

# CLIMATE INVESTMENT FUNDS

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Washington D.C  
Wednesday, December 7, 2016

**DEDICATED GRANT MECHANISM FOR INDIGENOUS PEOPLES AND LOCAL COMMUNITIES**

# The Dedicated Grant Mechanism for Indigenous Peoples and Local Communities

## Semi-Annual DGM Progress Report

*Covering the Period from January 1 – June 30, 2016*

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Prepared by Conservation International, as the Global Executing Agency of the DGM Global Project, on behalf of the DGM Global Steering Committee, for submission to the World Bank and the Forest Investment Program Subcommittee of the Climate Investment Funds

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GLOBAL

CONSERVATION  
INTERNATIONAL



CLIMATE  
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## LIST OF ABBREVIATIONS

<b>AIDSEP</b>	<i>La Asociación Interétnica de Desarrollo de la Selva Peruana/Interethnic Association for the Development of the Peruvian Rainforest</i>
<b>AMAN</b>	<i>Aliansi Masyarakat Adat Nusantara/Indigenous Peoples Alliance of the Archipelago</i>
<b>CCA/NM</b>	<i>Centro de Agricultura Alternativa do Norte de Minas/Center for Alternative Agriculture</i>
<b>CI</b>	Conservation International
<b>CIF</b>	Climate Investment Funds
<b>CONAP</b>	<i>Confederación de Nacionalidades Amazónicas del Perú/Confederation of Amazonian Nationalities of Perú</i>
<b>COP</b>	Conference of the Parties (of the UNFCCC)
<b>CSO</b>	Civil society organization
<b>DGM</b>	Dedicated Grant Mechanism for Indigenous Peoples and Local Communities
<b>DKN</b>	<i>Dewan Kehutanan Nasional/Community Chamber of the National Forestry Council</i>
<b>DRC</b>	Democratic Republic of Congo
<b>FIP</b>	Forest Investment Program (of the Climate Investment Fund)
<b>GEA</b>	Global Executing Agency (of the DGM Global Project)
<b>GEF SGP</b>	Global Environment Fund Small Grants Programme
<b>GIS</b>	Geographic information system
<b>GRM</b>	Grievance Redress Mechanism (of DGM Projects)
<b>GSC</b>	Global Steering Committee (of the DGM)
<b>IFAD</b>	International Fund for Agricultural Development
<b>IPLCs</b>	Indigenous Peoples and Local Communities

<b>IUCN</b>	International Union for Conservation of Nature
<b>MPIDO</b>	Mainyoto Pastoralists Integrated Development Organization
<b>NGO</b>	Non-governmental organization
<b>NORAD</b>	Norwegian Agency for Development Cooperation
<b>NEA</b>	National Executing Agency (of the DGM Country Project)
<b>NSC</b>	National Steering Committee (of the DGM Country Projects)
<b>OIREN</b>	<i>Observatoire Ivoirien pour la gestion des Ressources Naturelles</i> /Ivorian Observatory for Natural Resource Management
<b>REDD+</b>	Reducing Emissions from Deforestation and Forest Degradation Plus
<b>REPALEF</b>	<i>Réseau des Populations Autochtones et Locales pour la Gestion durable des Écosystèmes Forestiers en RDC</i> /Network of Indigenous and Local Populations for the Sustainable Management of Forest Ecosystems in the DRC
<b>SBSTA</b>	Subsidiary Body for Scientific and Technological Advice
<b>SEP-REDD+</b>	Permanent Executive Secretariat of REDD+ for Cote d'Ivoire
<b>ToR</b>	Terms of Reference
<b>TTL</b>	Task Team Leader (World Bank)
<b>UNDP</b>	United Nations Development Programme
<b>UNFCCC</b>	United Nations Framework Convention on Climate Change
<b>UNPFII</b>	United Nations Permanent Forum on Indigenous Issues
<b>WWF</b>	World Wildlife Fund

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# Part I: Introduction and Overview

## 1. Introduction to the Report

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This is the second Semi-Annual DGM Progress Report for the full Dedicated Grant Mechanism for Indigenous Peoples and Local Communities (DGM) Program. The report compiles information across all DGM Country Projects and the Global Project for DGM activities carried out from January 1 to June 30, 2016. The report is divided into three main parts: Part I provides an overview of the DGM objective, implementation arrangements, and governance; Part II synthesizes and summarizes information across all DGM Projects; and Part III provides more detailed information on implementation progress by individual project. Each National Executing Agency (NEA) provided information about implementation during the period to the Global Executing Agency (GEA), and the GEA compiled and summarized this information to prepare Part III of the report. Part II was prepared by the GEA as a synthesis of all information received.

As detailed in subsequent sections, during the reporting period DGM Projects in Brazil, Peru, DRC, Burkina Faso, and the Global Project were approved, declared effective, and started implementation. DGM Projects in Indonesia and Mexico made progress in project preparation. In Ghana the focus during the period was on establishing the NSC, developing internal administrative documents including the Grievance Redress Mechanism, and selecting the DGM Ghana NEA. Indigenous peoples of Côte d'Ivoire, Mozambique, Republic of Congo, and Nepal established interim committees to facilitate consultations and selection of NSCs. In Lao PDR, initial contacts were made between the government and indigenous peoples.



## 1.1. Overview of the DGM

### Objective

The Dedicated Grant Mechanism (DGM) for Indigenous Peoples and Local Communities (IPLCs) is a global initiative under the Climate Investment Fund's (CIF) Forest Investment Program (FIP).[1] Implemented by the World Bank under its investment financing policies, the DGM provides US\$ 80 million in financing to enable the full and effective participation of IPLCs in the global effort to reduce deforestation and forest degradation under Reducing Emissions from Deforestation and Forest Degradation (REDD+). To do this, the DGM has two linked components managed by IPLCs: 1) Country Projects in 14 FIP countries, and 2) a Global Learning and Knowledge Exchange Project.

The DGM benefits indigenous peoples and local communities, who are referred to collectively as IPLCs. In the DGM, IPLCs and IPLC organizations are more than beneficiaries; they are also the proponents of the program and principle agents of its design and implementation. This includes IPLCs located in FIP countries, who participate in the governance of DGM Country Projects and the Global Project and who implement or participate in DGM Country Project activities; and IPLCs in FIP and non-FIP countries, who participate in Global Project activities.

### DGM Allocations

In October 2011, the FIP Subcommittee approved the DGM Design document and US\$ 50 million for indicative DGM allocations in Brazil, Burkina Faso, Democratic Republic of Congo (DRC), Ghana, Indonesia, Lao PDR, Mexico, and Peru, as well as an allocation for the Global Project.

In May 2015, the FIP Subcommittee agreed to make available US\$ 30 million for the implementation of the DGM in six new pilot countries (including Global and Country Components): Côte d'Ivoire, Ecuador, Guatemala, Mozambique, Republic of Congo, and Nepal.

## **Implementation Arrangements**

Representatives of indigenous peoples and local communities manage the DGM through steering committees formed at the national and global levels. National Steering Committees (NSCs) oversee DGM implementation in their respective countries. The Global Steering Committee (GSC) provides intellectual and policy leadership to the DGM, monitors overall implementation of the DGM, and oversees the Global Project. Steering committee members are selected and overall committee composition is defined through a participatory process led by IPLCs.

The GSC includes one IPLC representative from each FIP-DGM pilot country and one representative from a non-FIP country as decision-making members. One additional IPLC representative is selected from each country as an alternate to the selected member. The GEA Director serves as secretary to the GSC, and the World Bank Global Project Technical Team Leader (TTL) participates as an observer along with a member of the CIF Administrative Unit.

Decisions of the steering committees are implemented by a Global Executing Agency (GEA) for the Global Project and by a National Executing Agency (NEA) for the Country Projects. The DGM is operationalized by the World Bank under its operational policies for investment financing, providing overall technical, fiduciary and institutional oversight to the program at the global and country levels. The GEA and NEAs report on the program to the respective steering committees as well as the World Bank, which has the responsibility to report to the CIF trust fund committees.

A key aspect that needs to be highlighted is the link to the FIP in the countries. DGM activities are complementary to and have synergies with FIP activities in the countries.

## **DGM Activities**

As set out in the DGM Program Document, DGM activities fall within the following categories, which are adapted based on each country context. DGM Country Projects have two main components: i) administration and funding of on-the-ground, demand-driven interventions to promote sustainable management of forest landscapes and livelihoods that enhance climate change mitigation and adaptation; and ii) support for capacity development of IPLCs in leadership, management, and technical skills. In addition, Country Projects will plan for activities to address DGM-related communications, overall project coordination, management, monitoring, and reporting. To expand its impact, DGM Country Projects are linked to regional and international networks through the DGM Global Learning and Knowledge Exchange Project, which carries out shared learning, capacity strengthening, advocacy, and outreach activities at the international scale.



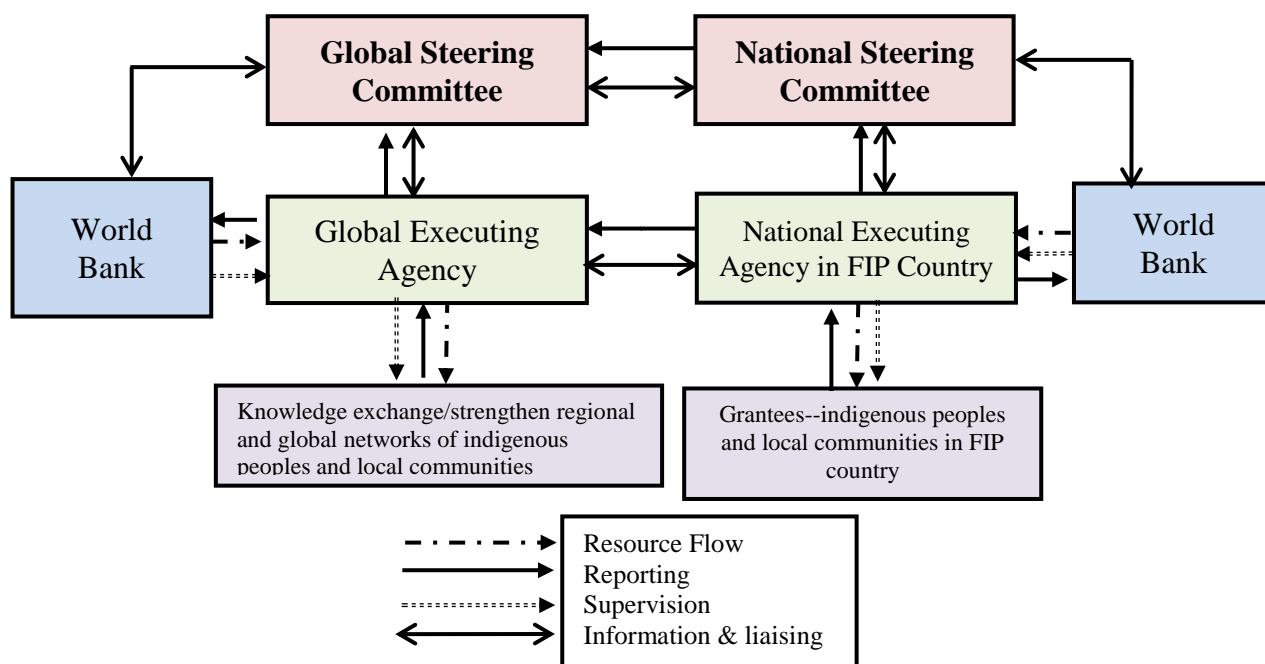


Figure 1. Institutions involved in the governance and management of the DGM

## Part II: Synthesis of DGM Progress

### 2. Summary of DGM-Wide Implementation

Activity during the reporting period focused primarily on project preparation and establishment of governance structures for all DGM Projects, with some implementation activities for the four Country Projects that are effective. Through the second reporting period, only the Global Project, DGM Brazil, DGM Saweto Peru, DGM Democratic Republic of Congo, and DGM Burkina Faso Projects have been

approved and declared effective. In this section, a summary of DGM Project status is provided. Project preparation and implementation activities are summarized for effective projects and Project preparation activities are summarized for Projects still in the preparation phase.

## 2.1. Current Status of DGM Projects

The DGM project cycle includes the following stages: i) establishment of a representative National Steering Committee (NSC) through consultations with IPLCs in each respective FIP country; ii) drafting and approval of the Country Project Concept; iii) selection by the NSC of a National Executing Agency (NEA); iv) preparation of an assessment of environmental and social risks and risk management plan; v) appraisal and approval of the Country Project by the FIP Subcommittee and the World Bank Board of Directors; vi) signing of a grant agreement between the NEA and the World Bank and completion of any grant effectiveness conditions, including completion of a Project Operational Procedures Manual; and vii) project implementation, including progress reporting. The progress on this process has varied in the different DGM countries based on specific country contexts. Project preparation grants were introduced as a new resource during this period, and accessed by DGM Indonesia. Overall the DGM program was in different stages of preparation or implementation during the reporting period:

- DGM Projects in Brazil, Peru, DRC, Burkina Faso, and the Global Project were approved, declared effective, and started implementation during the period. The DGM DRC grant signing ceremony was held in April in Kinshasa during the second DGM GSC meeting.
- DGM Projects in Indonesia and Mexico were in project preparation. Indonesia has selected its NEA.
- In Ghana the focus during the period was on establishing the NSC, developing internal administrative documents including the Grievance Redress Mechanism, and selecting the DGM Ghana NEA.
- IPLCs of Côte d'Ivoire, Mozambique, Republic of Congo, and Nepal have selected DGM interim committee members to facilitate consultations and final selection of their NSCs.
- DGM Lao PDR has not reported on progress during the period. Initial contacts have been made between the government and indigenous peoples.
- Ecuador has provided no report.

The status of each Project is described in more detail in Part III of this report. A summary of Project approval status is provided in Table 1.

**Table 1. DGM Project Approval Status during the Reporting Period January 1 – July 30, 2016**

<b>DGM Project</b>	<b>Steering Committee Status</b>	<b>Project Approval Status</b>	<b>Executing Agency Selected</b>	<b>Executing Agency Grant Agreement Signed</b>
<b>Global Project</b>	GSC established	Approved	Conservation International	March 2015
<b>Brazil</b>	NSC established	Approved	CCA/NM	April 2015
<b>Peru</b>	NSC established	Approved	WWF Peru	September 2015
<b>Burkina Faso</b>	NSC established	Approved	IUCN Burkina Faso	October 2015
<b>DRC</b>	NSC established	Approved	Caritas Congo	April 2016
<b>Indonesia</b>	NSC established	In preparation	Samdhana Institute	-
<b>Mexico</b>	NSC established	In preparation	Not yet selected	-
<b>Ghana</b>	NSC members selected	In preparation	Solidaridad	-
<b>Côte d'Ivoire, Mozambique, Republic of Congo</b>	Interim committee being established	Establishing process for preparation	Not yet selected	-
<b>Ecuador, Guatemala, Nepal, Lao PDR</b>	Preliminary preparation activities underway	-	-	-

## 2.2. DGM Implementation Activities during the Period

As noted above, progress toward implementation varies with each country depending on their specific contexts. During this reporting period, activities in the four effective Country Projects had a strong focus on outreach and communication about the DGM, training communities in project preparation, and planning for implementation activities scheduled to begin in the next reporting period. For those countries with projects that are not yet declared effective, including Indonesia, Mexico, Ghana, Côte d'Ivoire, Mozambique, Republic of Congo, Ecuador, Guatemala, Lao PDR, and Nepal, activities focused on the establishment of governance frameworks and procedures to prepare for implementation. Activities for each project are summarized below.

### 2.2.1. Global Coordination

- **Second Annual GSC Meeting:** The GEA organized the second Annual GSC Meeting, held in Kinshasa, DRC in April with assistance from Caritas Congo (the NEA) and the GSC Co-Chair in Kinshasa. Committee members from Burkina Faso, DRC, Ghana, Indonesia, Mexico, and the Philippines were joined by observers from the interim committee of the DGM in Côte d'Ivoire, Mozambique, and the Republic of Congo. During the meeting, implementation status updates were provided for Country and Global Projects. Members provisionally approved the Global Project Year 2 Work Plan and Budget (pending GEA responses to GSC requests for clarifications and modifications), as well as updated rules and procedures, a Communications Plan, and a common monitoring and reporting framework for the program. The Committee voted to form three Subcommittees: a Temporary Work Plan and Budget Subcommittee to address recommendations to the Year 2 Work Plan and Budget; a Grievance Redress Mechanism Subcommittee; and a Communications, Advocacy, and Outreach Subcommittee.
- **GEA-NEA Planning and Coordination Meeting:** The GEA hosted a planning and coordination meeting with the five established DGM NEAs in Arlington, Virginia (USA) in January. The main objectives of the meeting were to establish and agree on a single common framework for DGM monitoring and reporting, provide a forum for knowledge exchange on DGM implementation processes, generate information to support the process in other countries, provide detailed guidance on the DGM GRM for NEAs to implement in each country, and establish a common communications and outreach strategy.

### 2.2.2. Call for Subproject Proposals

- **Brazil:** In January, DGM Brazil posted its first call for subproject proposals. Out of 158 proposals received, 41 were pre-selected (pending site visits): 24 from IPs, 8 from Quilombola communities, and 9 from LCs, totaling an estimated six million reais (US\$ 1.7 million). Site visits by the NEA technical committee to the pre-selected projects, preparation of the final opinion, and approval by the NSC will take place early in the next reporting period. Of the 41 pre-selected proposals, 30 will be approved for funding. The allocation of funds to local organizations to implement projects is scheduled to start in October 2016.
- **Burkina Faso:** A call for proposals was developed by IUCN Burkina Faso, approved by the NSC, and launched in June. At closing, nearly 600 community subproject proposals had been received.
- **Peru:** Peru's first call for subprojects closed on June 4. Each of the 18 project intermediaries submitted a master proposal and altogether these included 13 subprojects related to the legal recognition of communities as indigenous, 10 subprojects for land titling, and 10 subprojects for community forest management. All 33 subprojects were approved and subproject implementation is pending final budget revision.

