UN-REDD PROGRAMME

REDD+ Safeguards and Safeguard Information Systems

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Expected Learning Outcomes

This module will provide an overview of REDD+ safeguards and safeguard information systems. In particular, we will discuss:

- Why safeguards are important for REDD+ implementation, and how safeguards can help to enhance potential benefits and mitigate potential risks from REDD+
- Safeguards for REDD+ under the UNFCCC
- What a "country approach to safeguards" may include
- Safeguard information systems (SIS)
- UN-REDD tools related to safeguards
- Other safeguards initiatives relevant to REDD+

Overview

- Key Terms
- Part 1: The Cancun safeguards
- Part 2: Country approaches to safeguards
- Part 3: Safeguard Information Systems
- Part 4: UN-REDD safeguards tools
- Part 5: Other REDD+ safeguards initiatives
- Part 6: Summary and conclusions

What are safeguards?

- technical measures to prevent accidents or similar problems (protecting your computer from viruses)
- precautionary stipulations or devices (e.g., laws protecting the rights of citizens, environmental and social impact assessments)

Key Terms

- REDD+ safeguards - Safeguards are procedures and approaches that can help to ensure that REDD+ activities "do no harm" to people or the environment, but rather enhance social and environmental benefits
  - definition refers to more than the avoidance of risk

- Cancun safeguards - Set of seven safeguards agreed to under the UNFCCC, which should be promoted and supported when undertaking REDD+ activities

- Safeguard information system - A system to provide information on how all Cancun safeguards are addressed and respected

PART 1

THE CANCUN SAFEGUARDS

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Multiple benefits of REDD+

- REDD+ has the potential to yield multiple benefits beyond carbon
  - In addition to reducing GHG emissions, REDD+ implementation can help to deliver other important social and environmental benefits
  - For example, REDD+ implementation may support ecosystem services and biodiversity, or provide livelihood opportunities for forest-dependent communities
- However, implementing REDD+ may also have potential risks

Potential risks of REDD+ may include:

- Social risks, such as:
  - failure to recognize customary tenure, use and property rights
  - undermining of rights of indigenous and local communities
  - corruption
  - food insecurity

- Environmental risks, such as:
  - threats to biodiversity
  - conversion of natural forests to plantations or other land uses
  - displacement of deforestation to other areas

REDD+ safeguards can help to reduce potential risks from REDD+ and enhance potential benefits

Safeguards may help to:

Design REDD+ actions that will be more sustainable by taking into account wider socio-economic issues and environmental concerns that are likely to be important in addressing the underlying drivers of deforestation

Increase investment in REDD+, because safeguards can reduce risk, a key factor in investment decisions

Meet the safeguard requirements of many of the international organizations funding (or likely to fund) REDD+

In addition to reducing potential risks, help to deliver social and environmental benefits

UNFCCC REDD+ safeguards

United Nations
Framework Convention on
Climate Change

- Parties to the UNFCCC have adopted broad guidance and safeguards for REDD+ activities (COP16, 2010)
- Countries are requested to promote and support these safeguards & provide information on how they are being addressed and respected

What does “address and respect” mean?

- Countries should promote and support these safeguards & provide information on how they are being addressed and respected

  - “Addressed and respected” not defined under UNFCCC
  - “Addressed” could mean how issue is covered by policies, laws and regulations
  - “Respected” could mean how policies etc. are implemented - i.e. the difference they make on the ground

The Cancun Agreements: Guidance for REDD+

REDD+ activities should:

…be consistent with the objective of environmental integrity and take into account the multiple functions of forests and other ecosystems;

…be undertaken in accordance with national development priorities, objectives and circumstances and capabilities and should respect sovereignty;

