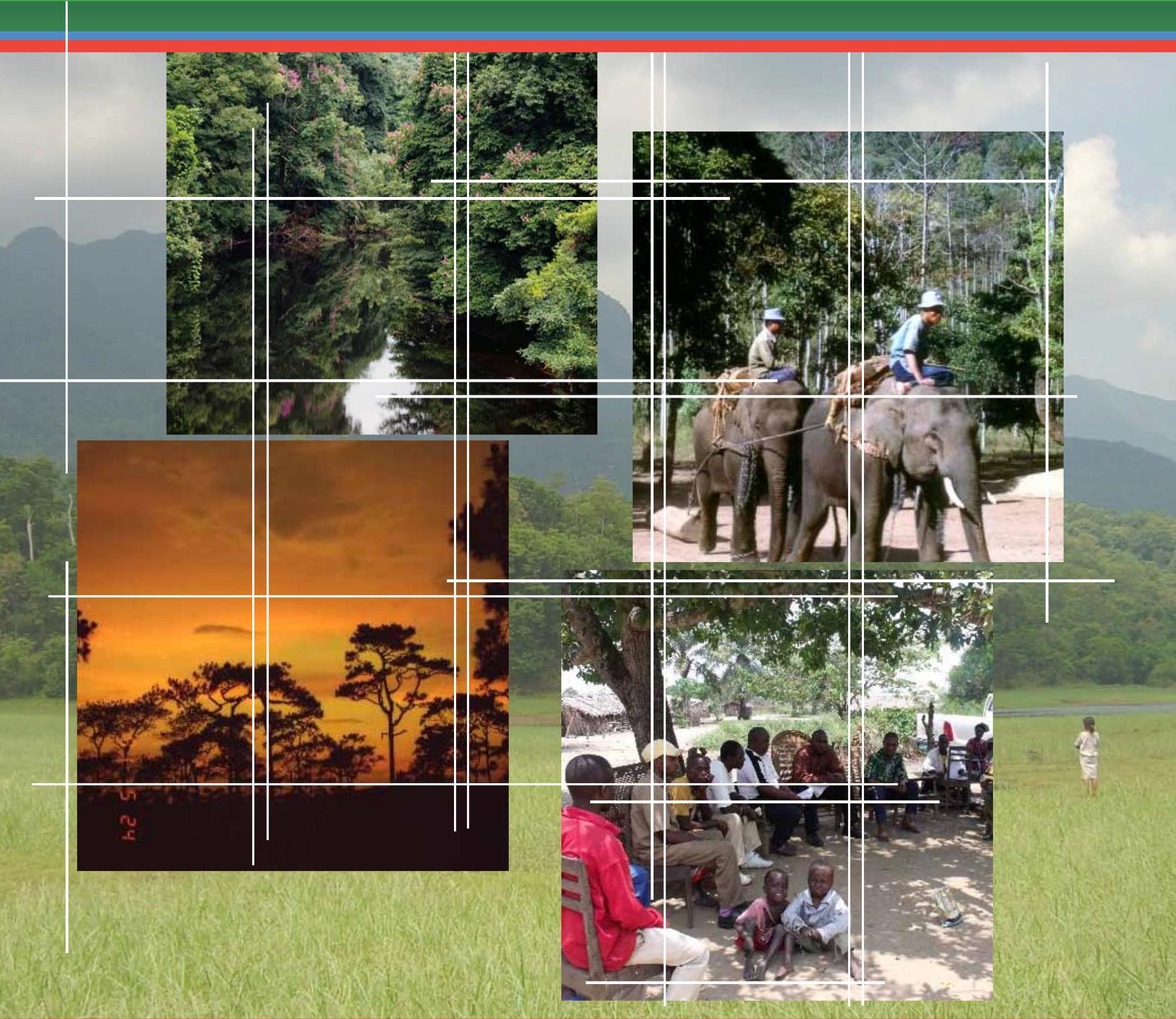


# A REVIEW OF THREE REDD+ SAFEGUARD INITIATIVES

Nicholas Moss and Ruth Nussbaum with input from Julius Muchemi and Elspeth Halverson





**The Forest Carbon Partnership Facility (FCPF)** is a global partnership, housed within the World Bank's Carbon Finance Unit, which became operational in June 2008. The FCPF provides technical assistance and supports countries in their efforts to develop national strategies and systems for REDD+ in developing forest countries. The FCPF further assists countries to test approaches that can demonstrate that REDD+ can work, and provides them with performance-based payments for emission reductions programs. The support to countries for engaging in REDD+ activities is provided through two mechanisms within the FCPF, the Readiness Fund and the Carbon Fund.

## UN-REDD

P R O G R A M M E

**The UN-REDD Programme** is the United Nations collaborative initiative on Reducing Emissions from Deforestation and forest Degradation (REDD+) in developing countries. The Programme was launched in 2008 and builds on the convening role and technical expertise of the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP).

The UN-REDD Programme supports nationally-led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including Indigenous Peoples and other forest-dependent communities, in national and international REDD+ implementation.



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## 1. INTRODUCTION

The core objective of the Interim REDD+ Partnership is to contribute to the global battle against climate change, recognizing that REDD+<sup>1</sup> could play a crucial role in pursuing the ultimate objective of the UN Framework Convention on Climate Change (UNFCCC) and in holding the increase in global temperature rise below two degrees Celsius above pre-industrial levels<sup>2</sup>.

Principles of the Interim REDD+ Partnership include:

- Seek to ensure the economic, social, and environmental sustainability and integrity of our REDD+ efforts and to enhance social and environmental benefits.
- Promote and support the safeguards provided by the AWG-LCA's<sup>3</sup> draft decision text on REDD+<sup>4</sup>, adjusted by any UNFCCC COP Decision on this matter, as well as existing programmatic safeguards<sup>5</sup>, where relevant.

The principles highlight the critical importance that the REDD+ Partnership places on the application of the social and environmental safeguards in the recent UNFCCC decision on REDD+. The intention is to focus on the seven items of paragraph two, appendix one, of the AWG-LCA decision.

The operational measures of the Partnership set out in Annex II of the Interim REDD+ Partnership document include reference to the following action:

“Share lessons on REDD+ initiatives and share best practices regarding significant REDD+ actions and financing, practical experiences regarding safeguards, multi-stakeholders consultations and benefit sharing mechanisms” (emphasis added).