### 2.2.3. Outreach and Training

#### *a. Workshops and Conferences*

- **DGM Global:** The DGM participated in events at the UNPFII in New York, USA with contributions from both the Global Project and the DGM Saweto Peru Country Project. The DGM Co-Chair from the Philippines and a representative from DGM Saweto Peru spoke on a panel organized by the World Bank, and at a side event organized by the DGM GEA titled "Illustrating how direct funds governed by IPLCs can contribute to adaptation, mitigation, and conflict resolution."
- **Brazil:** Three workshops were held following the call for subproject proposals to share information with IPLCs about DGM objectives and components, resources available, and topics such as REDD+ and the legal framework of IPLCs, and to explain guidelines for the selection process, including a walk-through exercise for filling out the Expression of Interest (subproject proposal).
- **Burkina Faso:** Five regional workshops and twelve local-level workshops were held to strengthen the capacity of stakeholders and partners. Workshops addressed topics including Project overview, climate change, environmental and social assessments, complaints and the Grievance Redress Mechanism, and the development of community subprojects.



- **Peru:** Six regional workshops were held to disseminate the DGM Saweto Peru Project Operational Procedures Manual to the 18 project intermediaries. During these meetings, the Grievance Redress Mechanism and the Conflict of Interests Policy were also presented and discussed. Following these workshops, the 18 intermediaries conducted community or subnational assemblies to (i) socialize the DGM Saweto Peru Project, (ii) confirm the project intermediary representatives from the native communities in the DGM Saweto Peru Project, (iii) select the initiatives to be submitted for DGM Saweto Peru funding, and (iv) confirm community members' commitments to support and in-kind contributions to the DGM Project.
- **Indonesia:** A DGM NSC representative from Indonesia was supported by the GEA to attend CBA10 in Dhaka, Bangladesh in April. The focus of the meeting was on enhancing urban community resilience, and the representative spoke as part of a panel on financing urban community-based adaptation, explaining how the DGM functions and the way it works with IPLCs. He explained the process to establish and design the DGM Indonesia Project and responded to questions, including how countries were selected for the DGM, and how IPLCs in Nepal can access the mechanism.
- **DGM Africa Regional Training Workshop:** The GEA carried out planning activities to conduct the first regional training, which will be held for the Africa region and is scheduled to take place in Burkina Faso in July. The content and agenda for the training were finalized, and the majority of logistics planning was also completed, with crucial assistance from the GSC members in Burkina Faso, as well as IUCN Burkina Faso acting as the NEA. The objective of the training is to strengthen the networks and alliances of IPLC organizations within and across the Africa region with a view to enhancing their representation and voice in regional and global policy fora.

*b. DGM Knowledge Exchanges*

- **Brazil-Mozambique:** In May, members of Mozambique's interim committee traveled to Montes Claros to participate in a south-south knowledge exchange with DGM/FIP Brazil, CCA/NM, and Brazil NSC members and local communities. During the exchange, colleagues shared learning and expanded knowledge regarding sustainable development and climate change, and discussed initiatives being carried out in Brazil which may eventually be replicable in Mozambique.
- **Peru-Indonesia:** In June, a team from Indonesia, comprised of two NSC members, a Samdhana representative, and a World Bank representative, visited Peru (and Brazil, see below) to learn about models for granting indigenous peoples and local communities greater tenure security over forest lands and for managing resources sustainably in a manner that is sensitive to traditional cultures; linkages with the FIP; and implementation of the DGM.

- **Brazil-Indonesia:** In June, a team from Indonesia (see above) visited Brazil and had the opportunity to engage in dialogues with members of the Brazilian government, members of DGM Brazil, and Brazilian IPLCs. DGM Indonesia and DGM Brazil members also held an exchange visit to the Quilombola community of Kalunga in the state of Goiás.
- **Brazil:** An exchange with the Xakriabá Indigenous People was held in Indigenous Land Xakriabá, São João das Missões, north of Minas Gerais.

*c. Project Launch*

- **Official launch of the DGM DRC Project** was held in June in Kinshasa and attended by IPLC delegates from the 16 Project territories, representatives of the Ministry of Environment, Nature Conservation, and Sustainable Development (MECNDD), the World Bank, representatives of the DGM GSC, CSOs, other technical and financial partners, and the media. At the launch, stakeholders were briefed on the objectives, components, governance structure, and process of implementation of the DGM DRC Project.

*d. Knowledge Products and Outreach Materials*

- **DGM Global Visual Identity:** The DGM logo and visual identity of the DGM were finalized, including templates for all DGM materials such as PowerPoints, invitations, and reports. The GSC selected the logo from options prepared for their review by the GEA. The visual identity contributes to establishing consistent recognition of DGM Global materials. (Some DGM country projects have chosen to use their own visual identities.) A logo use guide was also created.
- **DRC:** From March 15 to April 1 site visits and surveys were conducted in Goma, Beni, Butembo, Bukavu, Walikale, and Lubutu to learn more about current conservation initiatives. Survey outputs include maps of conservation areas, which were distributed and analyzed to provide better understanding of community spaces and their governance. In all, ad hoc inventories of 41 conservation areas were completed by IPLCs, supporting governance of natural resources in the area of the DGM Project.
- **Peru:** A best practices document (in English and Spanish) explaining the design process of the DGM Saweto Peru was developed and disseminated within international fora, such as UNFCCC COP21 side events. A two-page factsheet (in English and Spanish) summarizes key DGM Saweto Peru information. The English version was disseminated at UNFCCC COP21 while the Spanish version has been shared at the local level with indigenous groups and other stakeholders

- **Brazil:** DGM Brazil's communication efforts have focused on DGM Brazil's official website, social networks, printed material (a folder and banner used in Project meetings), and uniform stationery to provide uniformity and consistency. To maintain visibility of relevant topics and DGM Brazil activities, the website publishes weekly reports that are also shared on Facebook. Once a month, all content is sent to the DGM Brazil mailing list through an electronic newsletter. All content is also disseminated through the website and social networks of CAA/NM.

#### 2.2.4. Project Preparation and Planning

- **Brazil:** The first official meeting of DGM/FIP Brazil in January resulted in the approval of the Project Operational Procedures Manual, the work plan, and dissemination strategies for the DGM/FIP Brazil. In addition, a description of working methods, guidance documents, a subproject analysis protocol, a site visits protocol, and data management tools were submitted to the NSC for discussion and approval. These tools are designed for monitoring social and environmental safeguards.
- **Republic of Congo:** The interim committee defined the composition of the NSC and selected a GSC representative, developed a code of conduct, prepared field missions, and facilitated outreach and sensitization activities. They also met with over 30 authorities during this time.
- **Côte d'Ivoire:** Established an interim committee of regional focal points, developed a stakeholder organizational chart, created a logo, and developed ToRs for a validation mission.
- **DRC:** Project Operational Procedures Manual and 2016 Work Plan and Annual Budget were adopted at the 3<sup>rd</sup> NSC meeting in June. Training on fiduciary management, organized by the World Bank in Kinshasa in May, strengthened the capacity of the project coordinator and improved Project accounting in procurement, financial management, and monitoring and evaluation.
- **Ghana:** GSC members and the GEA team were invited to participate at the first NSC meeting in Ghana. The GSC and GEA shared information on the status of NSC governance in each of the other DGM countries. During the meeting, Ghana's NSC clarified the role of observers and voting members. During this period, Ghana also completed the search for an NEA (Solidaridad).
- **Indonesia:** NSC members met with the World Bank team to discuss the Project Development Objective, priority areas, and safeguards. Following this, in April all NSC members reviewed the proposed project design and developed the Project logical framework and strategic direction. A

project preparation grant signed in February for \$175,000 has provided technical support to the project preparation process.

- **Mexico:** Established an NSC, created three Regional Subcommittees to act as subsidiary bodies of the NSC in actions related to planning, implementation, and monitoring of DGM activities.
- **Mozambique:** The interim committee proposed composition of the NSC and project components for DGM Mozambique. The committee also proposed the creation of an online forum for interim committee members and invited observers to support DGM consultations, allowing discussion and contributions on relevant items.
- **Grievance Redress Mechanism:** During the GSC Meeting, the GEA presented final modifications to the Grievance Redress Mechanism (GRM), which were approved by the GSC. The GRM was posted to the DGM Global website and is currently active.
- **Monitoring and Reporting Plan:** The GEA is tasked with developing and coordinating a common monitoring and reporting framework across the DGM Country and Global Projects that serves a learning function and reports on the DGM's implementation towards expected results. To fulfill this mandate, the GEA drafted a monitoring and reporting framework including a DGM Theory of Change, DGM Program Logframe, reporting templates, and a draft of the Monitoring and Reporting Handbook for NEAs. Both the Theory of Change and Logframe were approved at the second Annual GSC Meeting. The monitoring and reporting framework with indicator guidance will be provided to the NEAs, and will be used beginning in the next reporting period.
- **Other Countries:** The GEA team has been providing information to indigenous peoples in Guatemala, Nepal, and Ecuador regarding DGM Country and Global processes. Guatemala has requested a Skype presentation during an internal meeting prior to setting up their interim committee. In the case of Nepal, the GEA provided contacts to establish a direct dialogue with the World Bank TTL and schedule a first meeting by September 2016.

### 2.2.5. Partner Engagement

- **Peru:** Peru's NSC and project intermediaries held formal meetings with members of the Regional Agricultural Office (*Dirección Regional Agraria*—DRA), the entity responsible for issuing land titles at the regional level. The DGM Saweto Peru has already held formal meetings that resulted in formal agreements with five of the eight regional governments, including: Loreto, Ucayali, San Martín, Amazonas, Satipo/Junín. The DGM has also held preliminary meetings with the Ministry of Environment (MINAM) and the Ministry of Agriculture (MINAGRI), with whom the DGM has

begun to identify potential complementary activities, including conducting training sessions on guidelines and protocols for land titling and community recognition.

- **2016 FIP Pilot Country Meeting:** In June, at the FIP Pilot Country Meeting in Oaxaca, Mexico, the GEA organized a panel highlighting the “Implementation of the DGM in FIP Pilot Countries,” showcasing DGM progress for the FIP audience of approximately 200 donors, governments, implementing agencies, and CSO representatives. The panel brought together stakeholders involved in the design and implementation of the DGM at the national and global levels. The exchange focused on the role of IPLCs in the sustainable management and conservation of forests, particularly within the FIP investment plan. Speakers discussed progress in establishing the DGM at the national and global levels, the first projects financed by the DGM in Peru and Brazil, and opportunities for collaboration and coordination between the DGM and other FIP-funded projects. The lively exchange between government, indigenous, and local community stakeholders in the DGM highlighted positive advances, some early lessons, and the overall significance of the IPLC-led initiative within the FIP and beyond.

### 3. Lessons Learned, Issues, and Opportunities

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DGM Country Project implementation thus far has centered on launching the unique and extensive consultation process to ensure that governance for the DGM is led by IPLCs and their representatives.

- The first year of the Global Project focused on establishing the different pillars of a robust governance framework. The policies, rules, and procedures, and the participatory way in which they were developed, are the foundation that distinguishes this initiative from many others.
- Working with 14 country-level committees presents a challenge in keeping the whole DGM program progressing at a similar pace. The gap between countries’ levels of progress is an opportunity for the DGM to promote learning from the experiences of countries that are farther along to allow innovations to be considered and adapted as needed. To capitalize on this opportunity, the GEA will facilitate virtual and in-person exchanges through the regional and global workshops.
- The NEA Knowledge Exchange was a valuable opportunity for the NGOs executing the DGM in each country to share practical experience. In the future, NEAs should participate as observers in GSC meetings to allow for time to coordinate work between GEA and NEA representatives.

- NEAs and NSCs have expressed a desire for more clarity on the role of the World Bank in the Country Projects, particularly where the Bank's no objection is required versus other decisions in which the Bank is an advisor.
- Subproject proposal review and selection posed a significant challenge in Brazil and Burkina Faso due to the number of proposals received, lack of available funds to support staff to review proposals, and screening and categorization related to environmental and social issues. Both countries received a significantly larger number of proposals than expected as a result of broad and well-planned outreach and a high level of interest by local communities.
- Many countries noted logistical challenges in NSC or interim committee member availability to attend meetings due to impediments such as the rainy season and long distances between members' communities, and challenges related to communication, especially when working with people in isolated areas lacking telecommunications connectivity.
- Indonesia noted difficulty in finding gender and ESMF consultants with experience in the World Bank programming standards who could complete the necessary work within the planned timeframe and budget.
- Many countries noted the challenge of managing community expectations generated by the formation of the DGM. Countries have taken different approaches, such as the establishment of three Regional Subcommittees including representative IPLCs from the three target regions in Mexico.
- Some templates and procedures in Project Operational Procedures Manuals required modification in order to simplify and reduce bureaucracy in subproject design and selection processes.
- During the six regional workshops with the eighteen project intermediaries in Peru, constraints in meeting the first-year goals were noted including lack of technical and operational capacity, scheduling conflicts due to prior commitments, and internal disputes among some of the 18 project intermediaries, among others. Besides these aspects, there were also technical criteria to take into account that led the team to prioritize land titling and the legal recognition of communities as indigenous in order to guarantee project effectiveness.

## 4. Highlights of Upcoming Activities

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- Implement subprojects (Burkina Faso, Brazil, and Peru)
- Initiate calls for subproject proposals (DRC)
- Endorsement of the Project Appraisal Document by the NSC and submission to World Bank for approval (Ghana and Indonesia)
- Introduce NEA to NSC and negotiate division of duties (Ghana)
- Establish NSC, identify and select the NEA (Mozambique)
- Develop ToRs for drafting the Project Operational Procedures Manual (Mexico)
- Hold first NSC meeting (Congo)
- Establish NSC (Côte d'Ivoire)
- Africa Regional Training Workshop for IPLC leaders, July 2016
- IUCN World Conservation Congress (WCC) Knowledge Café session. The DGM GSC will be participating in two sessions at the IUCN WCC in September 2016. One session, organized by the GEA, is titled “Dedicated Grant Mechanism: Providing indigenous peoples with direct access to climate funds to strengthen conservation initiatives within their territories and communities” and a second session organized by UNDP/GEF will discuss funding opportunities for IPLCs.

Global training for IPLC leaders on climate negotiations. The DGM Global Workshop November 2 – 4, 2016 in Marrakesh just before UNFCCC COP22 will focus on the financial landscape as an opportunity for DGM countries and how the DGM can link to country commitments for Nationally Determined Contributions (NDCs).

## 5. Indicator Reporting

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The DGM Program Document includes five common indicators to be monitored and aggregated across the DGM Country Projects. In addition, the Global Project includes three indicators related to its knowledge-sharing and learning activities. During this early stage of implementation, the GEA is in the process of drafting the full Monitoring and Reporting Plan, including a methodology for data collection. Reporting using the approved Plan and established methodology is anticipated for future reports.





## 5.1. Country Project Common Indicators

DGM Program Objective	FIP Themes supported by DGM	Common Indicators for DGM Country Projects	Target	Status as of June 30, 2016
To strengthen the capacity of IPLCs to participate in the FIP and other REDD+ programs at local, national, and global levels	Livelihood Co-benefits	1. Percentage of subprojects successfully completed and having achieved their objectives	75%	Selection of proposals for subprojects completed in Brazil, Peru, and Burkina Faso. Other countries will launch the
	Capacity Building	2. People in targeted forest and adjacent communities with increased monetary or non-monetary benefits	Monitored	Methodology for this indicator will be developed during the next reporting period in consultation with the NEAs to ensure that subprojects track this data once
		3. Percentage of participants in capacity development activities with increased roles in FIP and other REDD+	75%	Methodology for this indicator will be developed during the next reporting period in consultation with the NEAs.
	Governance	4. Percentage of grievances registered related to delivery of project benefits that are addressed (Participation	100%	The Grievance Redress Mechanism is approved and launched for the Global Project, Brazil, and Peru. As additional Country Projects become effective they will launch
		5. Percentage of DGM stakeholders that perceive DGM governance and	Monitored	Methodology for this indicator will be developed during the next reporting period in consultation

## 5.2. Global Project Indicators

Global Project Development Objective	FIP Themes contributed by DGM	Indicator	Target	Status as of June 30, 2016
To strengthen the capacity	Capacity Building	Number of knowledge products produced by DGM grant recipients	Monitored	<ul style="list-style-type: none"> <li>3 DGM interim committees in the Africa region (Mozambique, Republic of Congo, Côte d'Ivoire)</li> </ul>



Dedicated Grant Mechanism for Indigenous Peoples and Local Communities (DGM)  
Semi-Annual DGM Progress Report January 1 – June 30, 2016  
Updated as of September 27, 2016

of IPLCs to participate in the FIP and other REDD+ programs at local, national, and global levels.		and/or beneficiaries in pilot countries presented during regional and/or global knowledge exchange opportunities		<p>reported during the 2<sup>nd</sup> DGM GSC meeting in Kinshasa.</p> <ul style="list-style-type: none"> <li>DGM Country subprojects will begin in Year 2 and Global Project regional and global knowledge events will fully launch in Year 2.</li> <li>DGM logo and visual identity, DGM fact sheets, GEA bi-monthly newsletters, maintenance and update of the DGM Global website, creation of DGM Global Community Page on Facebook.</li> <li>DGM side event at the UN Permanent Forum on Indigenous Issues (UNPFII).</li> <li>GEA/GSC participation in Bonn UNFCCC SBSTA meetings.</li> </ul>
		Percentage of participants in learning and knowledge exchange activities belonging to REDD+ programs and countries other than FIP pilot countries	Monitored	<ul style="list-style-type: none"> <li>First DGM Africa Regional Training on Climate Change with 35 participants including non-FIP country participants to be held in Ouagadougou, Burkina Faso in July 2016.</li> </ul>
		<b>Indicator</b>	<b>Target</b>	<b>Status as of June 30, 2016</b>
		Number of activities/alliances that have emerged through the global platform with IPLCs serving in a leadership role	Monitored	<ul style="list-style-type: none"> <li>GSC members have been active in forums such as the Indigenous International Forum on Climate Change and the Indigenous Peoples Global Steering Committee on Climate Change.</li> </ul>

Dedicated Grant Mechanism for Indigenous Peoples and Local Communities (DGM)  
Semi-Annual DGM Progress Report January 1 – June 30, 2016  
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				<ul style="list-style-type: none"> <li>• A panel on climate change was organized at the UN Permanent Forum on Indigenous Issues meeting to update on DGM activities.</li> <li>• The GEA has reached out to potential partners such as International Fund for Agricultural Development (IFAD), Mainyoto Pastoralists Integrated Development Organization (MPIDO), Sotz'il, and the UNDP-Global Environment Facility Small Grants Programme (UNDP-GEF SGP) about synergies.</li> <li>• 2nd Annual GSC Meeting, held in Kinshasa, Democratic Republic of Congo from April 25-28, 2016.</li> </ul> <p>2016 FIP Pilot Country Meeting in Oaxaca, Mexico.</p>
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## Part III: Progress by DGM Project

Part III of the Semi-Annual DGM Progress Report presents activities undertaken during the period broken down by each DGM Project, including the Country Projects and the Global Project. Information for each Project was submitted to the GEA by the NEAs in Brazil, Peru, Democratic Republic of Congo, Indonesia, and Burkina Faso, and the GEA summarized the content. For Cote d'Ivoire, Ghana, Republic of Congo, Mozambique, and Mexico, the GEA used information gathered from the NSC or interim committee members.

