NDCs. This will include efforts to integrate indigenous knowledge in the design and implementation of NDCs related to forests. This component will also support the multi-stakeholder governance mechanism for CBR+ (i.e. the national CBR+ steering committees).

CBR+2 will engage in a few countries that qualify as forerunners in REDD+ action and that are willing to enhance forest-related ambition in their NDCs by way of empowering indigenous peoples and local communities with their roles in forest and land use (see section 6 for criteria and early scoping

of potential countries). The country programmes will systematically promote the equitable and meaningful engagement of women and men within indigenous and forest communities.

In addition, CBR+2 would engage with, and support selected countries in upstreaming community actions and indigenous knowledge into national and global policy endeavours, as follows:

- piloting indigenous knowledge initiatives on forests & climate, as well as South-South exchanges on CBR+, as examples on the ground for the LCIP Platform to draw upon;
- national and sub-national dialogues to consolidate the community experiences and chart their way forward, ensuring incorporation in (and linkages with) NDCs and other policies (SDGs);
- potentially, strategic projects (up to USD 150,000) to build on and scale up the most promising initiatives implemented under CBR+ in 2014-2017 (1-2 per country).

The country outcomes (both community action and policy dialogue) will feed the works of the global stream (*e.g.*: UNFCCC's LCIP Platform, NDC dialogue) – as described next.

Knowledge stream

The knowledge stream will channel community-level knowledge and experiences into global policy processes, ensuring indigenous and community views and rights feed global policy processes.

The following components are envisaged:

1. **LCIP Platform:** Support the jumpstart of the new UNFCCC's LCIP platform, notably by providing country-based knowledge and experiences in the forest realm that can underpin the Platform's global work. In addition, technical and institutional advice to the Platform will also be offered. This component is already under discussion with the UNFCCC Secretariat as well as with the stakeholders managing the Platform (the LCIP Platform's inception workshop in Bonn in June 2019 will provide more clarity on the potential support role of a future CBR+ programme).
2. **NDC dialogue:** Support the analysis of NDCs in terms of their recognition and promotion of the forest rights and knowledge of indigenous peoples and local communities. This will be done in collaboration with the UNDP NDC Support Programme and in the context of the global NDC partnerships. It will also aim to inform regional and global NDC dialogues such as the series of UNFCCC/UNDP NDC dialogues that have been conducted with over 200 governments from 150 developing countries.
3. **Management & outreach:** Ensure sound coordination, technical quality and policy alignment of CBR+ activities, as well as disseminate lessons.

During 2020, this stream will be coordinated with the UN-REDD knowledge component on "REDD+, forest tenure and the rights of indigenous peoples" (UN-REDD strategy 2018-2020) as well as with the global knowledge and advocacy work of the Tenure Facility and other international partners that support the LCIP Platform and NDCs.

The gender mainstreaming experiences of CBR+ (2014-2017) and the new UN-REDD gender-equality approach will be applied.

A proposed distribution of deliverables and funding is presented in Table 1.

Table 1. Outline of a potential CBR+2 initiative

Components	Key tasks	Main deliverables	Funding share (%)
Country stream	Community action	<ul style="list-style-type: none"> • Community grants • Capacity building to community organisations implementing grants 	70
	National policy dialogues	<ul style="list-style-type: none"> • National multi-stakeholder dialogues/platforms on NDCs • National fora on indigenous knowledge for climate & forest action • National governance of the CBR+ initiative 	10
Knowledge stream	LCIP Platform	<ul style="list-style-type: none"> • Knowledge exchanges (based on outcomes from the country stream: community action and policy dialogue) • Support to the participation of indigenous peoples at the LCIP Platform • Advisory support to the LCIP Platform 	10
	Inclusive NDCs dialogues	<ul style="list-style-type: none"> • Independent analysis and/or advise to promote the inclusion of the forest management practices, tenure rights and customary knowledge of indigenous peoples and local communities in NDCs (<i>e.g.</i>: NDCs review processes, NDC partnerships and/or NDC implementation/action plans). • Multi-stakeholder dialogues on the above 	5
	Management & Outreach	<ul style="list-style-type: none"> • Coordination • Technical & policy advice • Knowledge management 	5

5. Comparative value and international alignment

There are diverse community initiatives in the forest domain internationally. The singularity of CBR+ is to foster a community-government partnership to enhance policy design and implementation in the climate-forests nexus. In this sense, CBR+ aims at overcoming the usual divide in REDD+ between government programmes and community grants, which tend to undermine the partnership spirit and the common vision that are required for effective REDD+ results.

The CBR+ approach, following the inclusive philosophy of UN-REDD, requires community and government stakeholders to work together and to align their ideas and efforts on forests, so these deliver their critical roles in community livelihoods, national sustainable-development goals and global climate mitigation. Among the existing community REDD+ programmes, CBR+ is unique in the pursuit of a partnership between community/indigenous stakeholders and government actors as a pivotal action. In addition, only CBR+ has systematically employed a multi-stakeholder governance mechanism at national level (through the SGP's national steering committee mechanisms), which has demonstrated to be conducive to joint dialogue and co-operation between indigenous and government stakeholders on REDD+ actions.