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1 Reducing emissions from deforestation and forest degradation in developing countries, and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries according to Bali Action Plan (1/CP.13)

2 See the Interim REDD+ Partnership document, available at [www.reddpluspartnership.org](http://www.reddpluspartnership.org)

3 AWG-LCA: UNFCCC Ad Hoc Working Group on Long-term Cooperative Action

4 As set out in FCCC/AWGLCA/2010/14

5 Programmatic safeguards, such as those applied by the multilateral development banks.

While the AWG-LCA decision forms the basis for safeguards in the context of support for readiness and REDD+, questions remain as to how they will be interpreted and applied, the extent of the benefit that they can provide and the challenges in their implementation. This background paper seeks to contribute to the discussion on practical experiences regarding safeguards by informing workshop<sup>6</sup> participants about current approaches to the application of social and environmental standards and principles. It highlights the current REDD+ safeguard initiatives from the FCPF, UN-REDD Programme, and other initiatives, and the lessons learned and anticipated challenges to application of REDD+ safeguards.

## 2. SAFEGUARDS

The term “safeguards” refers to the need to protect against social and/or environmental damage or harm. It is often used in reference to measures, such as policies or procedures, designed to prevent undesirable outcomes of actions or programmes. Safeguards can be an effective risk management policy. They ensure that environmental and social issues are evaluated in decision making, help assess and reduce the risks, and provide a mechanism for consultation and disclosure of information.

For example, the objective of the World Bank’s environmental and social safeguard policies is “to prevent and mitigate undue harm to people and their environment in the development process.”<sup>7</sup> For REDD+ these risks are managed by ensuring compliance with World Bank’s safeguard policies during both preparation and implementation of the Readiness Package. The approach to application of safeguards is two pronged: (i) address potential risks and impacts by incorporating social and environmental considerations during the design phase of the national REDD+ strategy and (ii) manage and mitigate risks and impacts at the time of application of the selected REDD+ policies during implementation phase.<sup>8</sup> The United Nations applies a very similar meaning: “environmental and social safeguards is the adoption and integration of precautionary environmental and social principles and considerations into decision making processes. The objective of such safeguards is to prevent and mitigate undue harm to the environment and people at the earliest possible planning stage. Safeguards can appear as a combination of minimum standards and best practice guidelines.”<sup>9</sup>

It is recognised that the implementation of REDD+ actions can pose a number of risks including:

- The conversion of natural forests to plantations and other land uses of low biodiversity value and low resilience;
- The loss of traditional territories resulting in displacement and relocation of indigenous peoples and forest dependent communities;

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6 Enhancing Coordinated Delivery of REDD+: emerging lessons, best practices and challenges, 26 November 2010, Cancun, Mexico. The workshop is a contribution to component 4 of the Interim REDD+ Partnership’s work program.

7 See <http://go.worldbank.org/WTA1ODE7T0>

8 See <http://go.worldbank.org/WTA1ODE7T0>

9 See <http://www.unemg.org/Cooperation/EnvironmentalandSocialSafeguards/tabid/2895/language/en-US/Default.aspx>

- The erosion or loss of rights with exclusion from lands, territories and resources;
- The loss of ecological knowledge;
- The loss of traditional and rural livelihoods;<sup>10</sup>
- Social exclusion and elite capture in the distribution of benefits from REDD+<sup>11</sup>;
- The loss of or reduced access to forest products important for local livelihoods;
- The creation of contradictory or competing national policy frameworks;
- The other benefits of forests are traded-off at the expense of maximizing the carbon benefits; and
- Human-wildlife conflict as population of crop raiding animals benefit from better protected forests.

Yet at the same time, it is also recognised that REDD+ activities could achieve not only emission reduction objectives, but also support sustainable livelihoods, provide biodiversity and other ecosystem benefits and promote sustainable development and poverty reduction. In other words, while REDD+ has the potential to achieve multiple social and environmental benefits, it also bears the risk of causing social and environmental harm if the REDD+ programmes are designed with focus on emission reduction objectives only.

This simultaneous risk/benefit potential makes the application of safeguards for REDD+ complex and open to a wide range of interpretations. REDD+ safeguards can not only guard against undesirable results, but they can also help enhance multiple benefits in terms of improving human well-being and maintaining biodiversity and ecosystem services, as well as promoting good governance and respect for human rights. This has the added advantage of improving the sustainability, effectiveness, and equity of national REDD+ programs, by increasing transparency, instilling confidence, increasing stakeholder engagement and ensuring the environmental integrity of forest systems. In other words, the right safeguards, appropriately implemented, would not only help minimize or manage risks, they would also safeguard options and enhance benefits. Of course, to deliver these benefits and avoid the above-mentioned risks, an effective set of safeguards for REDD+ needs to be backstopped by an accessible, transparent, and accountable recourse mechanism.

The safeguards of the AWG-LCA decision recognize both aspects. For example, sub-paragraph 2(e) of Appendix 1 refers to actions to avoid the conversion of natural forests, but also refers to actions to incentivize the protection and conservation of natural forests and their ecosystem services and to enhance other social and environmental benefits.

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10 The first three bullet points are taken from the Co-Chairs Summary of the Convention on Biological Diversity's Global Expert Workshop on Biodiversity Benefits of Reducing Emissions from Deforestation and Forest Degradation: <http://www.cbd.int/doc/?meeting=EWREDD-01>

11 See for example UNDP "Staying on Track : Tackling Corruption Risks in Climate Change", available at <http://www.undp.org/environment/library.shtml>

<b>Box 1: AWG-LCA REDD+ Text<sup>12</sup></b>	<b>Appendix 1 Para 2</b>
Paragraph 72. Also requests developing country Parties, when developing and implementing their national strategies or action plans, to address, inter alia, the drivers of deforestation and forest degradation, land tenure issues, forest governance issues, gender considerations and the safeguards identified in paragraph 2 of appendix I to this decision, ensuring the full and effective participation of relevant stakeholders, inter alia indigenous peoples and local communities;	
Actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;	(a)
Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;	(b)
Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;	(c)
The full and effective participation of relevant stakeholders, in particular, indigenous peoples and local communities...	(d)
Actions are consistent with the conservation of natural forests and biological diversity, ensuring that actions...are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;	(e)
Actions to address the risks of reversals	(f)
Actions to reduce displacement of emissions	(g)

The principles of the Interim REDD+ Partnership also seek to ensure the social and environmental sustainability and the integrity of REDD+ efforts and to enhance social and environmental benefits (emphasis added).