### 6. Brazil

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DGM Brazil produced a video featuring members of the NSC to open its call for subproject proposals in the Cerrado

## 6.1. DGM Brazil Project Overview

### Context

DGM Brazil invests in the Cerrado biome, a global biodiversity hotspot and important watershed at regional and continental scales. Despite its environmental importance, the Cerrado is insufficiently protected and faces rapidly increasing deforestation and environmental degradation due to expanding agricultural activities, ungoverned land-use change, and fires.

The Cerrado is home to 41 indigenous peoples and a multitude of traditional communities, including maroon communities (Quilombola), farming communities, and pastoralists who both rely on and serve as guardians for the Cerrado's remaining natural resources. The DGM Brazil works with these communities<sup>1</sup> and their representatives to support grant-financed subprojects that promote sustainability and adaptation to climate change, and to provide capacity building and institutional strengthening for REDD+.

### Objectives

DGM Brazil aims to (i) strengthen the participation of indigenous peoples, Quilombola communities, and local communities of the Cerrado biome, in FIP, REDD+, and other climate-related programs in local, national, and global spheres; and (ii) contribute to improving the way of life and sustainable forest and land management in indigenous and local community territories, supporting requested actions that promote environmental management of territories and sustainable economic activities that reduce social, cultural, environmental, or climate vulnerabilities.

The DGM Brazil Project has three components:

1. Subgrants for IPLC initiatives on sustainability and adaptation to climate change, including: i) natural resource management; ii) responses to immediate threats; and iii) promotion of market-oriented production.
2. Capacity building and institutional strengthening for organizations representing indigenous peoples, Quilombola and traditional communities in the Cerrado, including: i) training in key areas, such as REDD+, FIP, natural resource management, forestry, biodiversity, and climate change policy; and ii) technical and management training.

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<sup>1</sup> In the DGM Brazil, they are collectively referred to as indigenous peoples and traditional communities.

3. Management, communications, monitoring, and evaluation for the Project, including secretariat services to the Brazil NSC, project management, monitoring, reporting, and evaluation, maintaining the Grievance Redress Mechanism, and supervision of subprojects.

### Stakeholders and Beneficiaries

Stakeholders involved include indigenous, Quilombola, and traditional communities and their representative organizations; national networks of NGOs such as Rede Cerrado, National Coalition of Agroecology/ANA, Semi-Arid Coalition/ASA, and others; and the Brazilian Government, including government ministries, the Chamber of Deputies and Senate, and national, state, and municipal government bodies (ICMBIO, IEF/MG, CODEMA<sup>2</sup>).

Beneficiaries include indigenous peoples, Quilombola communities, and traditional communities legally recognized and located fully or partially in the Cerrado biome in the regions of Mato Grosso, Mato Grosso do Sul, Tocantins, Maranhao, Bahia, Goias, Distrito Federal, and Minas Gerais. In addition, NGOs working with indicated communities can access funding with a support letter from a community.

## 6.2. Establishment of the NSC, NEA, and Project Approval

Representatives of indigenous, Quilombola, and traditional communities convened in 2014 to define project design, NSC composition, and a Terms of Reference to select the NEA. The NSC was established in October 2014, and officially recognized as a legal entity by the Government of Brazil's Ministry of Environment and Ministry of Justice in September 2015. This legal status is a unique case among DGM Country Projects. The final composition of the NSC includes 9 members (25% women): 3 representatives of indigenous communities; 1 representative from Quilombola communities; 2 representatives from traditional communities; and 3 members of the government. The participation of governmental representatives on the NSC enhances the DGM's capacity by taking advantage of the government's convening and analytical capacity, extensive social network reach, and potential to scale up or replicate innovative DGM activities. Government representation includes one representative appointed by the Ministry of Environment; one representative appointed by the *Fundação Nacional do Índio* (FUNAI – Indigenous Peoples National Agency); and one representative appointed by the Brazil Investment Plan Executive Committee. Alternates were selected for indigenous and traditional/Quilombola communities. The World Bank is an observer on the NSC.

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<sup>2</sup> *Conselho Municipal de Defesa do Meio Ambiente* (Municipal Council for Environmental Defense)

In January 2015, the *Centro de Agricultura Alternativa do Norte de Minas (CCA/NM)* was selected to serve as NEA. The CCA/NM is a well-known organization with over 30 years of working with IPLCs and agroecology in the region. The World Bank appraisal process has been completed and the World Bank Board approved the Project in March 2015. The grant agreement with CCA/NM was signed, and the Brazil Project became effective in June 2015.

### 6.3. Implementation Progress during the Reporting Period

**NSC Meeting (January 13-15)** The first official meeting of DGM/FIP Brazil, held in Montes Claros, Mato Grosso resulted in the approval of the Project Operational Procedures Manual, the work plan for the period, and dissemination strategies for the DGM/FIP Brazil (regional workshops), and discussion of the subproject analysis protocol. The meeting also resulted in greater knowledge of NSC members about the CCA/NM (the NEA) and election of an NSC president (Mr. John Nonoy Krikaty, indigenous representative) and vice president (Madam Maria do Socorro – local community *quebradeira de coco babaçu*).

**First NSC exchange** with the Xakriabá Indigenous People was held in Indigenous Land Xakriabá, São João das Missões, north of Minas Gerais.

**Development of guidance, data collection, and monitoring tools** A description of working methods, guidance documents, a subproject analysis protocol, a site visits protocol, and data management tools were submitted for discussion and approval by the NSC. The various tools are designed for monitoring social and environmental safeguards, and include a baseline monitoring questionnaire for families directly involved in subprojects, and a map of interviews with leaders.

**Call for 2016 subprojects** In January, the first call was posted for Expressions of Interest (subproject proposals) by IPLC/Quilombola organizations. The notice was initially open for 90 days, but was extended until May. Suggestions were noted to improve future calls for proposals, and to expand the opportunity to include participation by formal and informal organizations of indigenous peoples and local communities.

**Dissemination workshops** Three workshops were held in the 30 days following the call for subproject proposals to share information about the DGM Project with IP, Quilombola, and traditional communities. Workshops, held in Brasilia/DF, Cuiaba/MT, and Imperatriz/MA, allowed the CCA/NM core team and NSC members to get involved with the public and their representative organizations. Workshops presented DGM objectives and components, resources available, and topics such as REDD+ and the legal framework of IPLCs and explained guidelines for the subproject selection process, including a walk-through exercise for filling out the Expression of Interest (proposal). The workshops highlighted the need to deepen understanding of IP, Quilombola and traditional communities

around the REDD+ process and legal frameworks and also demonstrated the need to further decentralize the project's disclosure process and calls for proposals, enabling information to reach the most remote communities in the Brazilian Cerrado. Four explanatory videos about the call for proposals were published during the workshops and are available on the DGM/FIP Brazil website: <http://dgmbrazil.org.br/>.

**Subproject selection** The NSC met in June to evaluate and pre-select proposals, and to discuss and approve monitoring strategies. Out of 158 proposals received, 41 were pre-selected (pending site visits): 24 from IPs, 8 from Quilombola communities, and 9 from LCs. The proposals came from nine states of the Brazilian Cerrado and Distrito Federal, totaling an estimated six million reais (US\$ 1.7 million). Of the 41 pre-selected proposals, 30 will be approved for funding.

**Site visit workshop** A workshop was held in June at CAA/NM to prepare for subproject site visits. The preparatory workshop was attended by CAA/NM support teams and 10 undergraduate and graduate students from the University of Montes Claros (UNIMONTES) and the Federal University of Minas Gerais, who will attend and support the site visits, coordinated by the DGM/FIP Brazil. After site visits, proposals will be submitted for discussion and final selection by the NSC.

**DGM Exchanges** In May, DGM Brazil hosted an exchange of experiences with visiting colleagues from Mozambique. This successful exchange<sup>3</sup> involved travel to Montes Claros to meet with DGM/FIP Brazil, the NEA, and the NSC members and local communities. During the final day of the June NSC meeting, DGM Brazil met with DGM Indonesia members during a second exchange visit to Brazil. DGM Indonesia members had the opportunity to engage in dialogues with members of the Brazilian government, members of DGM Brazil, and Brazilian IP, Quilombola, and traditional communities. DGM Indonesia and DGM Brazil members also held an exchange visit to the Quilombola community of Kalunga in the state of Goiás

### **Grievance Redress Mechanism**

During this period, the Grievance Redress Mechanism of DGM Brazil received three complaints. Two of them questioned the DGM Project's service area (the Brazilian Cerrado) and another requested details about participation at the dissemination workshops.

The concerns about the DGM Brazil Project's service area were answered, explaining that the Project is based on IBGE (government agency) data that delineate the perimeter of the Brazilian Cerrado.

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<sup>3</sup> [Improving Sustainable Forest Management: A Brazil-Mozambique Knowledge Exchange](#)



The request from the internet (regarding reporting of dissemination workshop participation) was answered and a document listing participants was sent by email.

## 6.4. Challenges and Issues Experienced

Areas of work that required significant effort by core team members were the description of work methods; preparation of field protocols and analysis; development of an interview script, questionnaires, and tools for collecting data and information; and development of tools for social and environmental safeguards and baseline, among others. These documents will guide the core team work in the selection process, and in monitoring and tracking subprojects.

Pre-selection of proposals posed a significant challenge, due to the higher than expected number of proposals received and the fact that the proposal evaluation process relied exclusively on the core team to prepare opinions and rank proposals. While the original plan had been to engage support team members in proposal vetting, funding to engage support team members comes from Project Component III (management) whose account is limited (rather than from component I, which funds the support of subproject proposals themselves). As a result, the core team reviewed and prepared opinions of all proposals and undertook site visits of pre-selected subproject proposals, with limited participation of the support team. The DGM Brazil has discussed this issue with the World Bank representative to consider options to allow additional support in proposal vetting. DGM Brazil wishes to emphasize the ability, experience, knowledge, and dedicated commitment made by the core and support team during the most intense periods of the Project.

## 6.5. Communications

DGM Brazil's communication efforts <sup>4</sup>have focused on DGM Brazil's official website, social networks (a page on Facebook and YouTube), printed material (a folder, 5000 produced, and banner used in Project meetings), and uniform stationery (writing pad, name tag, and certificate) to provide consistency to all communication products. The folders have been used in outreach to organizations interested in participating in DGM Brazil.

The target audience for the website and social network are members of the general public interested in topics covered by the Project, such as IPLCs, environmental conservation, and the Brazilian Cerrado. To maintain visibility

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<sup>4</sup> Links to these materials are available in Annex B.



of these topics and DGM Brazil activities, the website publishes weekly reports that are also shared on Facebook. Once a month, all content is sent to the DGM Brazil mailing list through an electronic newsletter.

These efforts have fulfilled the objective of communicating the project in multiple platforms and languages – through printed materials, text on the web, pictures, videos, and graphic materials. All content is also disseminated through the website and social networks of CAA/NM.

## 6.6. Upcoming Activities

The activities planned for the next reporting period include:

- Complete site visits to pre-selected subprojects (August), prepare final opinion, hold NSC meeting to review and approve subprojects (September 5-6), announce results of the 2016 call (September 8)
- Hold first Workshop of Preparation, Economic Feasibility Analysis, and Management for subprojects (15 projects) (September 26 to October 2; proposed location: Montes Claros/MG)
- Hold second Workshop of Preparation, Economic Feasibility Analysis, and Management for subprojects (15 projects) (October 10-16; proposed location: Cuiabá/MT)
- Sign subproject agreements and begin implementation (October)
- Organize and hold first thematic workshop: Working with Indigenous Peoples and Local Communities—Territory, Identity, Traditional Knowledge and Practices, and Sustainability (second half of November; proposed location: Belo Horizonte/MG)
- Prepare for 3rd Meeting of the NSC (to take place in January 2017). Meeting will discuss: aggregated results of baseline data analysis, strategies to repatriate data to supported communities, and roles of NSC members; updates, presentation, and approval of the 2017-2018 work plan and budget; evaluation of the first year of DGM activities



## 7. Burkina Faso

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Participants from a workshop in Matiacoali, one of 17 capacity-building workshops held during this reporting period for Project stakeholders and partners.

### 7.1. DGM Burkina Faso Project Overview

#### Context

Burkina Faso has achieved significant economic growth over the last decade, but persistent levels of poverty remain a challenge. Rural populations remain largely dependent on agriculture and continue to experience higher rates of poverty than urban populations. Forest resources are critical for livelihoods and the economy and mixed-use landscapes hold significant potential both for providing development benefits and as carbon sinks. A number of direct and indirect drivers of deforestation and forest degradation are present in Burkina Faso, including livestock and agricultural expansion, forest product collection, fire, mining, unsustainable land management practices, low technical capacity, lack of governance, and weak access to markets. The DGM Burkina Faso seeks to address the

drivers of deforestation and forest degradation by enhancing technical and organizational capacities as well as improving economic opportunities for communities. At the direction of local community leaders, the project will work in 12 provinces and 32 targeted communities prioritized in the FIP investment plan, shown in figure 2.<sup>5</sup>

## Objective

The objective of the Project is to “strengthen the capacity of targeted local communities in the targeted regions of Burkina Faso to participate in REDD+ programs at local, national, and global levels.” To work towards this objective, the program is divided into three components: 1) development of managerial and technical capacities and skills of local communities; 2) support for the development of economic and sustainable natural resource management activities; and 3) coordination, management, monitoring, and evaluation.

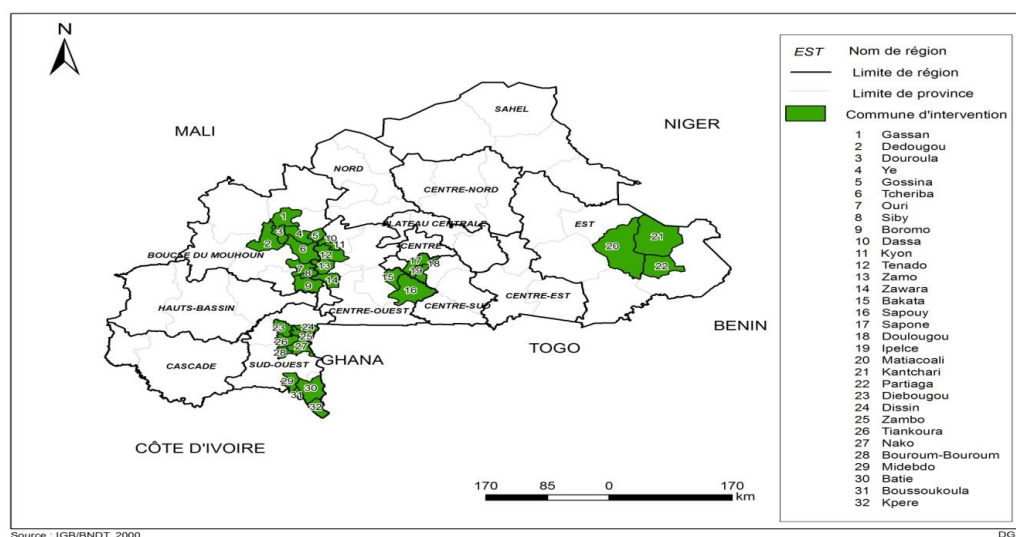


Figure 2. Map showing the 32 communities that have been prioritized in the FIP as well as selected for intervention by the DGM Burkina Faso.

## 7.2. Establishment of the NSC, NEA, and Project Approval

In Burkina Faso, an interim committee led a consultation process to establish the NSC from October 2013 to December 2014. The NSC includes 25 members: 11 representatives of local communities from the targeted FIP

<sup>5</sup> World Bank, “Local forest communities support project,” (P149434) Project Information Document, March 3, 2015.

regions of the country, and 14 observers from government, civil society, private sector, local authorities (municipalities and regions), technical and financial partners (multilateral development banks), and the NEA. The DGM Burkina Faso Project was approved by the World Bank in September 2015. The interim committee also administered the selection process for the NEA, and IUCN Burkina Faso was chosen in January 2015. An agreement between IUCN Burkina Faso and the World Bank was signed in November 2015.

### 7.3. Implementation Progress

**Regional and Local Workshops** Five regional workshops and 12 local-level workshops were organized to strengthen the capacity of stakeholders and partners. Each workshop included up to 30 participants, and overall nearly 360 people were engaged, including about 30% women. Workshops addressed topics including Project overview, climate change, environmental and social assessments, complaints and the Grievance Redress Mechanism, and the development of community subprojects. The workshops provide a basis for subproject development and for proper management of environmental and social concerns.

**Launch of the first call for subprojects** A call for proposals was developed by IUCN Burkina Faso, approved by the NSC, and launched in June through newspapers, community radio, and online. At closing (July 11) nearly 600 community subproject proposals had been received.

**Strengthening the FIP partnership** through several consultation meetings and the development of a collaboration protocol. The collaboration protocol will improve cooperation and synergies for smooth implementation of Project activities “Participatory Management of Forests and Forested Areas (PGDFEB)” and “Support for Local Forest-Dependent Communities (FPAP)” including:

- Capacity building (training and awareness)
- Implementation of the Grievance Redress Mechanism
- Establishment and implementation of operational partnerships
- Monitoring and evaluation of learning activities
- Dissemination of information
- Preparation of REDD+ activities

#### Grievance Redress Mechanism

No information provided for this period.