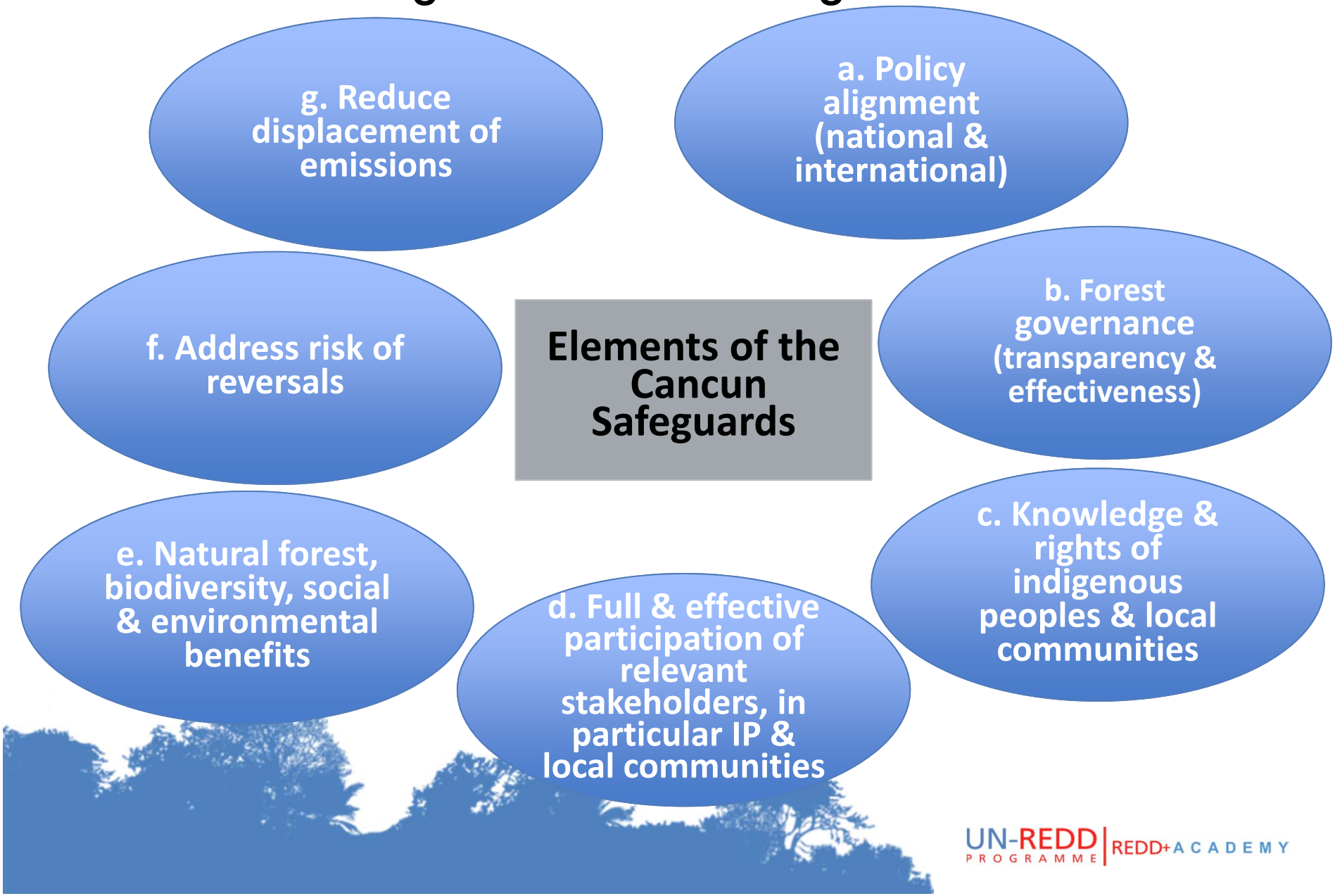
...be consistent with Parties' national sustainable development needs and goals;

…be implemented in the context of sustainable development and reducing poverty, while responding to climate change;

…be consistent with the adaptation needs of the country;

…promote sustainable management of forests

The Cancun Agreements: Safeguards for REDD+



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Cancun safeguard a

a. *That actions **complement** or are consistent with the objectives of **national forest programmes** and **relevant international conventions** and agreements;*

Helps to ensure REDD+ actions do not conflict with national law or international agreements

e.g. could help to make sure REDD+ actions to plant forest on grasslands do not conflict with an agricultural law designating those grasslands for grazing

Relevant international conventions and agreements may include:

- UN Declaration on the Rights of Indigenous Peoples
- Convention on the Elimination of All Forms of Racial Discrimination
- Convention on Biological Diversity
- UN Convention to Combat Desertification
- International Tropical Timber Agreement
- Ramsar Convention
- International Covenant on Civil and Political Rights
- International Covenant on Economic, Social and Cultural Rights
- Convention on the Elimination of All Forms of Discrimination against Women
- ILO Convention No. 169
- African Charter on Human and Peoples Rights
- Universal Declaration of Human Rights

Cancun safeguard b

b. ***Transparent and effective*** *national* ***forest governance*** *structures, taking into account national legislation and* ***sovereignty***;

Helps to ensure transparency and access to information, and effectiveness and efficiency of systems for feedback, oversight and accountability

e.g. could help to ensure relevant stakeholder groups can access necessary information, and that decision-makers are held to account for meeting REDD+ targets and goals that have been set

Cancun safeguard c

c. *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;*

Helps to ensure respect for rights of indigenous peoples and local communities, as stated in international and national law, and that REDD+ draws upon the knowledge of indigenous peoples and communities

e.g. Indigenous and local communities assist with planning for REDD+, contributing knowledge on local forest conditions and appropriate actions, as well as multiple benefits of REDD+ (including non-monetized cultural values); can help guard against resettlement of involuntary resettlement of indigenous peoples and ensure continued access to forest products for sustainable livelihoods

Cancun safeguard d

d. *The* ***full and effective participation of*** *relevant* ***stakeholders****, in particular indigenous peoples and local communities*

Helps to ensure participation from people affected by REDD+

e.g. has potential to strengthen recognition of the rights of indigenous peoples, including the right to free, prior and informed consent (FPIC)