Not surprisingly, safeguards have different meaning to different groups and the same applies to the construed benefits. The main groups identified include government, donors, financiers and investors, multilateral institutions, indigenous peoples and forest dependent communities, the private sector, and civil society. The meaning and benefits ascribed to these groups include:

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12 For the sake of simplicity, text is drawn from UNFCCC Decision 1/CP 16. See the complete text.

- **REDD+ Country Governments:** For REDD + country governments, safeguards will provide guiding principles in defining a national program framework that will integrate social and environmental considerations and ensure that REDD+ contributes to sustainable development.
- **Donors:** For donors, safeguards will give an assurance that funds will be directed towards actions that minimize adverse social and environmental impacts and potentially enhance social and environmental aspects, including human development and the conservation of biodiversity.
- **Financiers and investors:** For financiers and investors, safeguards give an assurance that adverse social and environmental impacts will be managed in countries and thus reduce the risks for investment in REDD+ programmes.
- **Multilateral institutions:** For multilateral institutions, safeguards provide large international organizations with a consistent means to meet legal and policy commitments.
- **Indigenous peoples and forest dependent communities:** For indigenous peoples and forest dependent communities, the group most directly affected by REDD+, safeguards form the basis for ensuring that their rights and interests are addressed during the decision making process and subsequently by REDD+ programmes.
- **The private sector:** For the private sector, safeguards provide a clear set of environmental and social terms by which to engage in ventures resulting from REDD+.
- **Civil Society:** For civil society, safeguards give assurance that major social and environmental issues will be effectively integrated into the planning of national programs, as well as provide a framework of social and environmental standards to shape civil society-driven REDD+ initiatives.

Common to these groups is the understanding that the application of social and environmental safeguards to REDD+ will improve the sustainability of the REDD+ mechanism and the potential that it will deliver measurable lasting emissions reductions and enhanced removals, as well as reduce exposure to legal, financial, and reputational risks for donors, financiers, multilateral institutions, the private sector, and civil society.



## 3. CURRENT SAFEGUARD APPROACHES

There are a number of emerging processes for the integration of safeguards within national REDD+ programs. They each have the same aim of ensuring that environmental and social considerations are taken into account when developing and implementing national programs, but demonstrate differences in content and approaches in doing so.

The two major multilateral REDD programmes, the Forest and Carbon Partnership Facility (FCPF) and the UN-REDD Programme are both in the process of finalizing social and environmental safeguards guidance for the planning (REDD Readiness phase) and implementation of national REDD+ programs. The UN-REDD Programme approach was recently summarized for its Policy Board<sup>13</sup>. The FCPF approach to strategic environmental and social assessment (SESA) and related guidance applicable during readiness preparation (when site specific projects or activities are not known) is contained in the R-PP template version 5, dated October 30, 2010.<sup>14</sup>

A voluntary international standard for REDD+ has also been developed through a multi-stakeholder process facilitated by CARE International and the Climate, Community and Biodiversity Alliance (CCBA). The resulting 'REDD+ Social and Environmental Standards (REDD+ SES) are expected to be used as a standard for government-led programs at national, state, provincial, or other level and are designed to go beyond laying out minimum safeguards, and to identify and elaborate benefits.

The need for safeguards is also being reflected in a number of recent bilateral agreements. For example, the Government of Norway's International Forests and Climate Initiative has made their funding to Guyana and Indonesia conditional upon implementation of certain governance requirements aimed at limiting deforestation.

A number of the major safeguard initiatives are described below.

### 3.1. MULTILATERAL PROCESSES

#### 3.1.1 Forest Carbon Partnership Facility

The World Bank has a set of ten safeguard policies and an access to Information policy to be complied with. These policies provide guidelines for the Bank and borrowing countries in the identification, preparation, and implementation of most Bank-financed programs and projects. The World Bank's safeguard policies are designed to avoid, mitigate, or minimize adverse environmental and social impacts of projects supported by the Bank. For REDD+, the most relevant World Bank policies are likely to be the policies on Environmental Assessment (OP/BP 4.01), Natural Habitats (OP/BP 4.04), Forests (OP/BP 4.36), Involuntary Resettlement (OP/BP 4.12), and Indigenous Peoples (OP/BP 4.10).

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13 [http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=4592&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4592&Itemid=53)

14 Available at [www.forestcarbonpartnership.org](http://www.forestcarbonpartnership.org).

World Bank Operational Policies and Procedures apply to activities financed by the FCPF and supported by the World Bank. However, since these were mainly developed with project-based lending in mind rather than strategic planning processes, it is challenging to apply them to the Readiness Planning process. The REDD+ readiness phase is meant to support analytical and preparatory work for establishing the key pillars of REDD+ readiness including the preparation of the national REDD+ strategy. The multi-sectoral, programmatic nature of REDD+ readiness requires a strategic approach for integrating social and environmental considerations. The FCPF has therefore adapted the application of safeguards for the “readiness” phase for REDD+ through the use of Strategic Environmental and Social Assessment (SESA). The strategic assessments have been used successfully in other sectors, such as mining and more recently in forestry sector reform processes such as in Kenya and Liberia. The OECD DAC guidelines also endorse the use of strategic assessments. The following section explains the approach as elaborated in the R-PP template version 5.

SESA allows for the incorporation of environmental and social concerns into national REDD-plus strategy process and ensures that the FCPF readiness activities comply with World Bank Policies during the strategic planning phase, considering that these strategic activities could have potentially far reaching impacts. A specific output of the SESA is the Environmental and Social Management Framework (ESMF). The ESMF is a framework to avoid and/or mitigate and manage potential risks of the REDD+ strategy options related to the adoption of future REDD+ projects, activities, and policies. For the ESMF to ensure compliance with Bank’s safeguard policies, it has to be consistent with the applicable World Bank safeguard policies, including the policy on Environmental Assessment, and it is expected to contain sections addressing the requirements of other applicable policies.