## 7.4. Challenges and Issues Experienced

The most demanding aspects of implementation during this reporting period included: establishment of the PRPM position (responsible for procurement processes) in order to rapidly implement the procurement plan; selection of subprojects from the call for proposals, including screening and categorization related to environmental and social issues; and implementation of the Grievance Redress Mechanism and relevant solutions. Challenges that were encountered included logistical issues related to NSC member availability for meetings due to the rainy season, as well as a lack of capacity within the NSC. To address the lack of capacity, a workshop is planned for the NSC in August 2016 on using an evaluation grid to apply appropriate criteria to the selection process for subprojects.

## 7.5. Upcoming Activities

- Screen and categorize projects on environmental and social criteria
- Train NSC members to use the evaluation grid for applying appropriate criteria in subproject selection (mid-August 2016)
- Select subprojects (to complete in August 2016)
- Conduct field visits to verify subprojects
- Finalize contracts and distribute funds for approved subprojects
- Train grantees on reporting, monitoring, and evaluation of projects
- Implement subprojects beginning late September 2016
- Monitor subproject implementation
- Implement Grievance Redress Mechanism, including appropriate response to any complaints

# 8. Republic of Congo

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## 8.1. DGM Republic of Congo Project Overview

The DGM Republic of Congo target geographies are the five departments that will benefit from FIP activities: Likouala, Sangha, Plateaux, Pool, and Brazzaville. Seventy percent of the indigenous peoples of Congo inhabit these areas. Likouala and Sangha are entirely forested, Plateaux is 26% forest, Pool is 22% forest, and data on the forest



cover in Brazzaville are unavailable. The departments of Likouala and Sangha have both experienced forest exploitation and degradation resulting from mining activities. Although Congo is involved with REDD+, IPLCs have not been engaged in these processes.

The indigenous peoples of Congo, with a rich culture of traditional medicine, songs, and dances, are an extremely vulnerable and marginalized group facing discrimination, economic exploitation, impoverishment, extreme poverty, and lack of access to basic social services and land rights. These human rights violations have been ingrained in the psyche of IPLCs and have further contributed to their marginal state. At the national level, the government has openly committed to promoting the rights of IPLCs through developing a national action plan to improve living conditions of indigenous people. However, there is more work to be done to realize this at the local level.

## 8.2. Establishment of the NSC, NEA, and Project Approval

An interim committee (GTDDGM-CONGO) was established in December 2015 to develop and select the NSC. The criteria for membership in the NSC were established as follows: representatives must be an IP or come from a local community, must have worked with and know the challenges of IPLCs and understand the FIP, may not be a member of the national REDD+ committee or the FIP, and must be in agreement with the mission of the DGM. The 27 person NSC includes 22 decision making members (15 men and 7 women, 33%) as well as 5 observers. Ten NSC members are IPs and 12 members are from local communities, with an indigenous person serving as chair to account for there being more representatives from local communities. The co-chair of the NSC and GSC representative is Moussele Diseke-Guy. Observers include the World Bank; Ministry of Sustainable Development and Forest Management; Ministry of Agriculture, Livestock and Fisheries; Ministry of Social Affairs; and Ministry of Justice for IPs. Observers can request guidance from other ministries in an effort to avoid having too many observers on the NSC.

## 8.3. Implementation Progress during the Reporting Period

Activities during the reporting period were focused on Project preparation. During the reporting period, the interim committee held 14 meetings to establish a management unit, develop a code of conduct, prepare field missions, and facilitate outreach and sensitization activities. They also met with over 30 authorities during this time. The interim committee also defined the composition of the NSC and selected a GSC representative.

### Grievance Redress Mechanism





No information provided for this period.

## 8.4. Challenges and Issues Experienced

In initiating the DGM Congo, a number of issues were noted by the interim committee including inconsistent participation by members of the interim committee in the numerous meetings; a perceived lack of ownership of the project by relevant communities; a perceived lack of commitment by national and local authorities; a lack of clarity regarding the role of the World Bank TTL; and a lack of funds for obtaining computers, supplies, and other needed resources. Ongoing challenges for the Project were noted including difficulties related to communication, especially when working with people in isolated areas; the complexities of logistics for participation of IPLCs based in remote areas; and political instability (in one district particularly)—violence has disturbed field missions.

## 8.5. Upcoming Activities

- Hold first NSC meeting

# 9. Côte d'Ivoire

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## 9.1. DGM Côte d'Ivoire Project Overview

### Context

In Côte d'Ivoire, indigenous peoples, in the strict ethnological sense, are rare or nonexistent because most communities recognized as Ivorian come from neighboring countries. Ivorian regulations make a distinction between three categories of local communities: (1) "natives" are people whose ethnic group is considered the owner of the land in the area and therefore the natural land user. Their interest in the forest is social, cultural, emotional, spiritual, and economic; (2) "non-natives" are Ivorians from other parts of the country who have settled in the area out of economic interest; and (3) "immigrants" are people who are not of Ivorian nationality, but who immigrated to the region in search of arable land and whose interest in the forest is primarily economic. Agriculture is the primary activity of the latter two groups (non-natives and immigrants) and has contributed heavily to deforestation and degradation of the Ivorian forests.

The two areas selected for FIP/DGM intervention have different agro-ecological characteristics but are linked, in terms of forest cover impacts, by their history of previous population migrations. Zone 2 (Center) includes five administrative regions, Gbeke, N'Zi, Belier, Iffou and Moronou and covers an area of 3.5 million hectares (about 11% of the Ivorian territory). It contains 42 classified forests of small size (total area of about 0.23 million hectares) and non-urban areas are about 3.3 million hectares. Zone 1 (Southwest) includes five administrative regions, San Pedro, Gboklè, Guémon, Cavally, and Nawa and covers an area of approximately 4 million hectares (approximately 12.5% of the Ivorian territory). It contains 17 classified forests (total area of about 1.1 million hectares), some very degraded and others still relatively intact. Zone 1 also includes Taï National Park (TNP), the largest protected area of dense forest in the West African region with an area of just over 0.5 million hectares (together with the N'zo Partial Faunal Reserve). Rural area in Zone 1 is about 2.4 million hectares.

### Objective

The general objective of the FIP (phase 1) is to reduce greenhouse gas (GHG) emissions and promote conservation and sustainable management of the country's forests, while balancing the economic interests of a range of stakeholders. Specific FIP objectives are:

OS1: Restoring, protecting, and monitoring natural forests of the two priority areas

OS2: Contributing to the recovery of forest plantations to increase timber production and reduce fuelwood harvesting in natural forests

OS3: Reducing deforestation from agricultural activities

The two project Components of DGM Côte d'Ivoire are:

- Strengthening the capacity of local communities in forest management
- Supporting local people in initiatives for socio-economic development and environmental management

### Stakeholders

Stakeholders include national and local groups represented in the interim committee established by the FIP, who were selected to ensure effective coordination and involvement of all stakeholders in FIP development, including representatives of ministries, civil society (OIREN<sup>6</sup> and local NGOs), traditional authorities, local elected officials, the private sector, technical and financial partners, local communities, and women's and youth organizations.

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<sup>6</sup> Observatoire Ivoirien pour la gestion des Ressources Naturelles



## 9.2. Establishment of the NSC, NEA, and Project Approval

The interim committee of the DGM includes nine members, one from each of the administrative regions, including 3 women. Representatives in the interim committee were selected based on the following criteria:

- Members must live in the DGM region, be a member of the local community and defend community interests, and may not be a state official.
- Members should be involved in the FIP preparation process and have a good understanding of the process.
- Members should have one of the following characteristics: represent women or youth in a project-area community; be local community leader; belong to an NGO coalition or network; be a member of civil society in the DGM area; have worked with or belong to organizations and associations that are members of OIREN.

The interim committee is working with the support of the World Bank, the Permanent Secretariat of REDD+, and civil society organizations through OIREN to identify focal points in the regions, departments, sub-prefectures, and villages to serve as members of the NSC. Upon finalization, the NSC will have 18 members including at least 40% women (5 out of 11 members and 3 out of 7 observers). The seven observers will include a regional council representative (1), representatives of chiefs (2), Ministry representatives (2), and NGOs (2).

The interim committee plans to select an NEA by the end of 2016 and to achieve DGM country project approval by March 2017.

## 9.3. Implementation Progress during the Reporting Period

During the reporting period, activities in Côte d'Ivoire focused on the preparation phase. This included:

- Establishment of an interim committee comprised of regional focal points
- Design of stakeholder organizational chart with support of the Permanent Executive Secretariat of REDD+ (SEP-REDD+ and the World Bank consultant)
- Creation of logo by the interim committee and members of the Permanent Executive Secretariat of REDD+ (SEP-REDD+) and World Bank consultant
- Development of ToRs for the mission to approve the program document; Note that these ToRs were prepared by the World Bank consultant and members of the SEP-REDD+ without the interim committee

- The interim committee has thus developed ToRs directly targeting DGM stakeholders that are local communities and their agencies

#### **Grievance Redress Mechanism**

No information provided for this period.

## **9.4. Challenges and Issues Experienced**

The interim committee indicated a need to improve coordination internally and with the World Bank consultant and the SEP-REDD+ team in key activities including meetings with traditional leaders, community outreach, adherence to the interim committee strategy and proposal for NSC member selection, and finalizing the DGM National Steering Committee.

A number of steps have been taken to work towards improved coordination, including:

- Understanding the role of the World Bank consultant in the DGM process
- Building a collaborative working relationship with members of the interim committee
- Working together to establish the NSC, allowing the interim committee to lead the process with the consultant and SEP-REDD+ advising, rather than driving or deciding the political process

## **9.5. Upcoming Activities**

The next steps are:

- Establish the NSC and its relevant components
- Organize a national workshop to present the DGM with the support of the GEA, World Bank, SEP-REDD+
- Develop Project Operational Procedures Manual

## 10. Democratic Republic of Congo

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Workshop in the village of Mbombokonda, to choose the DGM DRC NSC representative for the d’Inongo territory.

### 10.1. DGM Democratic Republic of Congo Project Overview

#### Context

The Democratic Republic of Congo (DRC) is home to the largest biome in Africa, covering 155 million hectares or nearly two-thirds of DRC’s national territory. Despite a relatively low deforestation rate, DRC is one of the top ten countries in terms of annual loss of forest cover, due to the extent of DRC’s forest (half of all Africa’s rainforest)

and increasing large-scale and illegal logging activities. Small-scale and family farming are also primary drivers of deforestation and forest degradation around DRC's cities and villages.

Over 40 million people depend on DRC's forests for their livelihoods. With major investments to improve infrastructure and energy capacity, the government has pursued a national REDD+ strategy to reduce emissions and manage land use. The Forest-Dependent Community Support Project (DGM Country Project) is closely aligned with the FIP's priority areas in DRC and aims to support sustainable forest management by the country's indigenous peoples (some 600,000 people, including the Aka, Twa, Cwa, Baka, and Mbuti) and local communities that live in areas neighboring the IP area.<sup>7</sup> In the DRC, the term "indigenous peoples" is restricted to the Pygmy population and "local communities" to the communities that live in the areas neighboring the IP area and share traditions, rituals (including religious events), and livelihoods (centered on hunting). The project targets the marginalized population in 16 territories (Inongo, Kiri, Oshwe, Opala, Banalia, Yahuma, Mambasa, Bafwasende, Lupatapata, Lubao, Lubefu, Lusambo, Kabinda, Dekese, Dimbelenge and Mweka).

### **Objectives**

The DGM DRC Project is focused on (i) building a legitimate and transparent national and provincial representation to promote IPLC interests, in particular, regarding land tenure and, more generally, land rights and (ii) implementing pilot cases to secure IPLC rights over forested land while supporting alternate development activities. The Project has three components:

- Reinforce the participation of IPLCs in forest and land management processes related to REDD+. This includes building capacities at the national level for strengthening IPLC voices on land and forest policies and strengthening the capacities of LCs to participate in forest and land management activities.
- Support community-based sustainable forest and land management. This includes promoting sustainable forest and land management through alternative livelihood activities and promoting IPLC culture and empowering IPLCs regarding formal recognition of their rights.
- Increase the capacity to implement IPLC development activities and consolidate feedback.

### **Stakeholders and Beneficiaries**

The proposed Project will involve a number of stakeholders including IPs, LCs, district committees, local CSOs, and national-level stakeholders such as the Ministry of Environment, Nature Conservation, and Sustainable

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<sup>7</sup> World Bank, Forest Dependent Communities Support Project (P149049), Project Information Document, Feb. 14, 2014.

Development, the Ministry of Land Tenure Affairs, the Ministry of Social Affairs, and the Ministry of Agriculture and Rural Development, among others.

The direct beneficiaries will be IPs, LCs, and local entities such as community-based organizations in the 16 targeted territories.

## 10.2. Establishment of the NSC, NEA, and Project Approval

The DRC NSC includes one representative from each of the 16 territories that comprise the project's geographic target area plus eight representatives from REPALF<sup>8</sup> (a national network representing most IPLC organizations), for a total of 24 members. The NSC Permanent Secretariat includes five members: two co-presidents, a secretary, and three advisors. The NSC held its first meeting in Kisangani in November 2014. Following the first NSC meeting, a committee of seven NSC members developed a Terms of Reference for the NEA and launched the process to consider proposals. Caritas Congo was selected in October 2015, and in November 2015 a three-day stakeholder meeting was held with the World Bank, Caritas Congo, REPALF, the NSC, and the Congolese Government. The Executing Agency Grant Agreement was signed between Caritas Congo and the World Bank in April 2016; the Annual Work Plan and Budget, and Project Operational Procedures Manual were approved in June 2016.

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<sup>8</sup> Réseau des Populations Autochtones et Locales pour la Gestion Durable des Ecosystèmes Forestiers en RDC



Figure 3. DGM DRC Project launch ceremony, Kinshasa, June 2016.

### 10.3. Implementation Progress during the Reporting Period

**Field trip and survey**, conducted from March 15 to April 1 in Goma, Beni, Butembo and Bukavu, Walikale, and Lubutu to learn more about current conservation initiatives, including in areas of APAC<sup>9</sup> or local community heritage. The trip was attended by representatives from REPALEF (1), ICCN (2), World Bank (2), GIZ (1), and the APAC Consortium (2). Outputs of these surveys include (i) maps of the conservation areas, which have been analyzed and distributed, (ii) better understanding of the situation of community spaces (EC) and APAC governance, and (iii) documentation and dissemination of reports regarding the APAC. In all, ad hoc inventories of 41

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<sup>9</sup> *l'Association des Peuples autochtones du Congo* (Association of Indigenous Peoples of the Congo)



conservation areas were completed by local communities, an important contribution to support governance of natural resources in the area of the DGM Project.

**Training on fiduciary management for Project implementing agencies**, organized by the World Bank in Kinshasa in May strengthened the capacity of the project coordinator and improved Project accounting in procurement, financial management, and monitoring and evaluation.

**Official launch of the DGM DRC Project** The Project launch was held in June in Kinshasa (figure 3) and was attended by IPLC delegates from the 16 Project territories, representatives of the Ministry of Environment, Nature Conservation, and Sustainable Development (MECNDD); the World Bank, CSOs, other technical and financial partners, and the media. At the launch, IPLCs and other stakeholders were briefed on the objectives, components, governance structure, and process of implementation of the DGM DRC Project. This briefing serves as an introduction both to understand stakeholder roles and manage expectations.

**Project Operational Procedures Manual** A consultant was recruited to draft the manual, based on procedural manuals in use by Caritas Congo (the NEA). After World Bank recommendations were incorporated, the manual was adopted by the NSC in June 2016.

**2016 work plan and annual budget** This activity was carried out through mini workshops between Caritas Congo and executive members of the NSC Permanent Secretariat. The 2016 work plan and budget were validated by the NSC in June 2016, after integrating World Bank recommendations. Terms of Reference were developed for use in recruitment of staff and independent consultants who will implement DGM activities in accordance with Project objectives and the procedures of the Bank.

**The third meeting of the NSC** held in June in Kinshasa resulted in approval of the 2016 work plan and annual budget and the Project Operational Procedures Manual. In addition, the mandate and role of the NEA and the objectives and Components of the DGM, and its institutional set-up, were shared and understood.

#### **Grievance Redress Mechanism**

No complaints were filed during the reporting period.

## **10.4. Challenges and Issues Experienced**

The main challenges encountered during this period related to timelines. The DGM DRC noted a delay in the implementation of the 2016 work plan and annual budget due to challenges related to ensuring that the disbursement of funds comply with the normal procedures of the World Bank. Because of these delays, several

activities have been postponed until the next reporting period. Political tensions in the country also influenced the project start up.

## 10.5. Upcoming Activities

- Identify organizational and operational support staff from within the PACOLO (*Peuples Autochtones et Communautés Locales*)
- Train local staff and PACOLO in: development, implementation, and monitoring and evaluation of subprojects; environmental and social issues
- Initiate calls for subproject proposals
- Recruit two staff specializing in issues of community-based land management (protected areas and community forest concessions)
- Organize site visits to identify protected areas
- Support participatory mapping of community lands
- Organize workshops and consultations with communities regarding their historical profile, population mobility workflow, resources, extent of community land, rights holders, etc.
- Conduct analyses of procedures for acquisition of rights (local community forest concessions or community protected area)
- Advocate on land reform and track laws in favor of IPs
- Ensure the functioning of Caritas Congo as NEA
- Support Assistant in communication (in support of the technical expert)
- Hold NSC meeting
- Sign contract with REPALF
- Sign contracts with specialized operators to deliver trainings on specialized topics, including follow-up of law, land reform, community land management, capacity-building of local operators, institutional diagnosis of local operators of support to indigenous peoples and local communities
- Sign contracts with staff to support local communities



- Purchase equipment, accessories, and field gear
- Develop 2017 work plan and annual budget

## 11. Ghana

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Ghana NSC meeting

### 11.1. DGM Ghana Project Overview

#### Context

Ghana's growth is heavily reliant on natural resources, many of which are subject to significant resource degradation, particularly in the forest sector. In the west of Ghana, cocoa plantations are a significant contributor

to deforestation. About 800,000 families are involved in cocoa production in Ghana, a product that generates the main tax income.