UN-REDD guidelines on Free, Prior and Informed Consent

FREE	PRIOR	INFORMED
Consent (or not) must be given freely, without any coercion; community members are free to participate regardless of gender, age or standing	Consent must be given before the action has begun or been implemented	The choice to consent (or not) must be made with full information available to all stakeholders

Cancun safeguard e

*e. That actions are consistent with the **conservation of natural forests and biological diversity**, ensuring that the actions referred to in paragraph 70 of this decision 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**;*

Helps to incentivize protection and conservation of natural forests and their services and other social and environmental benefits

e.g. potential for REDD+ actions to improve status of areas of biodiversity importance, help to maintain water quality or improve access to forest resources

Cancun safeguards f and g

(f) Actions to address the risks of reversals;

Risk of reversals of emissions reductions ('non-permanence') is the risk that despite initial emissions reductions, carbon is released into the atmosphere at a later stage; also risk of reversals of additional benefits

Helps to ensure REDD+ results in long-lasting change for the good of the climate

e.g. The multiple benefits of REDD+ interventions may be lost if the interventions planned do not make a permanent change

(g) Actions to reduce displacement of emissions.

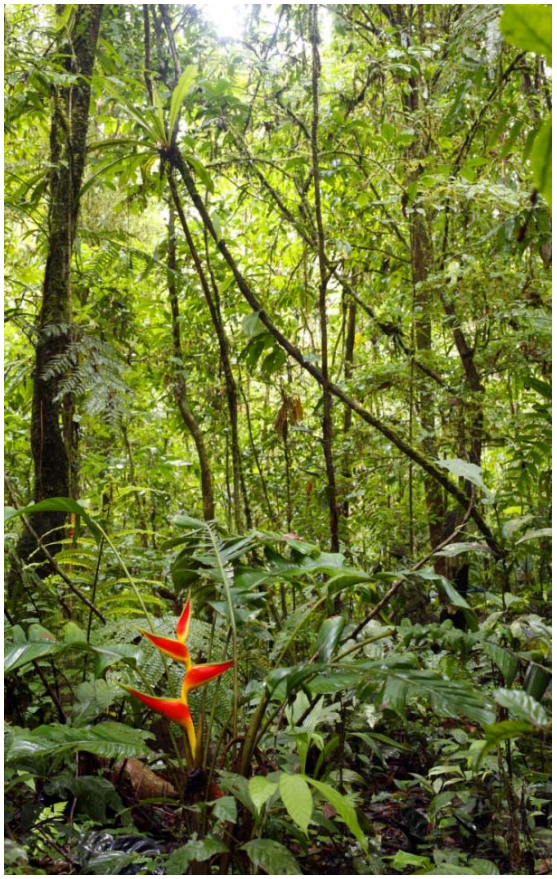
Helps to ensure REDD+ tackles drivers of deforestation rather than shifts them from one area to another (locally, nationally, or internationally)

e.g. REDD+ could stop agricultural expansion in one area, but if this expansion moves to another area, this will cause no net improvement

Addressing safeguards in national strategies

Paragraph 72 of decision 1/CP.16 indicates that the COP

"Also requests developing country Parties, when developing and implementing their national strategies or action plans, to address, inter alia, drivers of deforestation and forest degradation, land tenure issues, forest governance issues, gender considerations and the safeguards identified in paragraph 2 of annex I to this decision, ensuring the full and effective participation of relevant stakeholders, inter alia, indigenous peoples and local communities;"