The strength of SESA for REDD+ is that it combines analytical and participatory approaches in an iterative fashion throughout the preparation of the R-PP and R-Package. The SESA aims to integrate key environmental and social considerations relevant to REDD+ at the earliest stage of decision making, establishing their inter-linkages with economic, political, and institutional factors. The SESA facilitates this planning process in a way that helps governments reflect inputs from key stakeholder groups and addresses the key environmental and social issues identified during REDD readiness in particular, the preparation of the national REDD strategy. Through this process, social and environmental opportunities and desirable outcomes are identified and agreed on, to strive to ensure that the REDD+ program will be sustainable and contribute to the country’s development objectives.

The readiness preparation phase is meant primarily for technical assistance and capacity building activities, with the objective to prepare the country for large-scale intervention yet to come. However, where implementation of projects or activities are financed (on an exceptional basis) during the preparation phase (e.g., a pilot project in a given area of the country to test a specific approach to MRV, or the implementation of a forest management plan at a given location as a way to test a REDD+ strategy option), the safeguard policies would have to be prepared and applied to that project or activity separately, just as they are in standard World Bank-financed projects.

## Box 2: FCPF Strategic Environmental and Social Assessment (SESA) for readiness phase of REDD+

**Implementation Mechanism:** The FCPF is using SESA to integrate key environmental and social considerations into REDD+ Readiness by combining analytical and participatory approaches in (i) identifying and prioritizing key environmental and social issues, assessment of policy, institutional and capacity gaps to manage these priorities and recommendations, and (ii) preparing an Environmental and Social Management Framework (ESMF), a framework to avoid and manage environmental and social risks and to mitigate potential adverse impacts, consistent with World Bank Safeguard policies.

**Institutional or Policy Basis:** The SESA approach reflects FCPF's responsibility to applying the World Bank's safeguard policies and procedures to help ensure that preparation of REDD+ strategy options are designed to "do good" and that, at a minimum, they "do no harm." This approach is provided for in World Bank's Operational Policies, and is consistent with wider agreement in the Development Assistance Committee (DAC) on safeguards in strategic planning initiatives.

**Implementation Process:** The SESA process is meant to iteratively inform selection of REDD+ Strategy options and decision making throughout the preparation of the readiness package, raising attention to environmental and social priorities and strengthening constituencies through the extensive involvement of stakeholders, throughout REDD readiness. The approach is geared towards actions that:

- Enhance sound planning and decision making and hence mitigate risks early on during Readiness process;
- Mitigate potential adverse impacts of strategies and enhance benefits at the time of implementation; and
- Ensure public participation, disclosure, and dissemination of information around environmental and social issues.

The key steps to SESA process can be summarized as follows:

- a. Use existing or undertake new diagnostic work to identify and prioritize the drivers of deforestation and the key social and environmental issues associated with the drivers, including those linked to the Bank safeguard policies. Conduct assessments in accordance with applicable World Bank safeguard policies on issues such as land tenure, sharing of benefits, access to resources, and likely social and environmental impacts of REDD+ strategy options;
- b. Undertake diagnostic work on legal, policy, and institutional aspects of REDD+ readiness;
- c. Assess existing capacities and gaps to address the environmental and social issues identified;

- d. Draft REDD+ strategy options taking into consideration the above issues;
- e. Develop a framework to mitigate and manage the environmental and social risks and potential impacts of the REDD+ strategy options during implementation according to the safeguard policies that are triggered during the preparation of the Readiness Package, i.e., Environmental and Social Management Framework (ESMF); and
- f. Establish outreach, communication, and consultative mechanisms with relevant stake holders for each of the above steps. The consultations for SESA will be integral to consultations for the REDD+ readiness process.

**Status:** The SESA approach is integrated into the R-PP template version five (5) dated October 30, 2010 and is expected to be finalized after final round of feedback from stakeholders has been received and the approach is vetted by World Bank in 2011.

**Overview of World Bank Safeguard policies:** In principle, all World Bank Safeguard policies have the potential to apply to readiness preparation. The Safeguard Policies include Environmental Assessment (OP 4.01), Natural Habitats (OP 4.04), Forests (OP 4.36), Pest Management (OP 4.09), Dam Safety (OP 4.37), Physical Cultural Resources (OP 4.11), Involuntary Resettlement (OP 4.12), Indigenous Peoples (OP 4.10), International Waterways (OP 7.50), and Disputed Areas (OP 7.60). In the context of REDD+ the policies most likely to be triggered are as follows:

1. **Environmental Assessment (OP 4.01):** The policy aims to ensure the environmental and social soundness and sustainability of investment projects and support integration of environmental and social aspects of projects into the decision making process.
2. **Indigenous Peoples (OP 4.10):** This policy aims to ensure that the development process fully respects the dignity, human rights, economies, and cultures of Indigenous Peoples. The policy calls for the recipient country to engage in a process of free, prior, and informed consultation, and the Bank provides financing only where free, prior, and informed consultation results in broad community support for the project by the effected Indigenous Peoples. Where under national law or practice the FPIC standard has been adopted, the said standard will also be applied. The Policy includes measures to:
  - a. Avoid potentially adverse effects on the Indigenous Peoples' communities; or
  - b. When avoidance is not feasible, minimize, mitigate, or compensate for such effects. Operations are also designed to ensure that the Indigenous Peoples receive social and economic benefits that are culturally appropriate and gender and inter-generationally inclusive.
3. **Involuntary Resettlement (OP 4.12):** This policy aims to avoid or minimize involuntary resettlement and, where this is not feasible, to assist displaced persons in improving or at least restoring their livelihoods and standards of living in real terms relative to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.

The World Bank's safeguard policies are accessible at <http://go.worldbank.org/WTA1ODE7T0>



### 3.1.2 UN-REDD Programme

#### The UN-REDD Social and Environmental Principles Framework

The UN-REDD Programme is developing a set of environmental and social principles and criteria, which aim to ensure that UN obligations and commitments are met in REDD+ programs. These obligations, encompassing UN policies and declarations together with international law, represent the output of a wide range of international processes and negotiations. The Framework will also provide guidance as to how the potential environmental and social multiple benefits of REDD+ can be enhanced and optimized.

The principles and criteria and associated tools and guidance are still under development, with a working title of the UN-REDD Programme “Social and Environmental Principles Framework.”