Due to this threat, reforesting these areas and improving cocoa production is a priority for the DGM Ghana. The DGM Ghana will work with forest fringe communities in the Brong-Ahafo (BA) and Western regions of Ghana, along the border with Côte d'Ivoire. In these areas, forest fires and the shortage of land for planting projects are a concern of those who plan to leverage DGM resources. In general, in these areas community land use is authorized by the allodial title holders (either the chief or head of family) in the community.

### Objectives

The Project Development Objective (PDO) is to strengthen knowledge and improve practices of targeted local communities in REDD+ processes and sustainable forest management.

Project components include:

- Capacity building and institutional strengthening (estimated cost: US\$ 1.0 million)
- Sustainable and adaptive community initiative (estimated cost: US\$ 3.5 million)
- Project management, monitoring, and evaluation (estimated cost: US\$ 1.0 million)

### Stakeholders

At the district level, Project stakeholders include the Forest Services Division of the Forestry Commission (FSD), the district assembly, and the CSOs and CBOs working on climate change. At the national level, the World Bank, the Ministry of Lands and Natural Resources, the Forestry Commission, the FIP team, the media, national CSOs, and many others are also stakeholders.

## 11.2. Establishment of the NSC, NEA, and Project Approval

During the last reporting period the World Bank country team conducted stakeholder consultations to establish the Ghana NSC, and a new consultancy was developed in October 2015 to communicate directly to two regions. Initially focus group meetings were held to identify active community-based organizations, NGOs, and other stakeholders in the Brong-Ahafo and Western regions. In December, two regional stakeholder meetings were held—one in each of the two regions—where the DGM's objective and process were explained along with its linkages to the FIP. Profiles of NSC members and possible candidates were discussed as well as the DGM Grievance Redress Mechanism. The NSC was formed with 13 representatives from local communities; 12 men and 1 woman



from the two regions. The NSC includes 10 decision-making members), together with three observers to provide additional expertise. A National Planning Workshop was held with national-level stakeholders where a GSC representative and alternate were selected. At the start of this reporting period, the DGM Ghana held its first NSC meeting, which established the NSC members.

DGM Ghana developed a call for NEA applications and has met with the proposed NEA (Solidaridad) to negotiate on project implementation.

DGM Ghana will hold a meeting on project approval and plan to finalize the project approval process before the end of July 2016. They await a clearance letter from the Ministry of Finance and World Bank approval of the Project Appraisal Document (PAD) by September 2016.

### **11.3. Implementation Progress during the Reporting Period**

During the reporting period, activities in Ghana focused on project preparation and included:

- First Ghana NSC meeting
- Call for NEA applications (supported by a consultant), review of NEA proposals, including fiduciary requirements and alignment with operational guidelines, evaluation of NEA candidates with the support of the Ministry of Lands and Natural Resources, writing of evaluation report and submission to the World Bank, invitation of the winner of bid for judicial checks
- In-person meeting with the proposed NEA (Solidaridad) to negotiate on project implementation

#### **Grievance Redress Mechanism**

No information provided for this period.

### **11.4. Challenges and Issues Experienced**

Challenges noted include:

- The long distance between NSC members' communities and the lack of telecommunication connectivity in several communities
- The lack of funds for reimbursing NSC members' expenses

In addition, the NEA selection process resulted in the disqualification of one of the nominees. This caused delays while further background checks were conducted and caused some tension between the NSC and World Bank. In order to address this concern, the NSC leadership reported the developments to the World Bank and the GEA.

## 11.5. Upcoming Activities

There is a planned NSC meeting soon after the DGM Africa Regional Training Workshop in Burkina Faso to officially introduce the NEA to the NSC and negotiate division of duties.

## 12. Indonesia

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### 12.1. DGM Indonesia Project Overview

#### Context

Indonesia is endowed with the third largest tropical forest area in the world – a valuable resource for the country and a globally important carbon sink and biodiversity habitat. Indonesia holds an estimated 94 million hectares of natural and planted forests and the largest mangrove and sea grass ecosystems in the world. Indonesia's forests, in addition to being a national asset, are of global concern because of their biodiversity value and potential contribution to climate change. In Indonesia the annual greenhouse gas (GHG) emissions caused by deforestation, forest degradation, and peat decomposition are estimated to have been between 320 and 430 million tons of carbon dioxide equivalent (CO<sub>2</sub>e) between 2001 and 2012.<sup>10</sup>

As of 2011, approximately 32 million people dwell on forest lands in Indonesia. Of these, six million live in remote forest areas and are poor. Land governance in Indonesia is complex, creating barriers for forest-dependent groups to defend land rights and livelihoods. Participatory mapping of customary lands has been a central part of IPLCs' strategy for dialogue. *Aliansi Masyarakat Adat Nusantara* (AMAN, or Indigenous Peoples Alliance of the Archipelago) and several other networks and NGOs have been strong promoters of this participatory mapping approach and have committed to map 40 million hectares of customary forest by 2020. Indonesia has also embraced the concept of financial compensation for Reducing Emissions from Deforestation and Forest

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<sup>10</sup> World Bank, Strengthening Rights and Economies of Adat and Local Communities (P156473), Integrated Safeguards Data Sheet, Nov. 23, 2015

Degradation (REDD+) in an effort to achieve its target for GHG emission reductions. The success of REDD+ hinges on improving forest governance. REDD+ creates an additional opportunity for indigenous peoples (*Adat*) and local communities to resolve issues regarding land claims and rights because unclear tenure is seen as an underlying driver of deforestation and degradation. The DGM Indonesia project is an opportunity to secure “community land titles” for indigenous communities.

The DGM Indonesia Project defines indigenous peoples (*Masyarakat Hukum Adat*) as self-identified communities that organize themselves around traditional governance and legal systems based upon collective territorial management. While this can include individual rights within the collective system, these rights are generally non-transferable to people from outside the territory. Local communities, as distinct from indigenous peoples, are those who, while often long-term occupants of the lands they manage, choose not to self-identify as *Adat* and may well not meet emerging government criteria for recognition. Often, this means a variance in natural resource management approaches and tenure instruments, where non-*Adat* communities’ management systems are often premised on individual access. This difference is most significant in the context of rights recognized in Indonesia’s National Forest Estate (*kawasan hutan*), where time-bound and conditional rights are awarded to individuals and cooperatives through the community forestry program. These tenure and management options are most applicable for non-*Adat* communities, whereas indigenous forest management areas (*hutan Adat*) are based upon government recognition of collective local rights that are neither time bound nor conditional. The definitions of indigenous peoples and local communities by DGM Indonesia are designed to accommodate variances in official Government of Indonesia categorizations, provide inclusive access to the DGM, and leave self-identification as indigenous or local up to qualifying communities.

## Objectives

The objectives of the DGM Indonesia Project involve strengthening *Adat* and local communities’ involvement in processes to define forest land tenure and to increase their access to natural-resource-based income generating opportunities.

The Project has three components:

- Strengthen tenure security
- Strengthen IPLC’s capacity to improve economic welfare
- Project management, monitoring, and evaluation

DGM Indonesia is designed to provide IPLCs a financing and learning mechanism for demand-driven initiatives. Through the management of grant-financed initiatives of IPLCs’ choice, their institutional capacity will be



strengthened. In Indonesia these grant-financed initiatives are designed (1) to support the identification of IPLCs and their rights to land tenure and (2) to strengthen territorial rights, focusing on co-benefits of land tenure including, but not limited to, livelihoods and sustainable management of forests.

### **Stakeholders and Beneficiaries**

Communities, as the project beneficiaries, are the main stakeholders of the project. The local and central governments as duty-bearers are stakeholders that play important roles in securing communities' rights. CSOs are also stakeholders that play catalytic and facilitative roles to build capacity of communities to claim and defend their rights.

## **12.2. Establishment of the NSC, NEA, and Project Approval**

In Indonesia, the Community Chamber of the National Forestry Council (DKN – *Dewan Kehutanan Nasional*) facilitated the selection process for NSC members. From March to June 2014, seven regional meetings for IPLCs were held to select a representative from each region. In addition, two members were selected during the National Meeting for Indigenous Women and Local Communities, bringing the total number of NSC representatives to nine (of the nine members, five represent IPs and four represent LCs, four of these members are women). The NSC has two observers, one representing DKN (National Forestry Council) and one representing the government.

The first NSC meeting was held in July 2014. The NSC met in December 2014 to define the selection process for the NEA. From January to June 2015, a call for proposals and review was conducted, and Samdhana Institute was selected in June 2015 with a formal announcement in August 2015. During the previous reporting period, Samdhana worked with the World Bank on preparation activities for the Project and also submitted and received a no-objection letter from the Government of Indonesia's Ministry of Environment and Forestry in December 2015. Both the NEA selection and Country Project preparation processes took longer than anticipated, which has delayed the signing of the NEA contract.

The project design is still in development and is a key component for completing the Project Appraisal Document (PAD). The NSC and TTL of the World Bank expect to have the Project approved within the next reporting period. The TTL will inform the NSC about the expected approval date after examining available documents that support PAD development and consulting the team within the World Bank.



### 12.3. Implementation Progress during the Reporting Period

An agreement was signed between the World Bank and Samdhana to administer a project preparation grant of US\$ 175,000 to support activities during the preparation phase. With this funding, Samdhana supported two NSC meetings and progress in Project design. Three NSC members met with the World Bank team to discuss Project design focusing on the Project Development Objective, priority areas, and safeguards. A follow-up meeting was organized in April for all NSC members to review the proposed Project design. During this meeting, the NSC developed the Project logical framework and strategic direction. Both documents will serve as critical direction from the NSC to Samdhana in Project implementation planning, including staffing and targets. Both documents were submitted to the World Bank as key sources to develop the PAD. Two consultants helped the NSC to fine-tune the logical framework, and transform the strategic direction into the Project design. The consultants also met with the World Bank team to bridge NSC expectations and World Bank requirements.

In June 2016, a team from Indonesia, including two NSC members, a Samdhana representative, and a World Bank representative, visited Peru and Brazil to learn about models for granting indigenous peoples and local communities greater tenure security over forest lands and for managing resources sustainably in a manner that is sensitive to traditional cultures (e.g., extractive reserves; RESEX in Brazil); linkages with the FIP; and implementation of the DGM (see photo, figure 4). Financial and logistical support for the exchange was provided by the World Bank. A video about the exchange (in Indonesian) can be seen here: <https://www.youtube.com/watch?v=MQROFF4jsxQ>.



**Figure 4. The DGM Indonesia NSC and NEA participated in an exchange with Brazil and Peru. Here, they meet with members of the indigenous community Santa Rosa in Peru.**

#### Grievance Redress Mechanism

No information provided for this period.

## 12.4. Challenges and Issues Experienced

The NSC faced significant challenges leading to delays in recruiting consultants. Availability of gender and ESMF consultants with experience in the World Bank programming standards was limited. Those who were available proposed longer periods of service and higher daily rates than the budgeted rate. To overcome these challenges, Samdhana used social media to assist in searching for consultants. In addition, Samdhana consulted the World Bank to revise the procurement plan.

## 12.5. Upcoming Activities

Samdhana plans to support three major NSC activities in the next reporting period:

- Completion of project design – including strategic direction, project components, geographical coverage, priority areas, logical framework (PDO, indicators, activities, and targets), staffing, and budget, describing activities for each component. This will be done through an NSC meeting scheduled in August 2016.
- Endorsement of the PAD by the NSC. The NSC requires a final review before the PAD is submitted to the World Bank for approval.
- Project validating and sensitizing. Following approval of the PAD by the NSC, each NSC member will share the project design with his or her “constituents” – those who participated in the IPLC regional meeting. NSC members will provide information about the strategic focus of the Project, geographical coverage, priority areas, the process for accessing funds, and the criteria DGM Indonesia will apply in selecting subprojects.



## 13. Mexico

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DGM Mexico meeting for the selection of a regional subcommittee for the Yucatan Peninsula

### 13.1. DGM Mexico Project Overview

#### Context

Mexico's forests cover around one-third of the country's land area and represent an essential source of livelihood for some 12 million people. Seventy percent of Mexico's forests are governed as *ejidos*, a community-based tenure system unique to Mexico. In addition to their important economic and social role, Mexico's forests are also known to contain some of the highest levels of biological diversity in the world. Mexico is a recognized leader in forest management, with over 2,000 communities managing their forests according to an approved plan. Unsustainable land management practices, such as logging, forest grazing, fuelwood collection, and fires, threaten Mexico's forests. In addition, climate change and weather variability entail greater uncertainty, particularly in terms of food security, and have the potential to exacerbate threats to Mexico's forests. Based on recommendations in Mexico's National REDD+ Strategy, DGM Mexico has targeted IPLC groups in three sub- regions: Yucatan Peninsula, Oaxaca, and Jalisco.

## Objectives

DGM Mexico will support dialogue and participatory processes with stakeholder groups, as outlined in the National REDD+ Strategy for Mexico. Although specific Country Project objectives for the DGM Mexico Project are still to be defined, the following elements are under discussion:

- Generation of financing systems to support actions preventing deforestation and forest degradation
- Strengthening the organizations and cooperatives that support low-CO<sub>2</sub>-emission activities
- Strengthening and capacity building (administrative and technical) of communities and social organizations
- Monitoring, communication, and evaluation, to measure and report on progress and achievements within the DGM and to external audiences
- Review of legal and institutional framework and development of proposals for improving policies and programs in the sectors involved in the DGM, through participatory processes.

Components under consideration for the DGM Mexico Project include:

Component 1: Funding mechanisms for community forest management (approximately US\$ 3.6 million).

This component would include a revolving fund and seed capital to support the implementation of projects based on the needs of communities in managing communal lands related to the following areas:

- Avoided deforestation and forest degradation through sustainable forest management
- Protection of ecosystem services
- Maintenance and enhancement of forested land as carbon sinks
- Sustainable harvest of timber and non-timber forest products
- Low-carbon productive agricultural systems
- Development and strengthening of community forest enterprises using appropriate social and administrative measures

Component 2: Capacity building and institutional support (approximately US\$ 1.5 million).

This component would support capacity building to strengthen management skills and technical expertise in community forestry by:



- Providing training and guidance on technological advances to communities and farmers
- Developing networks for knowledge sharing among forest-dependent peoples and community forest enterprises
- Supporting strategies to communicate project progress and results, and to identify and disseminate lessons learned to internal and external audiences.
- Promoting opportunities to share experiences and best practices related to REDD+ among members of the same community and between different communities

Component 3: Management, monitoring, and evaluation (approximately US\$ 0.9 million).

This component would support activities that increase the capacity of indigenous peoples and local communities to monitor, supervise, and evaluate project activities. The component would also cover incremental costs incurred by the NEA in implementing subprojects.

### **13.2. Establishment of the NSC, NEA, and Project Approval**

The DGM Mexico NSC is composed of 15 representatives (13 men and 2 women), 5 from each Regional Subcommittee formed in the three focal regions of Jalisco, Oaxaca, and the Yucatan Peninsula. Within the NSC, a Technical Secretariat (or executive committee) was formed made up of five NSC members. Each Regional Subcommittee has a primary decision-making role and will support the DGM Mexico NSC by contributing to planning, implementation, and monitoring activities in their respective regions based on work plans jointly agreed with the NSC. Internal rules and procedures of the NSC are currently under development, as are principles, criteria, and operational guidelines. The NSC is working to develop Terms of Reference to select the NEA.

### **13.3. Implementation Progress during the Reporting Period**

In Mexico, activities during the period related to project preparation and establishment of the NSC. The three main achievements include:

- Establishment of the NSC through a participatory selection process that included indigenous peoples and local communities of the three targeted regions (Jalisco, Oaxaca, and Yucatan Peninsula)

- Creation of three Regional Subcommittees including representatives of indigenous peoples and local communities from the three regions. These Subcommittees are subsidiary bodies of the NSC in actions related to planning, implementation, and monitoring of DGM activities
- Awareness raised about developing alternative financing models to strengthen social, economic, and environmental initiatives

#### **Grievance Redress Mechanism**

No information provided for this period.

### **13.4. Challenges and Issues Experienced**

The intensive consultation process which preceded the formation of the DGM in Mexico has generated expectations about the DGM as an opportunity to address challenges that have been raised by various social groups for a long time in the country.

This has partly been addressed through the establishment of three Regional Subcommittees which include representative IPLCs from the three target regions. Regional Subcommittees are fundamental to the design of the NSC, as these are the spaces where decisions are taken at the level of each of the regions where the DGM operates.

### **13.5. Upcoming Activities**

In the upcoming reporting period, DGM Mexico will organize five meetings between NSC members and communities, social organizations, representatives of the Technical Advisory Boards of REDD+ in the three focal regions, and representatives of the Consultative Council of Indigenous Peoples, which promotes the Commission for the Development of Indigenous Peoples.

Implementation activities planned for the next reporting period include:

- Develop ToRs for drafting the Project Operational Procedures Manual
- Meeting of the DGM Mexico Technical Secretariat
- Meeting of the three Regional Subcommittees
- Meeting of the NSC

## 14. Mozambique

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Members of DGM Mozambique's interim committee take part in a south-south knowledge exchange in Brazil in May 2016.

### 14.1. DGM Mozambique Project Overview

#### Context

In the Mozambican context, a local community is a group of families and individuals living in a territorial area at the local level designed to safeguard common interests by protecting housing, agricultural areas (cultivated or fallow), forests, sites of cultural significance, pastures, water sources, hunting areas, and development. For socio-cultural and political reasons, the term "indigenous" is not applicable in Mozambique (Law Land No. 19/97 of 1st October Article 1).

In Mozambique, the priorities for FIP funding were identified based on the main causes of deforestation and forest degradation, as noted in the National REDD+ Strategy and the FIP. Both the FIP and DGM projects will be



implemented in 14 districts, including 7 from Cabo Delgado (northern Mozambique) and 7 from Zambezia (central Mozambique).