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PART 2

COUNTRY APPROACHES TO SAFEGUARDS

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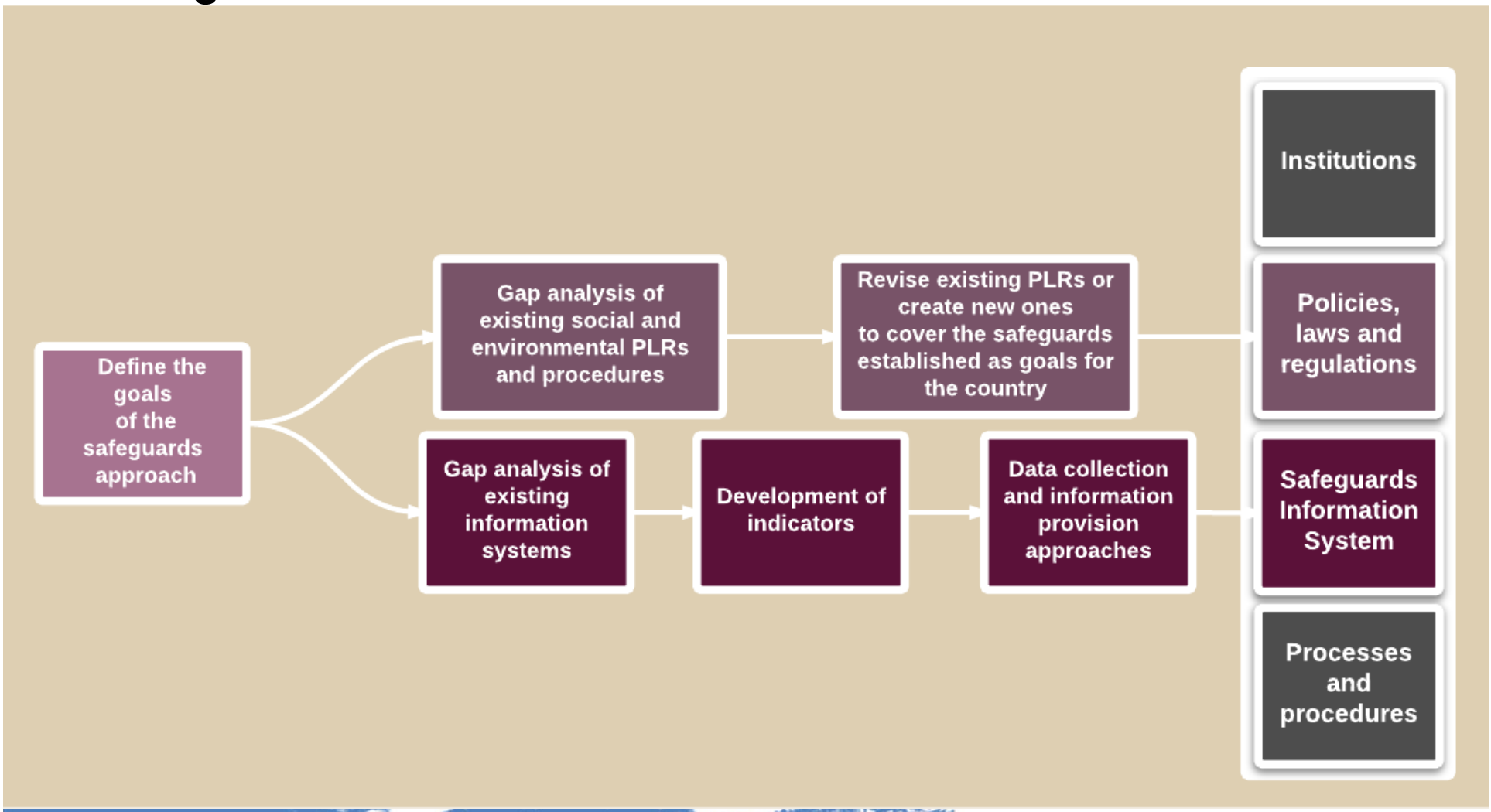
Why develop a Country Approach to Safeguards?

- To act on UNFCCC agreements, which aim to ensure social and environmental risks are minimized and benefits of REDD+ are enhanced
- To develop a safeguards approach in accordance with national circumstances, existing legal and institutional framework, and national development (social and environmental) goals
  - formulation Cancun safeguards is general; countries will need to work out how they will be applied in own contexts
- To respond to the requirements of organizations providing support for REDD+ activities

What is a country approach to safeguards?

- A country approach to safeguards can be thought of as having two core components that ensure social and environmental risks from REDD+ are reduced and that benefits are enhanced:
  1. Addressing and respecting safeguards through implementation of relevant policies, laws and regulations (PLRs), which establish the 'content' of the safeguards (what needs to be adhered to in the implementation of REDD+ activities)
  2. Safeguard information system (SIS): the collection and provision of information on how REDD+ safeguards are being addressed and respected throughout implementation of REDD+ activities
- Cross-cutting institutions and processes are likely to be needed in the design and operation of these elements

What is involved in a Country Approach to Safeguards?



Developing a Country Approach to Safeguards

- No fixed, linear path to apply UNFCCC requirements on safeguards
- Taking into consideration:
  - phased approach
  - what is already in place
  - additional objectives defined by the country
- Throughout the process, effective participation will be essential

PART 3

SAFEGUARD INFORMATION SYSTEMS

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The Cancun Agreements: Safeguard information systems (SIS)

Developing countries participating in REDD+ should set up systems for providing information on the way the safeguards are being addressed and respected in REDD+ activities

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Safeguard information systems (SIS) in the Cancun Agreements (COP16, 2010)

Safeguard information systems (SIS) recognized as one of the 4 core elements to have in place for REDD+ implementation:

1. National REDD+ strategy or action plan

2. National forest reference emission level and/or reference level

3. National forest monitoring system

4. SIS: System for providing information on how the REDD+ safeguards are being addressed and respected throughout the implementation of the activities

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Durban decision (COP17, 2011) Guidance on SIS

Agreement on guiding principles for safeguards information systems

Consistency	Be consistent with Cancun guidance
Accessibility & Periodic Reporting	Provide transparent and consistent information that is accessible by all relevant stakeholders and updated on a regular basis
Improvement over Time	Be transparent and flexible to allow for improvements over time
Comprehensiveness	Provide information on how all of Cancun safeguard elements are being addressed and respected
Country Drivenness	Be country-driven and implemented at the national level
Utilizing Existing Systems	Build upon existing systems, as appropriate