The Framework is made up of two components:

- 1. A minimum standard risk assessment and mitigation framework:** UN-REDD Programme funded programs/projects/actors will have to comply with a set of minimum environmental and social standards, also referred to as “safeguard” or “do no harm” principles. These principles frame a code of conduct for activities supported by the UN-REDD Program and are based on international treaties, conventions, and best practice guidance.
- 2. An assessment of impact magnitude:** This component is intended to account for and provide guidance for designing, implementing, and operating REDD programs in a way that minimizes social and environmental risks and maximizes multiple benefits for climate, sustainable development, and conservation. The UN-REDD Programme is developing tools and guidance to identify and minimize social and environmental risks, and increase opportunities for multiple benefits and poverty reduction.

Through this Framework, the Programme will actively support countries in carrying out due diligence with respect to assessing risks to the multiple benefits that forests provide, including through self-assessment of national programs. Its partner agencies are each contributing based on their respective areas of expertise.

### Box 3: Overview of draft UN-REDD Programme Social and Environmental Principles and Criteria

#### Principle 1 – Democratic governance: The program complies with standards of democratic governance

Criterion	Elaboration
Criterion 1 – Ensure the integrity of fiduciary and fund management systems	The program has assessed and addressed fiduciary and fund management risks
Criterion 2 – Implement activities in a transparent and accountable manner	Program administration and REDD+ readiness activities are carried out in an accountable (...) and transparent (...) manner.
Criterion 3 – Ensure broad stakeholder participation	a) All relevant stakeholder groups are identified and enabled to participate in a meaningful and effective manner; b) Special attention is given to most vulnerable groups and the free, prior and informed consent of indigenous peoples.

#### Principle 2 – Stakeholder livelihoods: The program carefully assesses potential adverse impacts on stakeholders’ long-term livelihoods and mitigates effects where appropriate.

Criterion	Elaboration
Criterion 4 – Promote gender equality	Program planning and REDD+ readiness activities are carried out with attention to different gender roles and women’s empowerment.
Criterion 5 – Avoid involuntary resettlement	The program is not involved and not complicit in involuntary resettlement.
Criterion 6 – Respect traditional knowledge	The program is not involved and not complicit in alteration, damage, or removal of any critical cultural heritage or the erosion of traditional knowledge.
Criterion 7 – Develop equitable benefit distribution systems	Benefits (including revenues) are shared equitably.

#### Principle 3 – Policy coherence: The program contributes to a low-carbon, climate-resilient and environmentally sound development policy, consistent with commitments under international conventions and agreements.

Criterion	Elaboration
Criterion 8 – Ensure consistency with climate policy objectives	The program is compatible with overall national mitigation and adaptation strategies (e.g. concerning land requirements). The program is designed to be climate resilient according to current knowledge.

Criterion 9 – Address the risk of reversals: plan for long-term effectiveness of REDD+	The program includes actions to reduce potential future risks to forest carbon stocks and other benefits, for example by addressing climate change resilience, institutional stability, the sustainability and long term effectiveness of incentives.
Criterion 10 – Ensure consistency with development policy objectives	The program is designed to be compatible with and contribute to poverty reduction strategies and other existing sustainable development goals at all levels of government. Social and economic implications of REDD+ program are carefully assessed and adverse impacts mitigated where appropriate.
Criterion 11 – Ensure consistency with biodiversity conservation, other environmental and natural resource management policy objectives	The program is designed to be compatible with and contribute to environmental goals, such as national and subnational forest programmes, and plans to implement the Convention on Biological Diversity, UN Convention to Combat Desertification and other relevant MEAs. Existing inconsistencies in the policy framework governing use of natural resources are addressed where possible.

**Principle 4 – Protect and conserve natural forest: The program protects natural forest from degradation or conversion to other land uses, including plantation forest**

Criterion	Elaboration
Criterion 12 – Ensure that REDD+ activities do not cause the conversion of natural forest, and do address the other causes of conversion.	REDD+ activities do not convert natural forest to other land uses such as plantation forest.  The program prioritizes REDD+ interventions that reduce conversion of natural forest.
Criterion 13 – Minimize degradation of natural forest in order to maintain biodiversity and other key values	REDD+ activities, including work with other sectors, are designed to maintain (protect from degradation) biodiversity and other key values in natural forest

**Principle 5 – Maintain and enhance multiple functions of forest: The programme increases benefits delivered through ecosystem services and biodiversity conservation**

Criterion	Elaboration
Criterion 14 – Set goals and plan for maintenance and enhancement of ecosystem services and biodiversity in new and existing forest.	The program sets goals for delivery of ecosystem-based multiple benefits, and land use planning explicitly takes account of these. The implementation of REDD+ is informed by analysis of the potential for multiple benefits and trade-offs between different benefits (e.g., through spatial analysis)  Management plans and activities aim to ensure that forests deliver multiple benefits that are valued locally (for example, by enabling community forest management), and to collectively meet program goals. For example, consider impacts of species choice in new planting.

Criterion 15 - Use monitoring and adaptive management to support maintenance and enhancement of biodiversity and ecosystem services	Progress towards goals and management objectives is monitored, and activities reviewed and adjusted where necessary, if outcomes are negative
<b>Principle 6 – Minimise indirect adverse impacts on ecosystem services and biodiversity</b>	
Criterion	Elaboration
Criterion 16 – Minimize indirect land-use change impacts on carbon stocks	Action taken to reduce harmful effects on carbon stocks of forest and non-forest ecosystems resulting from displacement of land-use change
Criterion 17 – Minimize indirect land-use change in natural ecosystems and its impacts on biodiversity	Action taken to reduce displacement of land-use change into natural ecosystems (forest and non-forest) that are not targeted by REDD+ policies and measures
Criterion 18 – Minimize other indirect impacts on biodiversity	The program assesses and mitigates other indirect impacts on biodiversity, for example as a result of intensification of agriculture or forestry

Draft Environmental Principles and Criteria were put before the UN-REDD Programme’s sixth Policy Board meeting in March 2011 for evaluation and comment. Tools for the application of these safeguards will be developed subsequently. The equivalent Social Principles and Criteria were presented to the fifth Policy Board meeting, and can be seen in Box 3, below.

The main tool for application of the Framework developed to date, focuses on identifying and mitigating risks to social principles at a national program scale. Its objectives are to improve program design and increase the program’s sustainability, and to assist in prioritizing programs for UN-REDD participation and in efficiently managing resources for further due-diligence work.