### Cabo Delgado (northern Mozambique)

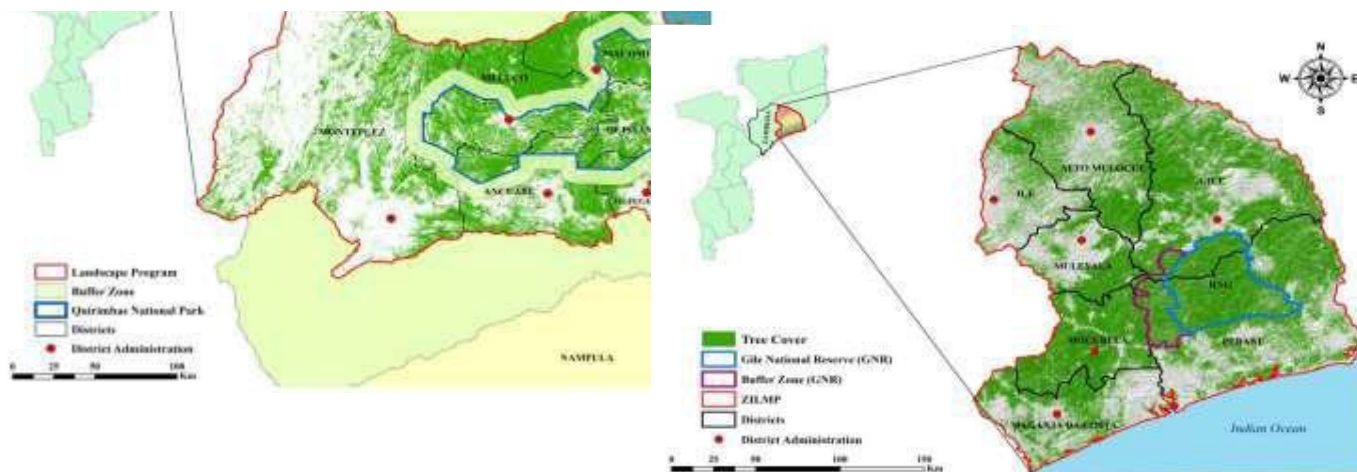


Figure 5a Map of Cabo Delgado

### Zambezia (central Mozambique)

**Total area:** 3.8 million hectares (7 districts) of which **59%** covered by forests.

**Population:** 1.2 million (70% below the poverty line).

**Deforestation rate:** 0.80% (18,000 hectares per year).

**Covered districts:** Gile, Ile, Pebane, Alto Molocué, Maganja da Costa, Mocubela and Mulevala.

Figure 5b Map of Zambezia

## Objectives

The FIP has two activity levels: (i) national level, focusing on political and legal reforms, governance, and capacity building in order to create the conditions for positive change; and (ii) landscape level, focusing on implementing on-the-ground activities in specific geographic areas (Cabo Delgado and Zambezia) and in the private sector.

The DGM Mozambique objective is to increase the capacity of local communities to participate in the sustainable management of forests and lands in the FIP implementation areas, and in REDD+ processes at local, national, and global levels. The Project Concept Note is currently under discussion.

The Components of the DGM Mozambique Project are:

### Component 1: Capacity Building and Strengthening for Sustainable Use of Natural Resources

This component will finance capacity building of communities and community-based organizations across the country. Activities will aim to improve community knowledge and expertise in relation to climate change and forest management and planning, and to develop community members' financial resource management skills. Activities will also promote the sharing of lessons learned between communities with regard to their participation in FIP, REDD+, and decision-making processes related to climate change at local and national levels. Communities and community-based organizations across the country are eligible to propose activities within this Component.

### Component 2: Promoting Sustainable Initiatives of Local Communities

#### Subcomponent 1: Sustainable Initiatives of Local Communities

This subcomponent supports local communities and community-based organizations in implementing subprojects through grants. Subprojects cover policy areas that contribute directly or indirectly to reducing deforestation while enhancing local livelihoods. Only communities and community-based organizations in the provinces of Zambezia and Cabo Delgado will be eligible to propose activities under this Component, in alignment with the FIP.

#### Subcomponent 2: Technical Assistance to Grantees

Regardless of activity type, all grantees will be eligible for technical assistance and support for the duration of their respective subprojects. This subcomponent will finance technical training on-site in the sectors of the selected subprojects, and will be adapted based on grantee needs during the subproject implementation period.

### Component 3: Project Management, Monitoring, Evaluation, Communication and Safeguards

This component will finance the incremental costs incurred by the NEA to carry out their responsibilities including, among others: (i) acting as the secretariat of the NSC; (ii) ensuring the technical coordination of the project, as well as monitoring and evaluation; (iii) reporting to the World Bank and the DGM GSC;

(iv) ensuring the sound financial management of contracts and audit of the Project; (v) designing and operating the Grievance Redress Mechanism; (vi) supervising the implementation of subprojects and evaluating results; and (vii) ensuring communication, public consultation, and awareness-raising activities are appropriately conducted. This component will also finance studies, the development of the Project Operational Procedures Manual, travel, and limited purchase of equipment for office activities and monitoring.

### Stakeholders and Beneficiaries

At this stage the main stakeholders in the project are local communities, the private sector, CSOs, and the government. Based on current discussions, the direct beneficiaries in the preparation phase are expected to be community members and rural women who will attend training programs to support their inclusion in the program. Communities will be represented by the Natural Resources Management Committees (CGRN) and rural women will be represented by the Mozambican rural women, MMMR Movement, who identify themselves as Mozambican women's associations (from all provinces of the country) that are active in agriculture, livestock, tourism, handicrafts, agro-processing, mining, fishing or related activities.

## 14.2. Establishment of the NSC, NEA, and Project Approval

Beginning in September 2015, a number of regional public consultations were held across the country to elect regional representatives to an interim committee, known as the DGM Working Group (GT-DGM). These consultations were attended by a total of 270 people, of which 33% were women. Figure 6 shows the distribution of participants according to their relevant sector.

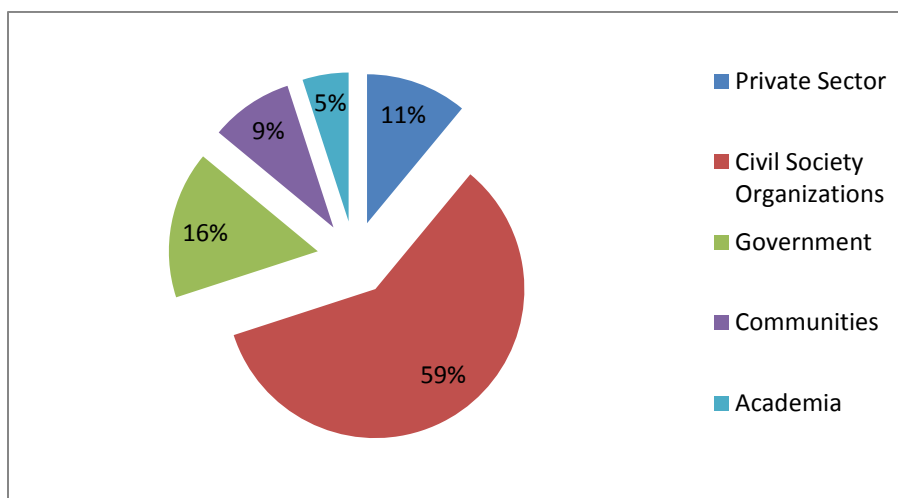


Figure 6. Distribution by category of attendees of regional public consultations to introduce the DGM and elect representatives to the interim committee (GT-DGM).



The interim committee held regular meetings to develop guidelines for implementation of the DGM in Mozambique. An online forum was created for interim committee members, guests, and observers (World Bank and UT-REDD) to facilitate discussions and contributions and to promote speed, transparency, and harmony in the consultation process.

The interim committee recommended that the NSC include 17 members, including at least 5 women. The suggested composition includes: community (6), civil society (5), gender and youth movement (2), government (2 observers), World Bank (1 observer), coordination of FIP (1 observer). Community representatives in the NSC will be chosen by CGRN and civil society representatives will be selected through a voting process based on criteria determined by the interim committee. Government and World Bank representatives will be defined by appointment, by invitation letters to the respective institutions. In addition, it was agreed that CSOs active in sustainable management of natural resources and effective participation of local communities within the geographic areas of project implementation should be represented in the NSC.

### 14.3. Implementation Progress during the Reporting Period

During the reporting period, activities in Mozambique focused on the preparation phase. This included:

- Proposed definition of NSC composition
- Proposed project components for DGM Mozambique
- Submitted proposal for the creation of online forum for interim committee members and invited observers (World Bank and government through the MITADER, represented by the Department of Community Management and UT-REDD+). This forum will support DGM consultations, allowing discussion and contributions on relevant items (e.g., DGM Mozambique Project Concept Note)
- Under the FIP and DGM, in May 2016 members of the interim committee participated in a south-south knowledge exchange in Brazil, to share learning and expand knowledge regarding sustainable development and climate change, and to discuss initiatives being carried out in Brazil which may eventually be replicable in Mozambique. A video about the experience can be found at : <https://www.youtube.com/watch?v=RqNWE52cOKQ>

#### Grievance Redress Mechanism

No information provided for this period.

## 14.4. Challenges and Issues Experienced

One of the biggest challenges encountered during this period was reaching consent on the structure and composition of the interim committee, including the decision on the representation of communities.

Further challenges identified at this stage are:

- Expectation management in the process of information dissemination and engagement of communities
- The focus on organizational weakness (lack of preparation) to implement DGM projects that accompanies initial activities required in the complex DGM process
- Identification of sites in project implementation areas, defining eligible subprojects, and developing mechanisms to ensure Project sustainability

To address these challenges, DGM Mozambique:

- Recommended the inclusion of CGRN as representative of the communities within the NSC
- Created an online forum to facilitate discussion and contributions to DGM Project design guidelines quickly, transparently, and smoothly

## 14.5. Upcoming Activities

- Train CGRN and MMMR representatives on concepts and process in the DGM
- Conduct the fourth meeting of the interim committee
- Develop and validate the Project Appraisal Document
- Identify candidates for Mozambique NEA
- Draft guidelines on gender and vulnerable groups within the DGM
- Identify subproject sites
- Prepare and disseminate the communication strategy for the DGM Mozambique, including production spots and radio soap operas for inclusion in community radio

## 15. Peru

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### 15.1. DGM Saweto Peru Project Overview

#### Context

The Peruvian Amazon has over 73 million hectares of forest and Peru is one of the planet's 12 megadiverse countries. Nearly 15 million hectares of this vital landscape are owned or managed by the approximately 2,250 indigenous communities that live in the Amazon, although indigenous peoples' rights to much of this land have not been legally recognized. Deforestation in Peru generates nearly half of nationwide greenhouse gas (GHG) emissions, and Peru's FIP identifies agricultural expansion, megaprojects, and road construction for non-regulated timber exploitation as the main drivers of deforestation. While the bulk of deforestation takes place in areas without legally allocated land entitlements, territorial reserves—including indigenous lands and protected areas—see lower deforestation rates.

#### Objectives

The DGM Saweto Peru aims to “support indigenous peoples in selected communities in the Peruvian Amazon in their efforts to improve their sustainable forest management practices.” Through the Project's two main Components of land titling and community forestry management, DGM Saweto Peru expects to make a significant contribution to reducing deforestation and degradation in the Amazon while increasing the capacity of indigenous communities to manage their land and resources. The Project includes a third Component related to governance and sustainability, which encompasses secretariat services to the Peru NSC, technical assistance to local executing agencies, and monitoring and reporting. The project has the following expected results:

- Recognition and registration of 310 native communities (Indigenous Peoples in the Amazon) in the National Registry of Native Communities;
- Titling of 130 native communities, to establish the geographic location and physical boundary for a native community's land and formally register the title with national and subnational entities; and
- Conducting 75 agroforestry, food security, non-timber, and small-scale timber subprojects by indigenous federations and organizations located in Amazon regions.

The project has three Components:

Component 1: Native Land Titling in the Amazon (US\$ 2.6 million), which includes two subcomponents:



Subcomponent 1.1 - Recognition and Registration. This activity will support registration of indigenous peoples and native communities (IPNCs<sup>11</sup>) in the National Registry of Native Communities, through (i) providing technical and legal assistance to IPNCs; and (ii) financing selected subprojects and related operating costs of the IPNC organizations.

Subcomponent 1.2 - Demarcation and Titling. This activity will finance the demarcation and titling process which establishes the geographic location and physical boundary for a native community's land and formally registers title for at least 130 native communities representing at least 780,000 hectares.

Component 2: Indigenous Forest Management (US\$ 1.6 million). This Component will support carrying out agroforestry, food security, non-timber and timber subprojects by IPNC organizations located in selected communities in the Amazon region.

Component 3: Governance and Sustainability (US\$ 1.3 million). This Component will support the overall governance of the DGM and the day-to-day administration and financial management of DGM resources.

### **Stakeholders and Beneficiaries**

The main stakeholders have been identified as indigenous peoples, the Ministry of Environment, the Ministry of Agriculture, the Vice-ministry of Culture, the National Service of the Protected Areas of Peru (SERNANP), the National Forestry Service (SERFOR), regional governments (10), and local NGOs with activities in the project areas.

Direct beneficiaries are the members of the approximately 2,250 indigenous communities in the targeted regions in the Amazon, including a relevant group of women who will lead a total of 24 subprojects related to community forest management.

## **15.2. Establishment of the NSC, NEA, and Project Approval**

The DGM Saweto Peru NSC includes five members from each of two national Amazonian indigenous organizations: the Interethnic Association for the Development of the Peruvian Rainforest (AIDESEP) and the Confederation of Amazonian Nationalities of Peru (CONAP). The ten-member NSC together with its bylaws was established in 2013 and includes eight representatives of IPs and two representatives who are on the technical team of indigenous organizations. One member of the NSC is a woman. The DGM Saweto Peru Project was the result of joint work of the NSC, the World Bank, and leaders from the regional organizations where the project will be implemented. The FIP Subcommittee approved the project in May 2015 and the World Bank Board approved it in September 2015. The Project went into effect as of

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<sup>11</sup> Peru has defined eligible beneficiaries as only indigenous and native communities; non-indigenous communities are excluded.

November 2015. The NEA, World Wildlife Fund (WWF) Peru, was selected by the NSC in 2014, and a contract was signed between WWF Peru and the World Bank in September 2015.

The NSC in Peru has defined specific Project Implementation Arrangements. The DGM Saweto Peru Project will be implemented through representatives of the 18 regional indigenous organizations and federations who will serve as 18 local executing agencies, or project intermediaries. WWF Peru will establish executing agreements with these 18 project intermediaries and will provide administrative support and technical assistance in the preparation of subproject “master” proposals. WWF Peru will work directly with the regional organizations to review and finalize proposals, to ensure they are consistent with adopted standards, and then formally submit them to the NSC for final review and approval. The NSC will contract two technical specialists during the review period to ensure that proposals contribute to DGM Project objectives and indicators and are technically sound. The NSC will monitor progress in meeting the Saweto gender target. The Project has a strong focus on subprojects proposed by or primarily managed by women.

### 15.3. Implementation Progress during the Reporting Period

**Dissemination of the DGM Saweto Peru Project with several audiences at regional level.** Six regional workshops were held to disseminate the DGM Saweto Peru Project Operational Procedures Manual to the 18 project intermediaries. During these meetings, the Grievance Redress Mechanism and the Conflict of Interests Policy were also presented and discussed. Following these workshops, the 18 intermediaries conducted community or subnational assemblies to (i) socialize the DGM Saweto Peru Project, (ii) confirm the project intermediary representatives from the native communities in the DGM Saweto Peru Project, (iii) select the initiatives to be submitted for DGM Saweto Peru funding, and (iv) confirm community members’ commitments to support and provide in-kind contributions to the DGM Project.



Figure 7. Six regional workshops held between January and March 2016.



Figure 8. Pictures from 2 of the 18 local assemblies held in March – June 2016.

**Articulation of the DGM Saweto Peru with state actors at national and regional levels.** Both the NSC and project intermediaries have held formal meetings with members of the Regional Agricultural Office (Direccion Regional Agraria—DRA), the entity responsible for issuing land titles at the regional level. The DGM Saweto Peru has already held formal meetings that resulted in formal agreements with five of the eight regional governments, including: Loreto, Ucayali, San Martín, Amazonas, Satipo/Junín. The DGM has



also held preliminary meetings with the Ministry of Environment (MINAM) and the Ministry of Agriculture (MINAGRI), with whom the DGM has begun to identify potential complementary activities, including conducting training sessions on guidelines and protocols for land titling and community recognition.



Figure 9. Meetings between DGM members and the regional governments of Amazonas and Satipo.

**Assessment of project intermediaries' capacities in administrative and financial management.** WWF assessed the project intermediaries' administrative capacities in organization, execution, and reporting. In addition, WWF evaluated project intermediaries' compliance with legal requirements to access DGM funds, including taxpayer ids, accounting procedures to record expenses, and bank accounts, among others. As shown in table 2, 10 of 18 are now eligible to receive funds while the rest are still completing the minimum requirements.



**Table 2. Financial assessment of the project intermediaries in DGM Saweto Peru**

Region	Intermediary	Completed Level 1	Accounting of Funds Received	Quality of Accounting
YURIMAGUAS	OCCAAM	●	N/A	N/A
	ORPIAN-P	●	●	●
	CODEPISAM	●	●	●
	CORPI-SL	●	●	●
IQUITOS	FEMIAL	●	N/A	N/A
	FEPIBAC	●	●	N/A
	ACONAKKU	●	●	●
	ORPIO	●	●	●
UCAYALI	UCIFP	●	N/A	N/A
	CORPIAA	●	●	●
	FECONADIC	●	N/A	N/A
	ORAU	●	●	●
SELVA CENTRAL	OCAM	●	●	●
	CART	●	●	●
	FECONACA	●	N/A	N/A
	ARPI	●	●	●
CUSCO	COMARU	●	●	●
MADRE DE DIOS	FENAMAD	●	N/A	N/A

**Presentation and approval of 33 subprojects on community recognition, land titling, and community forest management.** The NSC held two meetings (May 24–25 and June 29–July 2) to evaluate and select subprojects. The “2016 call for subprojects” closed on June 4th. Each of the 18 project intermediaries submitted a master proposal. Altogether these included 13 subprojects regarding the legal recognition of communities as indigenous, 10 subprojects for land titling, and 10 subprojects for community forest management. Table 2 provides more detailed information on the proposals. These 33 subprojects were approved during the reporting period. The final budget is still in revision and no subproject had yet begun implementation during the reporting period. Project implementers, including indigenous leaders and their technical teams, have received training on the DGM Grievance Redress Mechanism and World Bank safeguards.