Durban (COP17, 2011) & Warsaw (COP 19, 2013) decisions
Modalities for the provision of safeguards information

What

- **Summary of information** on how all of the Cancun safeguards are being addressed and respected throughout the implementation of REDD+ activities

How

- To be included in **National Communications** or communication channels agreed by the COP
- On a **voluntary basis**, the summary of information can also be provided **via the web platform on the UNFCCC website**

When

- **Periodic submission** of information
- Provision of safeguards information is **to start at the time of implementation of REDD+** activities…
- … and to follow the **same frequency as** the submissions of the **National Communications**

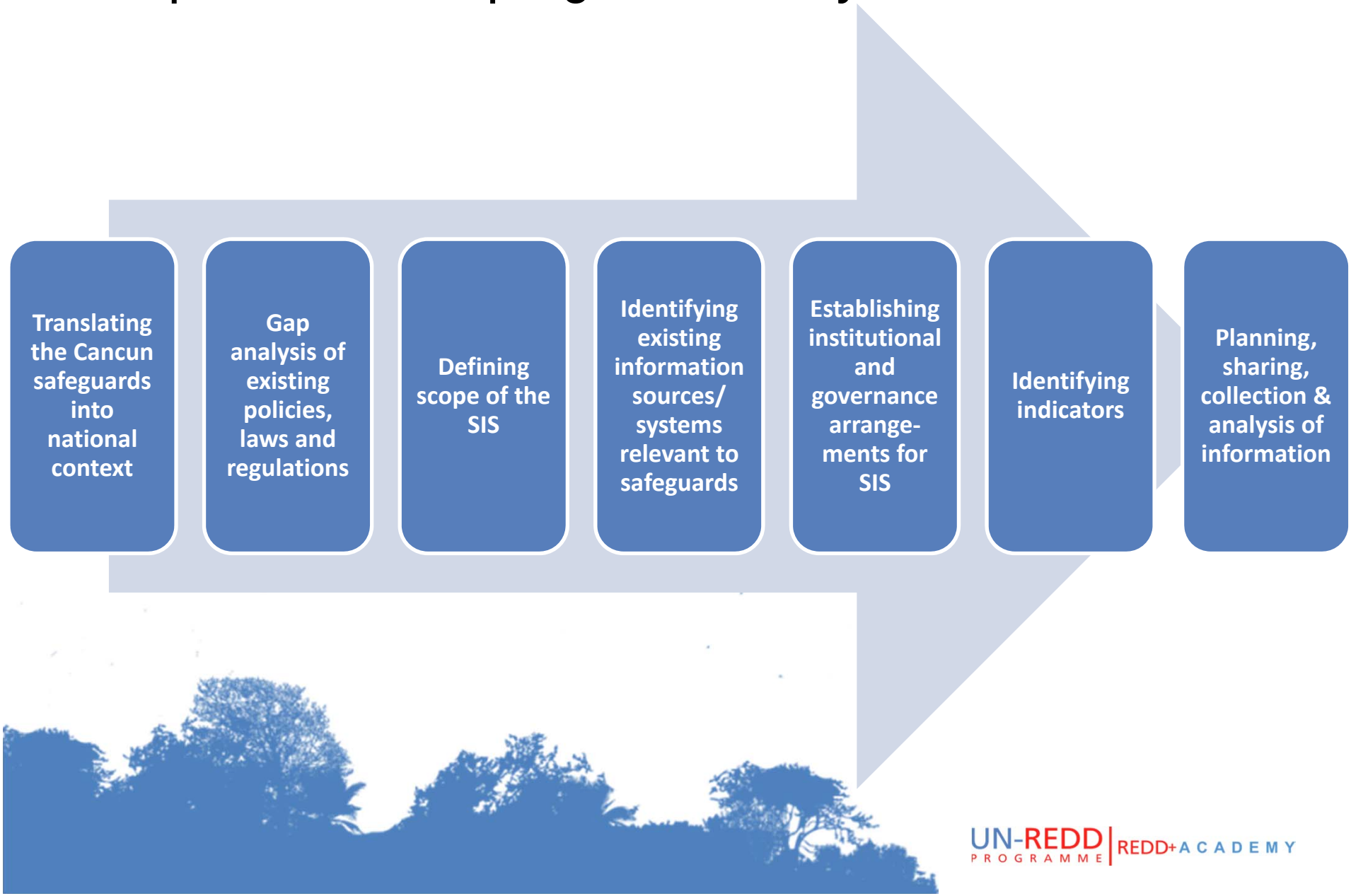
SIS design

- **Design of a SIS can start from decisions made about country approach to safeguards**
- For example, if principles and criteria have been developed for the national level, indicators to provide information on how safeguards addressed & respected could be related to those
- Indicators could draw on elements of Cancun safeguards identified as most relevant nationally in benefits and risks analysis

- **Decisions to make include:**
- Who is responsible for developing/collecting/analyzing the data?
- Which organization will produce the summaries of information, and what will this include?
- What stakeholders will participate in development of SIS and provision of information?
- How will information be shared?