To complement this approach, the UN-REDD Programme is also actively developing guidance and activities on assessing<sup>15</sup> and monitoring<sup>16</sup> governance in national REDD+ systems. In addition to informing activities on governance safeguards, these can contribute to mitigating some of the governance risks identified with the Risk Assessment Tool.

15 UN-REDD Programme’s brief on multi stakeholder country-led governance assessments [http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=3677&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=3677&Itemid=53)

16 The UN-REDD programme and Chatham House are developing draft guidance on monitoring governance. See [http://www.unredd.net/index.php?option=com\\_docman&task=cat\\_view&gid=806&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=cat_view&gid=806&Itemid=53)

## Box 4. UN-REDD Programme Social Principles Risk Identification and Mitigation Tool<sup>17</sup>

Applies to the design and implementation of UN-REDD National Programs

**Safeguard Implementation Mechanism:** The risk identification tool assists in flagging potential risk areas and developing commensurate risk mitigation strategies through a series of risk identification and mitigation screens which are organized according to principles and criteria (described above).

**Institutional or Policy Basis:** The framework reflects the UN-REDD Programme's responsibility to apply a human rights based approach, uphold UN conventions, treaties, and declarations, and to apply the UN agencies' policies and procedures. It is framed on existing REDD+ safeguards LCA text.

**Implementation Process:** The tool is designed to be applied iteratively throughout program design, implementation, and monitoring.

The risk identification screens should be used as a guide for program formulation so as to avoid risks from the outset, where risks are unavoidable, the risk assessment tool will inform the population of the program document "risk log" – where risks and associated risk mitigation measures are listed for the purpose of monitoring.

Recommended risk mitigation measures should be undertaken during program elaboration, inception, and implementation, as appropriate. The risk log and risk assessment tool should be accessible to program stakeholders for their reference. As such, the tool serves as guidance to improve program rigor and sustainability over time.

**Status:** The Risk Identification and Mitigation Tool will undergo a coordinated review by key stakeholders and will be implemented on a pilot basis by interested UN-REDD Programme countries in mid 2011.



17 [http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=3357&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=3357&Itemid=53)

### 3.1.3 REDD+ Social and Environmental Standards

#### REDD+ SES

The REDD+ Social and Environmental Standards (REDD+ SES), a multi-stakeholder initiative facilitated by the Climate, Community and Biodiversity Alliance (CCBA) and CARE International<sup>18</sup>, have been developed to support the design and implementation of government-led REDD+ programs that respect the rights of Indigenous Peoples and local communities and generate significant social and environmental benefits. The standards have been explicitly designed to go beyond laying out minimum safeguards, and to identify and elaborate benefits.

The international standards have been developed through an inclusive process engaging governments, non-governmental organisations and other civil society organisations, Indigenous Peoples organisations, international policy and research institutions and the private sector. A Standards Committee representing a balance of interested parties is overseeing the initiative. The majority of committee members are from countries where REDD+ will be implemented.

During 2010 a process of country specific interpretation and implementation in pilot countries has been initiated to adapt the global standards to the specific social and environmental context of the countries interested in adopting them.

#### Box 5: The REDD+ Social and Environmental Standards

**Aims:** The REDD+ Social and Environmental Standards (REDD+ SES) initiative aims to build support for government-led REDD+ programs that make a significant contribution to human rights, poverty alleviation, and biodiversity conservation. Participating countries will benefit in terms of gaining greater recognition for the high social and environmental performance that they are achieving, both within their own countries and from the international community. More broadly, at a global level, these standards aim to build support for a more effective, equitable, and sustainable approach to REDD+.

**Role:** The standards are designed for government-led REDD+ programs implemented at national or state/provincial/regional level and for all forms of fund-based or market-based financing. They provide a comprehensive framework to assist countries to design, implement, and assess the social and environmental aspects of their REDD+ program, supporting and complementing the requirements of mandatory safeguards.

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18 See <http://www.climate-standards.org/REDD+/>

**Structure:** The REDD+ SES consists of principles, criteria, and indicators and a process of monitoring, reporting, and verification through multi-stakeholder assessment. A set of principles provide the key objectives that define high social and environmental performance of REDD+ programs. For each principle, a series of criteria define the conditions that must be met related to processes, impacts, and policies in order to deliver the principles. Indicators define the information needed to show that the criteria are met.

**Country-specific interpretation:** At principle and criteria levels, the standards are intended to be generic (i.e., the same across all countries). At the indicator level, there is a multi-stakeholder process for country-specific interpretation to develop a set of indicators that are tailored to the context of a particular country.

The MRV process defines how information on performance will be collected, made available to stakeholders, and reviewed. The MRV process should promote participation and ownership by stakeholders, in addition to transparency and accountability. MRV guidelines are being defined at the international level, and specific national MRV processes will be defined by each participating country as appropriate to their national context.

An international review process of the country-specific interpretation of indicators and the MRV process will aim to ensure consistency across countries.

**Country-level governance and implementation:** A country-level Standards Committee is overseeing and supporting the use of the standards in each country, ensuring balanced stakeholder participation in the interpretation of indicators and the development and implementation of the MRV process.

**Status:** The REDD+ SES were developed from May 2009 through an inclusive and participatory process including consultations with stakeholders in five countries that are developing REDD+ programs, culminating with the publication in June 2010 of a version of the standards for application in pilot countries. The standards are currently being applied in pilot countries including the State of Acre in Brazil, Ecuador, Nepal, Tanzania, and the Province of Central Kalimantan in Indonesia.

## Principles

1. Rights to lands, territories, and resources are recognized and respected by the REDD+ program.
2. The benefits of the REDD+ program are shared equitably among all relevant rights holders and stakeholders.
3. The REDD+ program improves long-term livelihood security and well-being of Indigenous Peoples and local communities with special attention to the most vulnerable people.
4. The REDD+ program contributes to broader sustainable development, respect, and protection of human rights and good governance objectives.

5. The REDD+ program maintains and enhances biodiversity and ecosystem services.
6. All relevant rights holders and stakeholders participate fully and effectively in the REDD+ program.
7. All rights holders and stakeholders have timely access to appropriate and accurate information to enable informed decision making and good governance of the REDD+ program.
8. The REDD+ program complies with applicable local and national laws and international treaties, conventions, and other instruments.