**Table 3. Total DGM Saweto Peru subprojects received during 2016**

		Subprojects - 2016 call				
Region	Project Intermediaries	Community Recognition	Communtiy land titling	Community Forest Managment projects		No. Of communities
				No. Of subprojects	No. Of communities	
Amazonas	OCCAAM	2	2	1	4	8
	ORPIAN	1	2			3
	Subtotal Amazonas	3	4	1	4	11
San Martin	CODEPISAM	12	4			16
	Subtotal San Martín	12	4	0	0	16
Loreto	ACONAKKU	3	3			6
	FEPIBAC	1	2	1	1	4
	CORPI	63				63
	ORPIO	43	3			46
	FEMIAL			1	1	1
	Subtotal Loreto	110	8	2	2	120
Selva Central	ARPI	7	3			10
	CART			1	15	15
	FECONACA	2				2
	OCAM			1	2	2
	Subtotal Selva Central	9	3	2	17	29
Ucayali	CORPIAA	4	5			9
	FECONADIC			1	4	4
	ORAU	9	1			10
	UCIFP	1	1	1	1	3
	Subtotal Ucayali	14	7	2	5	26
CUSCO	COMARU			1	1	1
MDD	FENAMAD	1		2	4	5
	Number of Communities	149	26	-	33	208
	Number of suprojects	13	10	10	-	33

### Grievance Mechanism

No complaints received during the period.

### Communication Materials

During meetings with stakeholders, the NSC and project intermediaries have used materials prepared last year, including:

- A best practices document (in English and Spanish) explaining the design process of the DGM Saweto Peru, also disseminated within international fora, such as UNFCCC COP21 side events

- A two-page factsheet (in English and Spanish), summarizing key DGM Saweto Peru information. The English version was disseminated at UNFCCC COP21 while the Spanish version has been shared at the local level with indigenous groups and other stakeholders

## 15.4. Issues and Challenges

During this period, several issues have been addressed:

- Adjustment of the Project Operational Procedures Manual. Some templates and procedures required modification in order to simplify and reduce bureaucracy in the subproject design and selection processes.
- Adjustment of the project first-year goals. During the six regional workshops with the eighteen project intermediaries, constraints in meeting the first-year goals were noted including lack of technical and operational capacity, scheduling conflicts due to prior commitments, internal disputes among some of the 18 project intermediaries, among others. Besides these aspects, there were also technical criteria to take into account (such as level of conflict, the support of the regional government, and the geographic concentration of communities)) that led the team to prioritize land titling and community recognition work for time and cost reasons in order to guarantee project effectiveness.

During this reporting period, some risks have been identified and risk mitigation measures have been put in place as indicated below:

<i>Risks</i>	<i>Risk mitigation measures</i>
<ul style="list-style-type: none"> <li>- Land titling and recognition goals are ambitious and their achievement depends on external actors</li> <li>- Some regional governments do not have sufficient financial and human resources to provide support to the DGM goals</li> </ul>	<ul style="list-style-type: none"> <li>- Establish dialogues and agreements among DGM Saweto Peru, regional governments, and the Ministry of Agriculture</li> </ul>
<ul style="list-style-type: none"> <li>- Overlapping of indigenous territories with national protected areas, and forest production areas, among others</li> </ul>	<ul style="list-style-type: none"> <li>- Establish dialogues and agreements among DGM Saweto Peru, the National Protected Areas Service (SERNANP), and the National Forestry Service (SERFOR)</li> </ul>

## 15.5. Upcoming Activities

For the coming period, the main activities are:

- Sign subproject grant agreements between WWF Peru and the 18 Project intermediaries (June-July 2016)
- Begin implementation of the subprojects
- Revise Project indicators and develop subproject indicators
- Implement the project web page and Grievance Redress Mechanism
- Develop NSC 2017 annual work plan and budget

## 15.6. Lessons Learned and Successes

**Establishing general agreements and standards for project operation is critical to promote better understanding among all local executing agencies (listed in tables 2 and 3).** For instance, the costs of services and products differ from region to region along the Amazon, and among project intermediaries. For that reason, it has been necessary to agree on “standard costs” for all types of expenses such as local transportation and accommodation.

Dialogues with regional and national authorities require high-level willingness to commit and awareness of common points of interests.

## 16. Lao PDR

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Lao PDR did not proceed further with establishing the DGM structure during this reporting period and has not been in contact with the TTL for the World Bank. The Lao PDR representative of the transitional committee of the GSC is in contact with government representatives and plan to begin consultations in August.

## 17. Nepal

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An interim committee was formed in June including seven participating organizations, most of which are national umbrella IPLC organizations. During the first meeting, a coordinator was nominated, interim committee members were briefed on the DGM, and an agreement was reached to initiate the process to

access support for the DGM Nepal Project. A meeting with the World Bank TTL is planned for September to commence the process.

## 18. Guatemala

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Guatemala has formed an interim committee with members from three umbrella organizations. They have held several informal meetings to exchange information and are preparing to formally announce the interim committee.

## 19. Ecuador

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The World Bank mission in April was canceled due to the earthquake; it is now planned for the next reporting period.

## 20. Global Learning and Knowledge Exchange Project

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### 20.1. Global Project Overview

The objective of the Global Project is “to organize and facilitate knowledge exchange, learning, and capacity building on REDD+ and climate change issues at regional and global levels, and to strengthen the networks and alliances of IPLC organizations within and across regions with a view to enhancing their representation and voice in regional and global policy fora.” The Global Project provides an umbrella function promoting knowledge exchange and learning across IPLCs in the DGM countries and in non-FIP countries as well, while also serving as Secretariat to the DGM Global Steering Committee (GSC). The Global Project is divided into three Subcomponents:

- Subcomponent 1: Global Learning, Outreach, and Information Sharing – Global, regional, and subregional workshops held with IPLC representatives on policy and technical topics related to REDD+; dissemination of culturally appropriate and relevant information through online platforms and networking channels; and global outreach to relevant partners.
- Subcomponent 2: Technical Assistance and Secretariat Services to the DGM GSC – Preparing and convening annual GSC meetings; supporting GSC members in global partnerships; creating leadership opportunities for IPLCs; and managing the DGM Grievance Redress Mechanism at the global level.

- Subcomponent 3: Planning, Monitoring, and Reporting – Carrying out planning for the Global Project as well as coordinated monitoring and reporting across the entire DGM, including the Country Projects and the Global Project, working in close partnership with National Steering Committees (NSCs) through the National Executing Agencies (NEAs) of each of the DGM Country Projects.

## 20.2. Implementation Progress during the Reporting Period

The reporting period was the second half of Year One of implementation of the Global Project. Highlights of work during the period include: hosting a planning and coordination meeting with existing NEAs (January); conducting a site visit to Ghana to provide support to their NSC selection process (February); conducting the second Annual GSC Meeting (April); participating in the UN Permanent Forum on Indigenous Issues (May); participating (GEA and GSC) in the FIP Partner Meeting; preparing (significant work required in June) to hold the first DGM regional training early in the next period; and selecting the logo and visual identity for the DGM Global Project. These activities as well as other ongoing activities are described in detail below.

### 20.2.1. Implementation of Subcomponent 1: Global Learning, Outreach, and Information Sharing

#### *a. Preparations for Global and Regional Trainings with IPLCs on REDD+ Topics*

In the 5-Year Strategy and Work Plan, substantial activities under Subcomponent 1 of the Global Project (Activities 1.1.1 – 1.2.7) relate to conducting three regional and one global training per year with representatives from IPLCs on REDD+ policy and technical topics. During the current reporting period, the GEA carried out the majority of planning activities to be able to conduct the first regional training, which will be held for the Africa region and is scheduled to take place in Ouagadougou, Burkina Faso from July 19-23, 2016.

The content and agenda for the training were finalized by the GEA during the period, and the majority of logistics planning was also completed, with crucial assistance from the GSC members in Burkina Faso, as well as IUCN Burkina Faso acting as the NEA. The objective of the training is to strengthen the networks and alliances of IPLC organizations within and across the Africa region with a view to enhancing their representation and voice in regional and global policy fora. A total of 35 participants are expected from 11 African countries and 3 regional networks. The topics selected for the training include:

- Day 1: DGM overview and exchange
- Day 2: Vision of indigenous peoples and local communities on climate change
- Day 3: Indigenous peoples and local communities' contribution to climate change mitigation

- Day 4: Indigenous peoples in international climate policy
- Day 5: Negotiation skills

*b. Strengthen IPLC Global and Regional Networks and Alliances*

Activities 1.4.1 – 1.4.5

The GEA is preparing to conduct a social network analysis using data that will be collected during the DGM Africa Regional Training Workshop in Burkina Faso. The social network analysis will enable the GEA to better understand existing networks and alliances of IPLCs in Africa, to strengthen the channels of communication and coordination among IPLC leaders across the African region. The preliminary analysis and results from this exercise will inform further engagement and highlight avenues for the GEA to further support DGM activities in the region. All results will be summarized and detailed in a report following the workshop. The same exercise will be conducted at the regional trainings to be held in Asia and Latin America during the next two reporting periods.

*What is Social Network Analysis?*

*Social Network Analysis is a tool for understanding how information and resources move through a network of individuals or institutions. It allows the mapping of relationships, or ties, between stakeholders. This can be helpful in determining who plays key roles in disseminating information or resources in a network, as well as where there are barriers to accessing information or resources. It is also useful for visualizing power relationships among stakeholders.*

*c. Communications and Outreach Activities*

As part of its role, the GEA carries out communications and outreach activities and supports GSC outreach activities at the global scale for the DGM Program (Activities 1.5.1 – 9). This includes working closely with communications focal points from the NEAs to collect pertinent information about project progress. During the reporting period, the GEA produced a number of communications and outreach materials designed to increase awareness about the DGM and inform stakeholders of important updates. These included:

- Visual Identity – The DGM logo and visual identity of the DGM were finalized, including templates for all DGM materials such as PowerPoints, invitations, and reports. The GSC selected the logo from options prepared for their review by the GEA. The visual identity contributes to establishing consistent recognition of DGM Global materials. (Some DGM country projects have chosen to use their own visual identities.) A logo use guide was created, which provides an explanation of the symbolism of the logo, and establishes criteria for acceptable logo use, including use of logos with partner logos, and requirements for color, size, and spacing.



- DGM Fact Sheet – An updated DGM fact sheet was completed drawing on the logo and visual identity documents. The fact sheet explains the DGM’s structure and overarching objectives to stakeholders not familiar with the program.
- DGM Digest – The GEA produced a bimonthly newsletter, including updates from the DGM Country Projects and events where the DGM was present. Issue 3 (January/February) and Issue 4 (March/April) were prepared and disseminated at DGM events and made available on the DGM Global website. Based on the feedback received regarding the Year 2 communications work plan, the GEA will reassess the frequency and best channel for disseminating updates on DGM progress.
- DGM Global Website – The GEA continued to maintain and update the DGM Global website, [www.dgmglobal.org](http://www.dgmglobal.org), during this period. This includes making the DGM Grievance Redress Mechanism publicly available, keeping DGM Country Project pages up to date, and uploading documents for meetings in the Members Login section, as well as publishing activity posts on the website, for events such as the January NEA meeting, DGM presentations at international events, and updates from Country Projects. Over the past six months, the site has received, on average, 303 visits from 171 users each month. The website is now linked to a Google Analytics account, to allow for more detailed information on website traffic over longer periods; results from this will be available next period.
- DGM Social Media – The GEA has recently created a DGM Global Community Page on Facebook, in order to connect with DGM stakeholders (including GSC and NSC representatives, GEA members, and IPLCs attending regional trainings) and to quickly and informally share information on DGM Global activities, DGM Country activities, and news from other sources that is relevant to the focus of the DGM.

*d. DGM Side Event at the UN Permanent Forum on Indigenous Issues (UNPFII) May 2016*

The DGM participated in events at the UNPFII in New York, USA with contributions from both the Global Project and the DGM Saweto Peru Country Project. The DGM Co-Chair from the Philippines and a representative from DGM Saweto Peru spoke on a panel organized by the World Bank, and at a side event organized by the DGM GEA titled “Illustrating how direct funds governed by IPLCs can contribute to adaptation, mitigation, and conflict resolution.” The GEA Director, DGM Co-Chair, and Peru representative all spoke about the objectives and status of the DGM to an audience of approximately 30 indigenous participants from Asia, Africa, Latin America, and Russia.

The Co-Chair presented the history, objectives, governance, and implementation structure of the DGM as a unique example of direct financing for IPLCs in the domain of climate finance. The representative from DGM Saweto Peru presented an overview of the progress and challenges encountered in establishing the DGM Saweto Peru Country Project, where the first call for proposals led by indigenous peoples in the Amazon to receive subgrants to fund activities for land titling had recently finished. Presentations were

followed by a discussion, led by the GEA Director, to explore topics that could be important in regional trainings in Latin America, Asia, and Africa.



**Figure 10. The GEA Director, alongside the DGM Co-Chair from the Philippines and the representative from Peru, answers questions from participants at the DGM side event held at the UNPFII, May 13th in New York City, NY. (Photo credit: DGM team).**

*e. Tenth International Conference on Community-Based Adaptation to Climate Change (CBA10)*

Under work plan activity 1.2.8, a DGM NSC representative from Indonesia was supported by the GEA to attend CBA10 in Dhaka, Bangladesh in April 2016. The focus of the meeting was on enhancing urban community resilience, and the representative spoke as part of a panel on financing urban community-based adaptation, explaining how the DGM functions and the way it works with IPLCs. He explained the process to establish and design the DGM Indonesia Project and responded to audience questions, including how countries were selected for the DGM, and how IPLCs in Nepal can access the mechanism.

*f. GEA/GSC Participation in Bonn UNFCCC SBSTA meetings (May)*

The DGM Co-chair from the Philippines and the GEA Director participated in UNFCCC SBSTA44 in Bonn in the following capacities:

- In SBSTA44 negotiations where countries were discussing the Paris Agreement, the DGM team focused on supporting the platform for knowledge exchange and the creation of a working group on traditional knowledge.
- Participated in the International Indigenous Peoples Forum on Climate Change (IIPFCC) prep meetings and daily meetings, which contributed to the negotiations. The DGM team is coordinating with the IIPFCC to collaborate on future activities during UNFCCC COP22.
- Participated in dialogue with the Government of Norway and their official delegation to SBSTA44. Together with the IIPFCC, the DGM team supported proposals brought forward by indigenous peoples for the implementation of the Paris Agreement, as well as the request for additional support for IP participation in UNFCCC COP22.
- Updated Nepali IP delegates on DGM activities. The DGM team shared information on the second DGM GSC meeting in Kinshasa and the status of the new countries, including recommendations for setting up the DGM NSC.
- Engaged with non-FIP country IPLCs and indigenous networks for coordination of preparatory activities for the DGM Africa regional training on climate change.

### **20.2.2. Implementation of Subcomponent 2: Technical and Secretariat Services to the GSC**

Under this subcomponent the GEA carries out a number of activities to facilitate effective, accountable, and transparent management of the DGM Global Project, as well as oversight of the DGM program by the GSC. The reporting period saw three substantial activities: facilitation of the second Annual GSC Meeting, hosting of the NEA planning and coordination meeting, and launch of the Grievance Redress Mechanism and complaints procedure (GRM).

#### *a. Second Annual GSC Meeting*

Under Activities 2.1.1-9, the GEA organized the second Annual GSC Meeting, held in Kinshasa, Democratic Republic of Congo in April 2016 with assistance provided by Caritas Congo and the GSC Co-Chair in Kinshasa. Committee members from Burkina Faso, DRC, Ghana, Indonesia, Mexico, and the Philippines were joined by observers from the DGM in Côte d'Ivoire, Mozambique, and the Republic of Congo. GSC members from Peru and Brazil were absent. The World Bank, Forest Investment Program, and Caritas Congo also attended as observers.

During the annual meeting, status updates on implementation were provided for Country and Global Projects. Members provisionally approved the Global Project Year 2 Work Plan and Budget (pending GEA responses to GSC requests for clarifications and modifications), as well as updated rules and procedures,

a Communications Plan, and a common monitoring and reporting framework for the program. The Committee voted to form three Subcommittees: a Temporary Work Plan and Budget Subcommittee to address recommendations to the Year 2 Work Plan and Budget; a Grievance Redress Mechanism Subcommittee; and a Communications, Advocacy, and Outreach Subcommittee.

The meeting coincided with two events held as part of the DRC Country Project: the DRC Chief of the Cabinet of the Ministry of Environment, Conservation of Nature, and Sustainable Development joined the DGM GSC members to announce and voice support for the DGM DRC Country Project, and the following day, the World Bank Country Director joined Caritas Congo to sign a grant agreement establishing Caritas' role as NEA.

*b. Outreach to Global Partners*

The GEA is exploring opportunities with the International Working Group on Indigenous Affairs to develop case studies on the impacts that the Intended Nationally Determined Contributions (INDCs) have on the rights of IPLCs in DGM countries. In addition, the GEF Secretariat has expressed interest in exploring possible joint activities with the Global Project. The DGM team has begun a dialogue with Yoko Watanabe of the Secretariat to identify future opportunities.

*c. Outreach to regional IPLC networks*

**Africa**

The DGM Africa Regional Training Workshop will include the participation of 35 IPLC representatives from 11 countries, as well as three African regional IPLC networks: International Alliance, MPIDO, and IPACC. One primary objective of this workshop is to strengthen networks and alliances of IPLC organizations within and across the African region with a view to enhancing their representation and voice in regional and global policy fora.

The DGM team has also reached out to MPIDO to explore opportunities for joint climate change-related activities in Africa.

**Latin America**

IPLCs of Guatemala organized a meeting with government representatives to discuss the DGM. The GEA Director presented the status and progress of DGM countries during the meeting.