Coordination and cooperation between institutions necessary to ensure a smooth flow of information

Steps for developing a SIS may include:



The development of indicators

- Indicators are one way to provide information on how the Cancun safeguards are being addressed and respected, and can be used to support policy and decision-making
- An indicator is “a measure based on verifiable data that conveys information about more than itself” (BIP 2011)
- Successful indicators are:
  - **Scientifically valid –** a) accepted theory of relationship between the indicator and its purpose; and b) data used is reliable and verifiable
  - **Based on available data** – so that the indicators can be produced repeatedly over time
  - **Responsive to change** in the issue of interest
  - **Easily understandable –** conceptually + presentation + interpretation
  - **Relevant** to user’s needs
  - **Used!**

Types of indicators

Process indicators

Can help to assess processes or structures established for REDD+ implementation

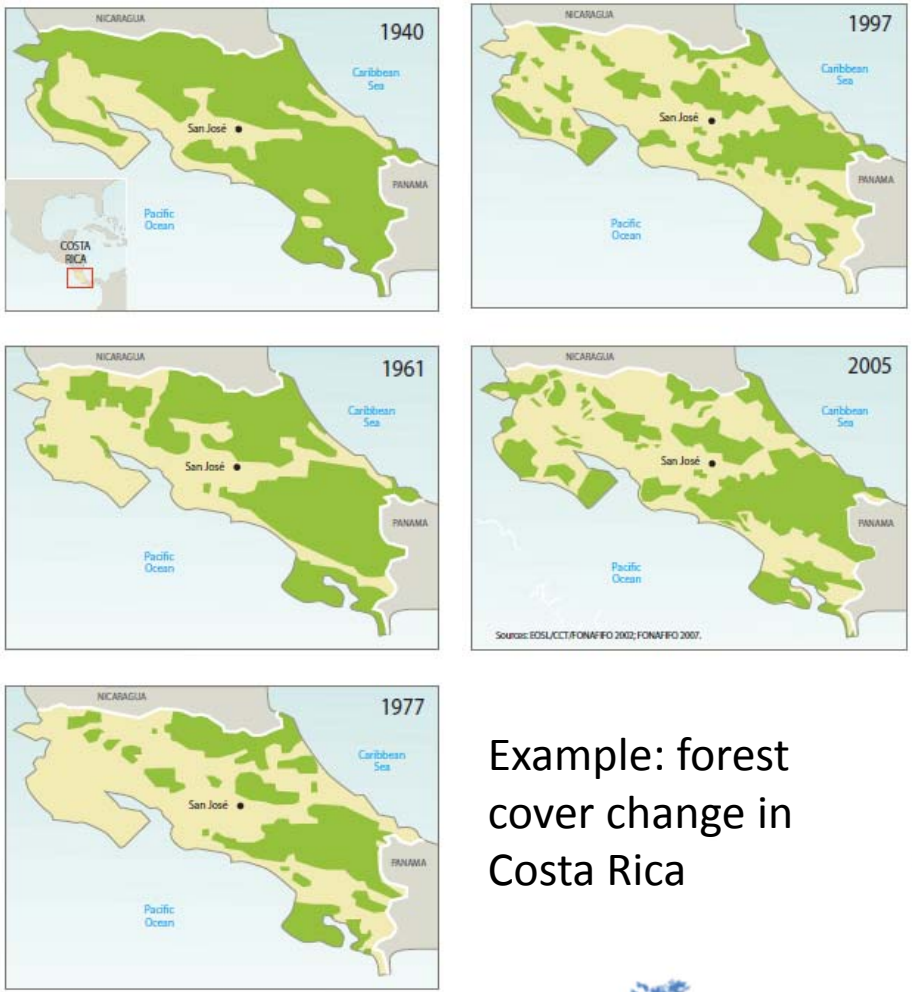
For example, number of training workshops on safeguards held for indigenous peoples representatives; amount of incentive payments made to smallholder farmers under payment for ecosystem services schemes

Impact indicators

Can measure changes in environmental and socio-economic conditions related to REDD+ implementation

For example, change in poverty rates in REDD+ areas; area of restored forests in degraded watersheds