In this sense, a new CBR+ initiative would complement well the existing landscape of community REDD+ programmes, fostering joint community-government policy dialogue and concertation, which are key for the success of both NDCs and the LCIP Platform. In addition, CBR+ would focus on the pioneering countries implementing REDD+, so to enhance synergies and accelerate transformations and reforms. CBR+2 would also support the initiation of the new UNFCCC LCIP

Platform by providing country examples of indigenous knowledge feeding national policies & programmes in the forest/REDD+ arena.

6. Criteria and early scoping of countries for CBR+

In selecting beneficiary countries for a second phase, CBR+ would use specific criteria to better respond to the evolving circumstances and key challenges in the REDD+ arena (as indicated in section 2 on the Policy Framework).

Countries will be selected on the basis of a formal expression of interest. Then, they will be assessed by UN-REDD according to a set of policy and operational criteria, as follows:

Policy criteria

- National strategy for REDD+ (or equivalent) adopted and registered in the UNFCCC Hub.
- REDD+ implementation finance mobilised and initiated (national fund, multilateral REDD+ agreement or GCF programme), while a funding gap/opportunity for community actions and investments is identified.
- Interest expressed formally and jointly by government and indigenous representatives.
- Evidence of willingness to both enhance the forest-related component of the NDC and to do so through a participatory and rights-based approach.

Operational criteria

- SGP dynamism or active UNDP community funding channels (i.e.: in-country demonstrated capacity to deliver CBR+ grants).
- Active presence of the UN-REDD Programme or the UNDP Climate & Forests Team (i.e. existence of channels to provide technical assistance and oversight).

The pre-identification of countries will be based on the mentioned criteria. Only about a dozen countries may meet the above-mentioned criteria and, depending on funding available, 4 to 6 countries would be supported at a time. The country selection process could be conducted by a committee established by the UN-REDD Executive Board and composed by representatives from the donor/s, UNDP and indigenous peoples.

7. Implementation arrangements

The CBR+2 initiative will be implemented in the same way as the first CBR+ initiative, which proved to deliver timely and effectively. Their key implementing partners will be as follows:

- The **UN-REDD Programme** will channel the funding (via UNDP), conduct the process for country selection, and provide the reporting.
- The **SGP** will implement the community grants as well as the policy/knowledge work, using the existing SGP operational architecture, which has a proven record of timely and effective implementation (the SGP may also provide matching grant funds to community projects and national policy dialogues to amplify impact, depending on GEF funding availability).
- The **UNDP Climate & Forests Team** (which sustains UN-REDD) will provide technical advice, as well as nurturing the policy alignment of CBR+ with national commitments and global processes (e.g.: linking with the LCIP Platform, the NDC Partnership and the UNFCCC/UNDP NDC regional dialogues).

At the **country level**, operations will follow the well-tuned SGP systems and procedures, with some adjustments to genuinely respond to the technical focus and participatory features of REDD+, both in terms of international provisions (UNFCCC, the *Paris Agreement*) and national policy (REDD+ strategies, NDCs). Building off existing SGP institutional structures, national steering committees (NSCs) will be established in each country to govern the initiative: they are multi-stakeholder in composition, with governmental and indigenous & community stakeholders, as well as independent experts. The CBR+/NSCs provide overall guidance to the CBR+ initiative in the country, including: adopting the national plan, setting criteria, reviewing proposals, selecting the beneficiary projects and providing oversight. The National Plan for CBR+, which is designed through stakeholder consultations and adopted by the CBR+/NSCs, provides the national framework to guide the purpose, criteria and selection process of CBR+ proposals, ensuring synergies between local initiatives and national policy. In each beneficiary country, calls for proposals are issued in line with the National Plan for CBR+ and following SGP procedures. Capacity building is given to potential grant applicants to help them develop and submit proposals that are technically sound and viable. Typically, CBR+ delivers small grants (up to USD 50,000 with the possibility of higher grants if well justified) directly to indigenous peoples and forest communities for REDD+ action. The SGP and UN-REDD specialists guide and monitor the implementation of CBR+ projects. Synergies and collaboration with other similar initiatives, such as the Tenure Facility's country projects and the World Bank's DGM, will be scoped and integrated in the country CBR+ plans, in order to exploit complementarities, share lessons and enhance the policy effects. On completion of the CBR+ grant, lessons are shared with REDD+ decision-makers in order to influence REDD+ policy nationally and further action on the ground.

For the **knowledge stream**, a partnership collaboration with the UNFCCC Secretariat, the NDC platforms, the Tenure Facility and various global/regional networks of indigenous peoples will be established to coordinate actions and enhance synergies.

The **UNDP Climate & Forests Team** has the expertise and experience in building and helping manage alliances between governments and indigenous/forest peoples. It is perceived as an impartial agent that can convene different stakeholders and facilitate their work towards co-operation, partnership, consensus and participatory governance. The Team, deployed across regions, is able to rapidly provide countries with a mix of capacity building, soft diplomacy, support to policy dialogue, facilitation of consensus, assisting governments with complex national reforms and guiding community funds to engage the grassroots. In addition, the UNDP Climate & Forests Team is at the core of key international REDD+ initiatives, including as a founding and management partner of UN-REDD, originator of the CBR+ initiative, a delivery partner of the FCPF, a co-financing partner of the GCP and, not least, a partner in the implementation of various multilateral and bilateral agreements for REDD+ (e.g.: Peru/JDI, CAFI, DRC/FONAREDD).