*d. Outreach in preparation for IUCN World Conservation Congress*

The DGM Global Project, in collaboration with DGM Brazil and DGM Burkina Faso, will be conducting a capacity building workshop organized by the GEA at the IUCN World Conservation Congress in Hawaii in September 2016. The objective of this workshop is to hold an interactive dialogue among different actors that engage with topics of direct concern to IPLCs to share knowledge and experience in directly accessing

climate funds to strengthen conservation initiatives within IPLC territories and communities. Other partners for this session include Sotz'il (an indigenous organization in Guatemala), Indigenous Peoples Customary and Environmental Law and Human Rights (SPICEH) of the Commission on Environmental, Economic, and Social Policy at IUCN, and Tebtebba (Indigenous Peoples International Centre for Policy Research and Education).

The DGM team will also be participating in the panel “Accessing Global Finances: Funding Opportunities for Indigenous Peoples and Local Communities,” organized by The Equator Initiative at the IUCN World Conservation Congress.

*e. Engagement with World Bank, FIP, and other partners*

The DGM GEA participated in a CIF brainstorming session in February at the World Bank. The two-day meeting hosted by the FIP brought together a wide range of FIP stakeholders to assess FIP progress and provide inputs to a strategy proposal to the FIP donor subcommittee at their June semi-annual meeting in Oaxaca, Mexico. The GEA emphasized the FIP support for the DGM as an innovative and unique avenue for IPLCs to directly access climate finance with positive results already achieved.

In May, the GEA met with Elisabeth Forseth (NORAD) and the FIP Subcommittee representative for Norway to exchange updates on DGM progress, as well as Norway's plans to support REDD+ initiatives within the FIP and within the government's bilateral programs.

As part of the 2016 FIP Pilot Country Meeting in Oaxaca, Mexico, in June, the DGM GEA organized a panel highlighting the “Implementation of the DGM in FIP Pilot Countries.” Moderated by Vince McElhinny from the GEA, the panel showcased DGM progress for the FIP audience of approximately 200 donors, governments, implementing agencies, and CSO representatives. The panel brought together stakeholders involved in the design and implementation of the DGM at the national and global levels. The exchange focused on the role of IPLCs in the sustainable management and conservation of forests, particularly within the FIP investment plan. Speakers discussed progress in establishing the DGM at the national and global levels, the first projects financed by the DGM in Peru and Brazil, and opportunities for collaboration and coordination between the DGM and other FIP-funded projects.





**Figure 11. DGM GSC members and FIP Focal Points highlight progress at FIP Pilot Country Meeting in Oaxaca.**  
(Photo: Madhavi Pillai)

The speakers presented a diverse range of perspectives on the FIP and the DGM, including:

Manuel Aldrete, a member of the DGM GSC from Mexico, emphasized a significant opportunity for collaboration that exists between national government actors, such as Mexico's National Forest Agency, CONAFOR, and the DGM in the implementation of FIP investments and other REDD+ priorities.

Marilen Puquio Arturo, a member of the DGM GSC from Peru, shared the progress achieved by the DGM Saweto Peru, which completed the first call for subprojects and was scheduled to approve (and has since approved) the first subprojects at the end of June. The DGM Saweto Peru is advancing toward an ambitious project goal of titling 130 native communities.

Grace Balawag, a co-chair of the DGM GSC from the Philippines who works with Tebtebba and is the Indigenous Observer to the FIP, cited the significant governance achievements by the DGM Global Project in the form of a steering committee that now represents 14 tropical forest countries. Grace also underscored the importance of FIP donor country support to a pioneering initiative like the DGM.

Ibrahim Lankoande, the FIP Focal Point from the Ministry of Environment, Green Economy, and Climate Change, Burkina Faso, expressed his optimism regarding the potential for collaboration

between the DGM and the national government in the design and implementation of the FIP investment plan in Burkina Faso. Lankoande emphasized the commitment to social inclusion, with a particular focus in the DGM on gender.

Marco Aurelio dos Santos, the FIP Focal Point from the Ministry of Finance in Brazil, explained that Brazil's unique NSC structure, which includes three government representatives with voting rights, is a product of a long-term effort to build trust between government and indigenous communities. Brazil is currently the only country whose NSC is structured this way. Interest in the Brazilian approach was evident in the recent, successful bilateral exchange with Mozambique in May 2016.

The lively exchange between government, indigenous, and local community stakeholders in the DGM highlighted the positive advances, some early lessons, and the overall significance of the IPLC-led initiative within the FIP and beyond.

*f. DGM Grievance Redress Mechanism and Complaints Procedure*

During the GSC Meeting, the GEA presented final modifications to the Grievance Redress Mechanism (GRM), which were approved by the GSC (Activity 2.3.1-2). The GRM was posted to the DGM Global website and is currently active. Other related follow-up points discussed at the GSC meeting included the role and responsibilities of the GEA in GRM resolution; the object of complaints and a suitable timeframe for responses; GEA/NEA responsibility; mediation; and the formation of a Grievance Subcommittee (2 people/1-year term).

Activity 2.6.1 - Support DGM Country processes to establish NSCs and select NEAs, including site visits as needed in collaboration with the World Bank, DGM Global, and country focal point.

GSC members and the GEA team were invited to participate at the first NSC meeting in Ghana. The GSC and GEA shared information on the status of NSC governance in each of the other DGM countries, including the role of voting members and observers. During the meeting, Ghana's NSC clarified the role of observers and voting members. The GEA also had bilateral meetings with former DGM Transitional Committee members to update them on Global activities and collect their views on the local process to provide as input to the GSC.

The GEA team has been providing information to indigenous peoples in Guatemala, Nepal, and Ecuador regarding DGM Country and Global processes. Guatemala has requested a Skype presentation during an internal meeting prior to setting up their interim committee. In the case of Nepal, the GEA provided contacts to establish a direct dialogue with the World Bank TTL and schedule a first meeting by September 2016.



*g. GEA-NEA Planning and Coordination Meeting*

The GEA, under Activity 2.6.2, hosted a planning and coordination meeting with the five established DGM NEAs. The meeting took place at the GEA's headquarters in Arlington, Virginia (USA) in January 2016. Attendees included:

- Co-Chair of the DGM GSC, Tebtebba Foundation
- DGM NEA Brazil, Centro de Agricultura Alternativa do Norte de Minas (CAA/NM)
- DGM NEA Democratic Republic of Congo, Caritas Congo
- DGM NEA Peru, WWF Peru
- DGM NEA Indonesia, Samdhana Institute
- DGM NEA Burkina Faso, IUCN Burkina Faso

The main objectives of the meeting were to establish and agree on a single common framework for DGM monitoring and reporting, provide a forum for knowledge exchange on DGM implementation processes, generate information to support the process in other countries, provide detailed guidance on the DGM GRM for NEAs to implement in each country, and establish a common communications and outreach strategy.

Day 1 of the meeting included introductions and presentations from all participants about their respective Projects. Day 2 addressed the common monitoring and reporting framework and included a presentation by each NEA about their project indicators, followed by a first draft of the DGM common results statements and indicators, proposed by the GEA. Participants provided crucial feedback on the content and design of the logframe, which was incorporated into the final draft.

On Day 3, the GEA presented the GRM and complaints procedure, which was followed by discussion amongst the group on how this will be implemented. In the afternoon, a session on shared experiences and topics of interest was held, followed by discussion on common communications objectives across the program. More information, including key topics of interest discussed and follow-up steps, is available in the meeting report for the DGM GEA-NEA Planning and Coordination Meeting prepared by the GEA in January 2016.

### **20.2.3. Implementation of Subcomponent 3: Planning, Monitoring, and Reporting**

Subcomponent 3 includes activities to plan for the Global Project, carry out monitoring and reporting for the Global Project, and coordinate monitoring and reporting across the 15 DGM projects that make up

the DGM program. During the period, the GEA finalized the common monitoring and reporting framework, which will serve the program for the next five years.

*a. Planning for the Global Project*

In preparation for the GSC meeting held in April, the GEA prepared the Year 2 work plan and budget for submission to the World Bank and the GSC. At the GSC meeting, committee members approved the work plan and budget. It was decided that a Work Plan and Budget Subcommittee, comprised of the GSC members from Mexico and Burkina Faso, would meet to discuss possible modifications to the work plan.

*b. Development of a Coordinated Monitoring and Reporting Plan for the DGM Program*

In the DGM Program Document, the GEA is tasked with developing and coordinating a common monitoring and reporting framework across the DGM Country Projects as well as the DGM Global Project that serves a learning function and reports on the DGM's implementation towards expected results to the GSC Members, the World Bank, and the FIP Subcommittee. To fulfill this mandate, and in line with requests made at the first GSC meeting, the GEA drafted a monitoring and reporting framework, which was finalized during the period. The framework includes:

- DGM Theory of Change, developed following the DGM background documents articulating how the 15 DGM projects will work together towards the program objective
- DGM Program Logframe, including output-, outcome-, and objective-level results statements and indicators designed to track progress across all 15 DGM Projects
- Reporting Templates provided by the GEA to the NEAs for submitting information for the Semi-Annual Progress Reports
- Draft of the Monitoring and Reporting Handbook for NEAs

Both the Theory of Change and Logframe were approved by GSC members at the second Annual GSC Meeting. The monitoring and reporting framework with indicator guidance will be provided to the NEAs, and will be used beginning in the next reporting period.

*c. Submission of DGM Semi-Annual Progress Reports*

Under Activities 3.3.1-3.3.5, the first Global Project Implementation Progress Report was submitted March 1, 2016 to the World Bank covering the period from July 1 to December 31, 2015. In addition, the GEA collected information on the progress of the country projects and drafted the first DGM Semi-Annual Compiled Progress Report, which was submitted to the World Bank on March 15. Both reports were

translated into French, Spanish, and Portuguese and made available to the GSC members prior to the second Annual GSC Meeting.

### 20.3. Lessons Learned and Success Stories

- The first year of the Global Project focused on establishing the governance framework. The policies, rules, and procedures, and the participatory way in which they were developed, are the foundation that distinguishes this initiative from many others.
- Efforts to build a robust governance framework for this initiative are important for budget accountability and project management. Adherence to the highest standards will create opportunities to access funding in the near future.
- Having a grievance mechanism is something that distinguishes this initiative from others.
- Working with 14 groups represents a challenge in keeping the whole group progressing at a similar pace. The gap between countries' levels of progress is an opportunity to learn from the experiences of countries that are farther along.
- The NEA Knowledge Exchange was a valuable opportunity for the NGOs executing the DGM in each country to share practical experience. In the future, NEAs should participate as observers in GSC meetings to allow for time to coordinate work between GEA and NEA representatives.
- The support mission that the GSC/GEA conducted in Ghana was successful. During this fruitful exchange, the Ghana delegation expressed great interest in learning about the progress of the DGM in other countries. The DGM GEA Director and DGM Burkina Faso GSC delegate shared the composition of the NSC governance system in DRC, Burkina Faso, Peru, Brazil, and Indonesia. They also shared information regarding the role of observers, decisions and activities from the second DGM GSC meeting, and the need for the Ghana NSC to appoint delegates to the GSC. Additional site visits have been requested by Nepal, Mozambique, and Côte d'Ivoire to provide support with establishing their NSCs. This will be a promising opportunity for these new DGM countries to learn from DGM countries that have already been through the process.
- The GSC and GEA are concerned that the lack of dialogue between IPLCs and governments creates missed opportunities for project implementation.
- The GSC recognizes the need to inform newly appointed FIP representatives in DGM countries about the activities of the Global Project and will support NSCs in their communications efforts as requested.
- International meetings, such as UNFCCC COP21, are opportunities for IPLC representatives and GSC members to strengthen the engagement with governments for inclusion in relevant

processes at the national level, as well as provide more detailed coordination regarding the connection between FIP and DGM.

- NEAs and NSCs have expressed a desire for more clarity on the role of the World Bank in the Country Projects.

## 20.4. Activities for the Upcoming Period

The following are highlights of the main activities planned for the next reporting period. A full list of the Global Project Year One Work Plan activities with the status of each activity can be found in Annex B.

- Africa Regional Training Workshop for IPLC leaders, July 2016
- IUCN WCC Knowledge Café session, September 2016
- Global training for IPLC leaders on climate negotiations, November 2016
- Support for IPLC-related events at UNFCCC COP22 in Marrakech, Morocco, November 2016
- Country support missions
- World Bank site visit – to be scheduled

## Annex A: Country & NEA Contact Information

Country	NEA or Country Representative	Address	Email	Phone	Monitoring & Reporting Focal Point
Brazil	Centro de Agricultura Alternativa do Norte de Minas (CAA/NM)	Doutor Veloso Street, 151 – Centro. City: Montes Claros/MG. CEP.: 39.401-074	dgm@brasil.org.br	+ 553832187700	Álvaro Alves Carrara
Burkina Faso	IUCN	IUCN Burkina Faso Country Program Chief	moumini.savadogo@iucn.org	+22625313154	Moumini Savadogo
Cote d'Ivoire	Yao Affoué Pauline	23 BP 17 Abidjan 23	affouepauline@yahoo.fr	+22505881035	Yao Affoue Pauline
Democratic Republic of Congo	Caritas- Congo ASBL	26, BASOKO, KINSHASA - GOMBE	directeur@caritasdev.cd	+243815261783	Mathunabo Kunda André
Ghana	Hayford Duodu	P. O. BOX19 ENCHI W/R GHANA	hayism72@gmail.com	+233240824818	Samuel Cudjoe (SOLIDALIDAD)
Indonesia	The Samdhana Institute	Jalan Guntur No. 32, Bogor, West Java, Indonesia	<a href="mailto:budi@samdhana.org">budi@samdhana.org</a>	+622518313947	Budi Rahardjo
Mexico	Manuel Aldrete	Independencia 15, col. Centro, 77000, Chetumal, Quintana Ro México	aldretemanuel@chicza.com	+9838328870	CONAFOR
Mozambique	Sonia Nordez	MITADER / REDD+ Technical Unity Av. Do Zimbabwe, n. 1694 - Maputo	sonianordez2015@gmail.com	+258827712840	Sonia Nordez

Country	NEA or Country Representative	Address	Email	Phone	Monitoring & Reporting Focal Point
Peru	World Wildlife Fund Inc.	Calle Trinidad Moran 853, Lince. Lima Peru	<a href="mailto:Liliana.lozano@wwfperu.org">Liliana.lozano@wwfperu.org</a>	+51993482076	Liliana Lozano
Republic of Congo	Moussele-Diseke Guy		Gttddgmcogo@gmail.com	+242066113876	Moussele-Diseke Guy

## Annex B: Communications

### 1. DGM Brazil Communications Highlights

To open its call for sub-project proposals in the Cerrado, DGM Brazil produced video invitations featuring members of the Brazil National Steering Committee:









Brazilian government ministries, including FUNAI (the Brazilian government body that establishes and carries out policies relating to indigenous peoples), and the Ministry of the Environment, also shared the call for proposals:

Brazilian Government Portal

Justice ministry

Fundação Nacional do Índio

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HOME / COMMUNICATION / NEWS / DGM PROJECT / FIP BRAZIL LAUNCHES PUBLICATION DEDICATED TO INDIGENOUS PEOPLES AND TRADITIONAL QUILOMBO COMMUNITIES OF THE CERRADO BIOME

### News

Posted on February 5, 2016

#### DGM project / FIP Brazil launches publication dedicated to Indigenous Peoples and traditional Quilombo Communities of the Cerrado Biome

The DGM Project / Brazil is coordinated by a National Steering Committee composed of indigenous representatives, maroon, traditional communities and the federal government, including the Funai through the General Coordination of Territorial Monitoring (CGMT).

May submit proposals based organizations which are legally constituted, the location of which is wholly or partially inserted in the Cerrado biome.

To register a project, simply fill out the [Manifestation Form](#) of Interest available on the site until the date of 24 April 2016. Between 24/02 and 05/03 will be held three dissemination workshops of the notice, to which it is possible inscrever- until the day 12/02.

The project DGM / Brazil is part of the Global DGM, which is an established initiative under the Forest Investment Program (FIP) for the purpose of granting subsidies to improve the capacity of Indigenous Peoples, Quilombo and traditional communities and support their initiatives 8 pilot countries, and Brazil is one of them. The Centre for Alternative Agriculture North Mine (CAA / NM) was chosen by a public selection process and the Agency National Executing (NEA) of this project and will manage the resources for the DGM / Brazil, supporting initiatives by proposing organizations .

[Log in the notice .](#)  
[Enter here the link to the inscriptions on the dissemination workshops](#)

Photo: Mario Vilela / Funai

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mmeioambiente DGM Brazil will finance projects in the Cerrado. Indigenous peoples, quilombola and traditional communities #cerrado will have support for projects to avoid the degradation of the biome and promote the protection, conservation of natural resources and social inclusion. The #edital is open until April 25 and will provide up to R \$ 4 million to fund these initiatives. Access the notice on the site [www.mma.gov.br](http://www.mma.gov.br) or [www.dgmbrasil.org.br](http://www.dgmbrasil.org.br) portal. Photo: Gilberto Soares / MMA #sociobiodiversidade # conservation #meioambiente

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raylaneamaral\_ @bellynhagi  
@capetadocirco

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...



And DGM Brazil also launched a campaign on their Facebook page, with several different designs, including this one:



## 2. DGM Burkina Faso

Several communications materials were distributed during this reporting period, including 500 brochures on the project to local and national level stakeholders and partners; 1000 folders containing information on the call for subproject; a film to disseminate information about the project launch was produced and broadcast twice on television; and photos of the launch of the project were made available to local-level actors.

## 3. DGM Democratic Republic of Congo

The aides-memoires were published in local languages on Caritas's website ([www.caritasdev.cd](http://www.caritasdev.cd)) in order to explain the components of the DGM and its objectives in the 16 territories targeted by the project. The project management framework has been summarized, translated into local languages, and made available in the 16 territories targeted by the project. Brochures on the DGM governance mechanisms have been produced in local languages and disseminated in the 16 territories; and briefs from the meeting notes have been produced in French and distributed to the local authorities, elected officials at national and provincial levels, and civil society.