## 4. INITIAL OBSERVATIONS ON REDD+ SAFEGUARDS: LESSONS AND CHALLENGES

The current initiatives share some commonalities in their approaches and there is considerable overlap in the scope of issues addressed. There are, however, differences in the level of detail of the requirements and the intended process and outcomes of application, evaluation, and monitoring. Common among all safeguard approaches is that both the content of the safeguards and the mechanisms for their implementation are still under development and undergoing further revision. As a result, it remains unclear how these safeguards will work in practice at a country level.

Taking into account the “work in progress” nature of the current REDD+ safeguards initiatives, there remain many questions about what will be the best approach to ensure that common environmental and social considerations are taken into account effectively in different national and sub-national programs.

### Box 6: Developing Social and Environmental Safeguards for REDD+ through bottom-up approaches – Lessons learned from a multi-stakeholder initiative in Brazil<sup>19</sup>

At the country level, the engagement of the potential affected stakeholders in the process for the development of social and environmental safeguards for REDD+ is an important issue to be considered within national REDD+ programs. International criteria and indicators are important references but need to be adapted for the national circumstances.

A process to discuss risks and safeguards is a great opportunity to engage the different sectors in the national REDD+ program. Especially Indigenous Peoples and local communities, those that are the most likely to be affected by REDD+ programs, need to be engaged, informed, and have time and resources available to fully participate in the discussion.

19 “Prepared, with thanks, by Joaquim Belo – Conselho Nacional de Populações Extrativistas; Rubens Gomes – Grupo de Trabalho Amazonico; and Mauricio Voivodic – Imaflora, Brazil.”

In Brazil, a group of civil society organizations, including representatives of Indigenous Peoples and local communities, as well as environmentalists, research institutions, and the private sector, worked during a one year period for the development of REDD+ social and environmental safeguards. The process was very inclusive and included the participation of hundreds of representatives from Indigenous Peoples and local communities from the Amazon region. The final safeguards are taken as a legitimate document that addresses the risks and concerns of these social actors regarding the implementation of REDD+ programs.

The main lessons learned from this process were:

- A comprehensive participation of Indigenous Peoples and local communities is possible and cost-effective.
- A clear protocol for the process shall be designed from the beginning and agreed among the stakeholders' representatives.
- Capacity building activities for Indigenous Peoples and local communities are needed before starting the discussion of REDD+ safeguards.
- Measures to ensure transparency and accountability shall be in place during the whole process. Participants need to know exactly how their participation and inputs will be taken into consideration.

The lessons that can be drawn from the current approaches can be categorized into lessons concerned with overall approach, national circumstances, and implementation:

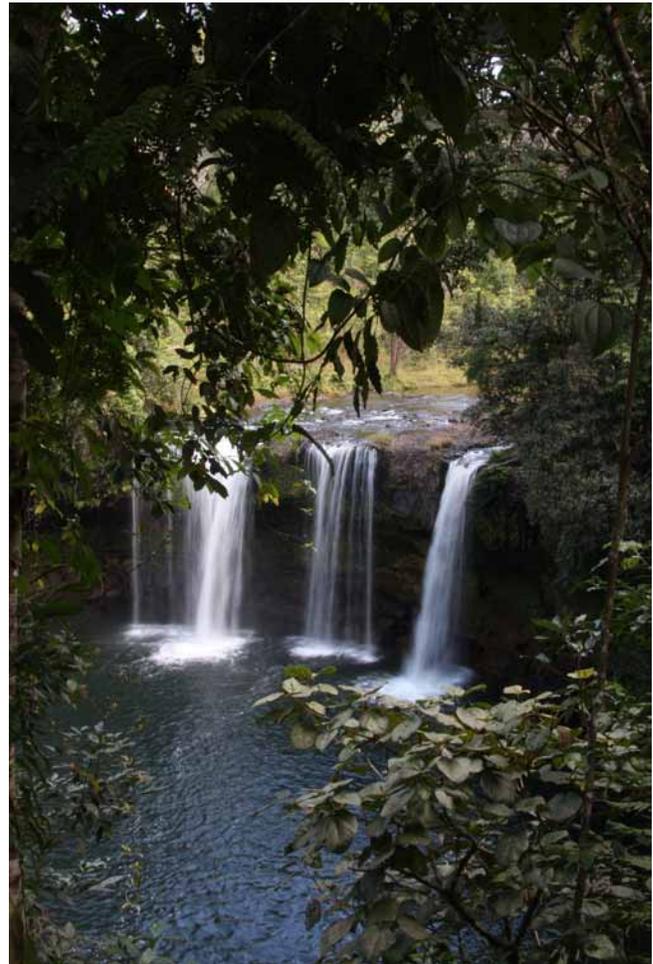
#### **Lessons regarding safeguards approach:**

**International principles:** Important in this process is a shared agenda, that recognizes what should be included within national social and environmental standards for REDD+. Commonality in the principles that safeguards aim to achieve will be an important component of achieving global positive outcomes in REDD+ countries. There is a clear need for overarching international principles to guide national programs. The safeguards in the UNFCCC text potentially go some way to provide such a common global framework, but these are still under negotiation and are not very detailed. The Multilateral Environmental Agreements are one possible source for drawing out such international principles, as they represent international consensus among countries on such issues.

**Minimum safeguards vs positive benefits:** Safeguards are primarily designed to prevent harm in program implementation but can also support delivery of positive benefits and sustainable development goals. Current national readiness safeguards from the World Bank and UN-REDD Programme are aimed at preventing and mitigating harmful activities within national program development and implementation, with the additional but perhaps underemphasized aim of increasing opportunities for multiple benefits. Other initiatives, such as REDD+ SES, support the design and implementation of REDD+ programs that not only avoid harm but also place a significant premium on the delivery of social and environmental benefits. Safeguards should more directly reflect the importance of enhancing benefits in securing desired changes in forest and land use management practices.

**Stage of application of safeguards:** It is generally assumed that national REDD+ programs will be implemented in phases. The integration of safeguards will be crucial at all phases of the process, but will obviously change at different stages. The current safeguard initiatives all exhibit to some extent a reflexive element that will allow for changes in the application of safeguards at different stages of the process, so as to allow for changes in funding and social and environmental issues. However, ongoing work is needed to make sure that this is effective in practice.