Annex 1. Synthesis of CBR+ projects, activities and delivery (2014-2017)

CBR+ components	Number of community projects	Other CBR+ activities <i>(in addition to planning, coordination and grant management)</i>	CBR+ delivery (USD)
Cambodia	13	<ul style="list-style-type: none"> • Independent evaluation for each project 	518,386
DR Congo	26	<ul style="list-style-type: none"> • Capacity building to indigenous and rural organisations in conjunction with the national REDD+ programmes. • Strong media linkages 	543,996
Nigeria	15	<ul style="list-style-type: none"> • Support to stakeholder consultations for the REDD+ Strategy of Cross River State. • Capacity support for the <i>Free, Prior and Informed Consent</i> of forest communities affected by a major motorway proposal crossing the Cross River National Park and nearby forest reserves. • Public awareness campaigns on forest and REDD+ in Cross River State and nationwide. 	561,723
Panama	15	<ul style="list-style-type: none"> • National forum of leaders and representatives from the 15 CBR+ projects to discuss and review the draft national strategy for REDD+ and its satellite components (2017). • In addition, 5 projects of capacity-building on REDD+ for indigenous and community stakeholders. • Extensive knowledge process, with publications and videos. • Specific forest-gender stream to inform national policy 	570'823
Paraguay	24	<ul style="list-style-type: none"> • Production of various videos with lessons learned from CBR+. 	543,136
Sri Lanka	8	<ul style="list-style-type: none"> • 17 capacity-building programmes for local organisations: training to some 4,000 people. • Gender mainstreaming: 50% women engaged in project activities – achieved. 	538,175
Global coordination & knowledge	-	<ul style="list-style-type: none"> • Technical assistance on REDD+ concepts and approaches to country teams and beneficiary community organisations. • Support to multi-stakeholder policy dialogues on REDD+, including on NDCs. • Project and grant monitoring. • Knowledge management. • Reporting. 	454,316
GMS / indirect costs	-	<ul style="list-style-type: none"> • Administrative support • Oversight of funding management & delivery • Internal audits 	261,139
Grand Total	101		3'991'694

Annex 2. Selected CBR+ information and knowledge documentation (2014-2017)

Country	Product type	Title / Theme	Date	Links
Global	Information brief	CBR+ Fact Sheet	2015	➤
	Information brief	CBR+ Brochure	2017	➤
	Progress brief	CBR+ Progress Brief	2017	➤
	Blog article	CBR+ Update: Supporting Innovative Community Solutions in Sri Lanka and Cambodia	2017	➤
Cambodia	Evaluation reports	<p>Independent evaluations of the following CBR+ projects:</p> <ul style="list-style-type: none"> • AFD/CBR+ project in Kampong Thom Province • CBR+ project on improving livelihoods of indigenous peoples and sustainability of forestry conservation in Ratanakiri Province • VSG CBR+ project in Oddor Meanchey Province • OBL CFMTR+ Project in Kampong Thom Province • PCS CFMTR+ Project in Kampong Thom Province • PKOK CFMTR+ Project in Kampong Thom Province • Project “Flooded forest conservation of Kohras Lake for the improvement of the community livelihoods” 	2017	
DR Congo	Photo essay	Guardians of the forest: In the Democratic Republic of Congo, indigenous women are joining forces to regenerate the forest and protect their livelihoods	2017	➤
	Internal report	Rapport final CBR+ (RDC)	2018	
	Video	CBR+ project on apiculture and forest conservation	2018	➤
Nigeria	Article	Community Based REDD+ Programme in Nigeria: A success story	2018	➤
Panama	Programme note	Bosques de Vida – documento del programa CBR+ en Panamá	2015	➤
	Knowledge report	Memorias del foro de CBR+ para la Construcción de la Estrategia Nacional REDD+ (Octubre 2016)	2017	➤
	Knowledge report	Incidencia del Programa Bosques de Vida en la Estrategia Nacional REDD+: Lecciones aprendidas bajo el enfoque de las 5 actividades de REDD+ y las salvaguardas sociales y ambientales	2017	➤
Paraguay	Programme note	Plan de Acción CBR+ Paraguay	2015	➤
	Video	CBR+ achievements and lessons in Paraguay	2018	➤
	Video	Lessons from CBR+ project empowering indigenous women in Tavai county	2018	➤
Sri Lanka	Report	The CBR+ portfolio in Sri Lanka: A review	2017	
	Knowledge brief	Lessons Learned from CBR+ in Sri Lanka	2017	➤
Global & SGP	Annual report	SGP Annual Monitoring Report 2016-2017 (it has references to CBR+ and its innovative nature)	2017	
	Independent evaluation	Joint GEF-UNDP Evaluation of the SGP.	2015	