Presentation of indicators



Example: forest cover change in Costa Rica

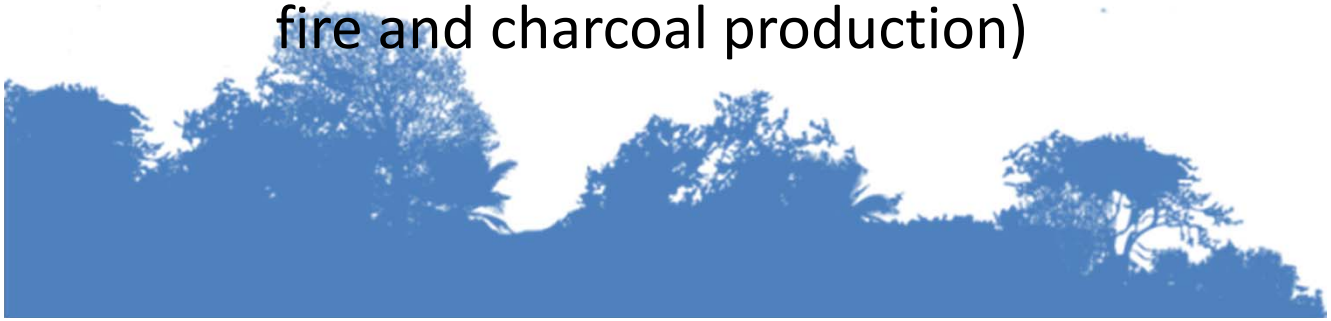
- Indicators may be qualitative or quantitative; quantitative indicators may be presented visually, e.g. as a line graph, pie chart or map

- Net change in forest area over time could be an indicator of:
  - availability of forest resources
  - progress in forest conservation
  - intensity of threats to forest ecosystems
  - conservation status of forest-dependent species

UNEP/GRID-Arendal, 2009/ Change Forest Cover Costa Rica, UNEP/GRID-Arendal Maps and Graphics Library, http://maps.grida.no/go/graphic/change-forest-cover-costa-rica

Increasing efficiencies in SIS development

- Information collection for the SIS needs to be **efficient**
- Potential to link information collection for SIS with MRV efforts
  - For example, using remotely sensed information on forest cover to observe developments related to natural forests, important areas for biodiversity & ecosystem services
- Using national forest inventories to collect relevant field information
  - UN-REDD report *Using spatial information to support decisions on safeguards and multiple benefits for REDD+ in Tanzania* made extensive use of data from Tanzania's national forest inventory on topics such as tree species richness, non-timber forest products and pressures (from fire and charcoal production)



PART 5

UN-REDD SAFEGUARDS TOOLS

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Safeguards tools

- Tools have been developed by the UN-REDD Programme that can support the development of country approaches to safeguards

UN-REDD Programme Social and Environmental Principles and Criteria (SEPC)

Country example: Nigeria

The SEPC are a guiding framework intended to address social and environmental issues which can support countries in developing their approaches to REDD+ safeguards

How were SEPC used by Nigeria?

How?

Multi-stakeholder workshop to review draft UN-REDD National Programme Document using SEPC (2011)

Who?

Members of REDD+ governance bodies (National & Cross River State level), including biodiversity experts, indigenous and local communities

Outcomes?

Identified several risks and benefits to help planning

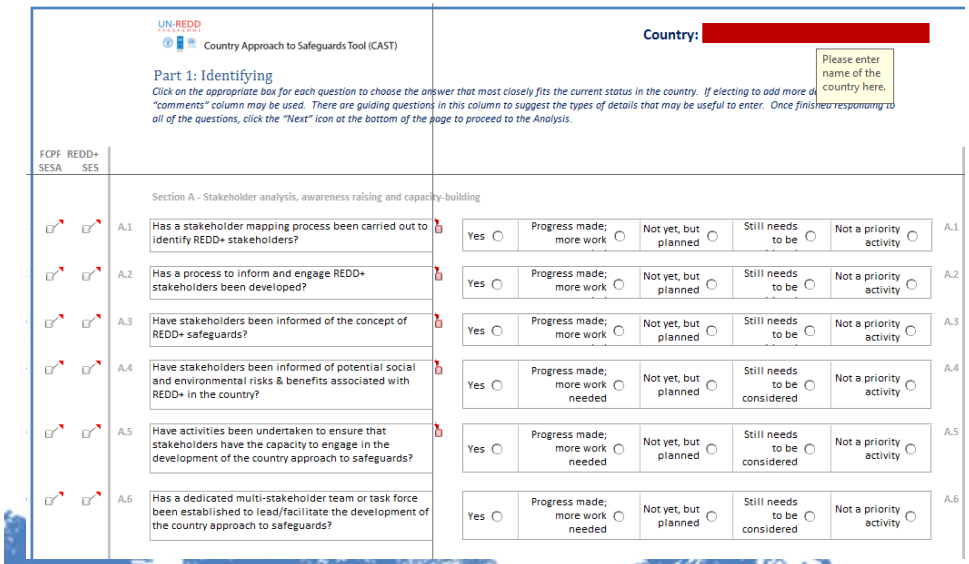
Revealed that National Programme Document already included many elements that would help to enhance multiple benefits and reduce risks of REDD+ activities

Country Approach to Safeguards Tool (CAST)

- CAST is a process-oriented tool designed to support countries to:
  - Plan for REDD+ safeguards and SIS activities
  - Identify, prioritize and sequence activities
    - **Flexible**: useful at the early planning stage or later in the process
  - Identify available information resources
  - Clarify how the processes under various safeguards initiatives correspond

Structure of CAST

- Excel-based
- Available in English, Spanish and French



UN-REDD Programme
Country Approach to Safeguards Tool (CAST)

Country:

Please enter name of the country here.