**Coordination with other initiatives:** There are other initiatives that are complementary to REDD+ and where there may be much to gain through learning from experience and co-operating more closely. A good example is the EU Forest Law Enforcement, Governance, and Trade Initiative (FLEGT), which are focused on combating illegal logging and trade in illegal timber. As well as contributing directly to REDD+ objectives by tackling one of the major drivers of deforestation (illegal logging), FLEGT has also built up considerable experience of bilateral negotiations and multi-stakeholder processes which could be very useful for REDD+ programs. The European Commission has initiated a process to develop better co-ordination. Cooperation between FLEGT and the UN-REDD Programme is also foreseen during Phase II.



### **Lessons regarding national circumstances:**

**National interpretation:** Lessons learned from other initiatives indicate that REDD+ safeguards should be anchored in national processes, which requires institutional frameworks that can establish national interpretations of global safeguards. Integrating the development of safeguards within relevant country systems is important in allowing countries the flexibility to define safeguards based on national issues or based on existing national safeguards systems, thereby maintaining sovereignty of the process while ensuring that national interpretation responds effectively to international common principles. Monitoring and reporting mechanisms and a process for review or verification can also form an important part of this implementation framework.

**Coordination:** The development of differing safeguard initiatives risks duplication of efforts, overlapping jurisdiction, and the possibility of certain issues falling between the cracks in national programs. Additionally, effective implementation can be hindered by conflict between safeguards and national or local land-use policies.



Coordination between the different actors as safeguards are developed and tested will be important in achieving overall positive outcomes. There is already support from the coordinators of the UN-REDD Programme, the FCPF and the REDD+ SES Initiative secretariat (CARE/CCBA) to collaborate on field testing of safeguards mechanisms and to share experience, reinforce synergies, and clearly identify differences.

What is required at national level is a coordination mechanism so that the social and environmental aspects can be addressed in a transparent and consultative manner. For this to happen, it is important that the lead ministry or agency has the capacity and commitment to integrate the social and environmental considerations process and recommendations into policy formulation processes and to take responsibility for uptake and implementation of the recommendations. Since applying safeguards, standards and/or strategic assessments at the sector level is a new concept to many sector ministries and agencies, there is often a need to develop capacity on the role of various approaches and how to conduct it.

A widely used approach in other initiatives to facilitate coordination at the country level is to form a national steering group, containing a balance of stakeholders affected by the safeguards and the actors involved in developing and implementing safeguards. Where possible this should be linked with existing REDD+ institutions. A national REDD+ safeguard group, or the use of the existing or parallel institutional arrangements, can create a forum to define multi-stakeholder processes, identify gaps and monitor the progress of safeguard implementation.

**Existence of a comprehensive legal framework in country:** The issues to be addressed through REDD+ are complex in nature. The implementation of safeguards frameworks will be strongly influenced by the presence or lack of robust legal framework. The existence of a framework that addresses environmental, social, and economic issues that reflect the international legal frameworks of norms and standards is crucial for a country to adopt standards on REDD+. In Kenya for example, this is demonstrated by the new constitution 2010, Land Policy 2006, Forest Policy 2005, all of which promote and support the implementation of safeguard policies. Post-conflict countries such as Liberia are in the process of developing and enacting legislation for social and environmental issues. Liberia recently enacted the Community Rights Act, a major step towards community empowerment. This can foster the implementation of safeguards.

## Lessons regarding implementation:

**Capacity in countries:** Absorptive capacity has been identified as a major challenge in all elements of REDD+ and in developing and implementing safeguards in REDD+ countries. There is a clear need for expertise and training. The effective implementation of safeguards will require training and development of expertise for those involved in safeguard implementation and for those whom the safeguards will affect.

**Participation:** Other initiatives demonstrate that in defining national standards, consideration must be given to inclusive and balanced stakeholder participation, particularly of vulnerable or marginalized groups potentially affected by REDD and in need of protection by safeguards. Participation helps to deliver well designed policies and safeguards which are linked to the long-term needs of the stakeholders that REDD+ programs will impact. Full and effective participation requires suitable consultation and ensuring access to credible and reliable information. However, this raises a number of challenges. Many stakeholders, particularly vulnerable and marginalized groups, are not well organized, have little experience of participation and need support and training in order to be able to participate effectively. This requires both considerable time and resources and has to be reflected within the safeguards framework. Other stakeholder groups may be better organized and have representatives available, but they can quickly become overloaded if they are asked to be involved in several processes in parallel.

**Enforcement and means of recourse:** Access to recourse is an important aspect of ensuring that safeguards are effectively implemented and assuring stakeholders that social and environmental risks of REDD+ will be addressed in program design and implementations. For the FCPF-supported activities, should any of World Bank safeguards be triggered and there are concerns about compliance, then the affected parties can submit a complaint to the World Bank Inspection Panel to investigate the matter. The Inspection Panel is independent of the Bank's management and is the ultimate accountability mechanism for Bank-funded operations. The UN-REDD Programme is currently undergoing a process of regional consultations to articulate the best approach to providing recourse within national readiness and REDD+ activities at the national, regional, and international level.

**Monitoring, reporting, and verification:** Monitoring reporting and verification (MRV) is an important element of implementation of safeguards. There is a danger of replication and the duplication of efforts between initiatives which will require coordination so that information collected in one initiative will feed into another.

## 5. POSSIBLE NEXT STEPS

### Information and capacity building

- Create a (voluntary) learning platform, possibly under SBSTA, on safeguards, standards, and their implementation.
- Develop a web page on the REDD+ Partnership site that can be used to provide the most recent information on safeguards (and their impacts).
- Promote regional stakeholder consultations on safeguards.

- Organize joint sessions to demonstrate how countries may use more than one standard or approach in a synergistic way for REDD readiness.
- Develop manuals on the application of these safeguards.
- Minimum standards with options of adopting forest practice.

### **Exchanging experience**

- Disseminate lessons learned from the first countries that apply safeguards in REDD+ readiness.
- Document, as countries begin to develop and implement safeguards, a range of case studies to inform the learning platform and provide reference material for REDD+ countries.
- Organize dedicated side events to share experiences among major REDD+ initiatives on safeguards.
- Promote exchange and learning about approaches to ensure effective stakeholder participation in interpretation and implementation of safeguards at national level, including the most vulnerable and marginalized groups.

### **Learning from experience**

- Commission studies to analyze the effectiveness of the implementation of safeguards, especially documenting their differential impacts and making comparisons, where possible.

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