Part 1: Identifying

Click on the appropriate box for each question to choose the answer that most closely fits the current status in the country. If electing to add more d... "comments" column may be used. There are guiding questions in this column to suggest the types of details that may be useful to enter. Once finished responding to all of the questions, click the "Next" icon at the bottom of the page to proceed to the Analysis.

FCPF SESA	REDD+ SES									
			Section A - Stakeholder analysis, awareness raising and capacity-building							
		A.1	Has a stakeholder mapping process been carried out to identify REDD+ stakeholders?	Yes	Progress made; more work	Not yet, but planned	Still needs to be	Not a priority activity	A.1
		A.2	Has a process to inform and engage REDD+ stakeholders been developed?	Yes	Progress made; more work	Not yet, but planned	Still needs to be	Not a priority activity	A.2
		A.3	Have stakeholders been informed of the concept of REDD+ safeguards?	Yes	Progress made; more work	Not yet, but planned	Still needs to be	Not a priority activity	A.3
		A.4	Have stakeholders been informed of potential social and environmental risks & benefits associated with REDD+ in the country?	Yes	Progress made; more work needed	Not yet, but planned	Still needs to be considered	Not a priority activity	A.4
		A.5	Have activities been undertaken to ensure that stakeholders have the capacity to engage in the development of the country approach to safeguards?	Yes	Progress made; more work needed	Not yet, but planned	Still needs to be considered	Not a priority activity	A.5
		A.6	Has a dedicated multi-stakeholder team or task force been established to lead/facilitate the development of the country approach to safeguards?	Yes	Progress made; more work needed	Not yet, but planned	Still needs to be considered	Not a priority activity	A.6

Part 1
Identifying

↓

Part 2
Information resources

↓

Part 3
Prioritizing

↓

Part 4
Planning

↓

Part 5
Applying information resources

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Benefits and Risks Tool (BeRT)

Supporting countries to address and respect the Cancun safeguards

BeRT helps countries to:

1) Identify benefits and risks associated with specific REDD+ actions, in the context of the Cancun safeguards
2) Understand how the country's existing policies, laws and regulations (PLRs) address those benefits and risks
3) Identify gaps in policies, laws and regulations with respect to the Cancun safeguards

- BeRT is being finalized and trialled in-country
  - Launch in November 2014
- To enquire about trialling the tool, email BERT@un-redd.org

Structure of BeRT

- Excel-based
- Organized by the Cancun safeguards
- Key issues and guiding questions support application
- Allows for the prioritization of benefits and risks
- Flexible: user can focus on given safeguards or modules

Module 1
Documenting REDD+ actions

↓

Module 2
Identifying benefits and risks

↓

Module 3
Identifying relevant PLRs and gaps

Table 2: Benefits and Risks relating to Safeguard (e) - Conservation, biological diversity and enhancement of benefits

Benefits relevant to safeguard	REDD+ actions from Module 1 (not all actions may have benefits relevant to the safeguard)	Benefits	Rank of benefits	
			Probability	Impact
	e.g.: Landscape scale planning and coordination	*e.g.: Planning that prioritizes the protection of natural forest halts the decline in availability of non-timber forest products.*		
	2.- Enhance effectiveness of protected areas		• Medium	• Medu
	Click here to select an action from Module 1:		Select:	Select:
	Click here to select an action from Module 1:		Select:	Select:

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PART 5

OTHER REDD+ SAFEGUARDS INITIATIVES

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Other safeguards initiatives

Many of multilateral and non-governmental initiatives that support REDD+ readiness have their own safeguards frameworks. These include:

- World Bank Operational Policies are safeguard policies that apply to any REDD+ pilot projects that the World Bank supports or finances through its Forest Carbon Partnership Facility (FCPF)
  - Strategic Environmental and Social Assessments (SESA) complementary tool to ensure REDD+ readiness activities comply with safeguard policies
- REDD+ Social and Environmental Standards - mechanism for country-led, multi-stakeholder assessment of REDD+ programme design, implementation and outcomes
  - enables countries to show how internationally- and nationally-defined safeguards addressed and respected
- Forest certification schemes and offset standards applied to certify emissions reductions achieved through particular REDD+ projects and activities

PART 6

SUMMARY AND CONCLUSIONS

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Summary and conclusions

- Safeguards can enhance potential benefits and mitigate potential risks from REDD+
  - Cancun safeguards developed by UNFCCC during discussions on REDD+
- A country approach to safeguards (including development of a SIS) will take account of national circumstances, legal and institutional framework, and national development goals and will help increase confidence of organizations providing support for REDD+ activities
- UN-REDD Programme tools and other safeguards initiatives are often complementary, and can help countries to development approaches to safeguards

Thank you!

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