

**Boosting support to countries on safeguards and Safeguard Information Systems**

**CONCEPT NOTE**

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| I. Summary | |
| Objective | To respond to increased demand for support for country approaches to safeguards, including the promotion and support of REDD+ safeguards and the development of safeguard information systems |
| Expected results | 1. Supported countries advance understanding of expectations on safeguards under the UNFCCC, and the UN-REDD Framework for supporting the development of country approaches to safeguards  2 - Supported countries advance measures to promote and support safeguards  3 –Supported countries advance the design and implementation of the safeguard information system on how safeguards are addressed and respected, as guided by the UN-REDD Programme approach  4 – Strengthened UN-REDD Programme capacity to support countries in these areas and coordinate with other relevant initiative |
| Level of intervention | Global, regional and national levels  Specific countries to be decided, depending on country needs |
| Related work area, as defined in the [UN-REDD Programme Strategy](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4598&Itemid=53)[[1]](#footnote-1) | Multiple Benefits and Safeguards  The proposal refers mainly to Outcome 5, “Safeguards are addressed and respected and multiple benefits of REDD+ are realized” of the Support to National REDD+ Action: Global Programme Framework 2011-2015 (SNA). This proposal bolsters existing funds to allow UN-REDD to provide technical support to a greater number of countries and to improve coordination as demand for support in this work area grows. |
| Total concept duration | 1 January 2014 - 31 December 2015 (24 months) |
| Total concept amount | US$ 1,524,750 |
| Total amount requested | US$ 775,750**[[2]](#footnote-2)** for activities to be undertaken until 31 December 2014 |

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| II. Background |
| The development of the UN-REDD Programme approach to safeguards was reflected in the SNA budget review for 2013-2014 and refers to SNA Outcome 5,“Safeguards are addressed and respected and multiple benefits of REDD+ are realized.” The related Outputs are Output 5.2, “Countries make use of support to develop approaches to address and respect safeguards,” and Output 5.3, “Countries make use of support to provide information on how safeguards are addressed and respected.”  Support to countries on safeguards is based on the [UN-REDD Programme conceptual framework](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=10177&Itemid=53). The framework offers a set of steps that countries may wish to consider undertaking whilst developing their national approaches to safeguards, as well as relevant tools and guiding documents. The framework’s aims are to (1) improve the quality of UN-REDD support for REDD+ implementation in countries (e.g. in National Programmes or Targeted Support); (2) guide the development and consistency of UN-REDD Programme knowledge products related to safeguards; and, (3) enhance interagency coordination.  The main steps in the conceptual framework are:   1. Definition of goals of the safeguards approach  * Interpretation of UNFCCC decisions from the country perspective * Consideration of specific social and environmental risks as well as benefits that might be associated with REDD+ in the country  1. Development of Policies, Laws and Regulations (PLRs) relevant to REDD+ safeguards  * Gap analysis of existing country PLRs against safeguards * Creation of new PLRs and procedures * Definition of REDD+ safeguard policies  1. Development of a Safeguard Information System (SIS)  * Gap analysis of existing country information sources & systems * Development of indicators * Development of data collection methodologies * Development of approaches for providing information |

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| III. Results framework and theory of change |
| This work would enable the UN-REDD Programme to respond more effectively to new Targeted Support requests on safeguards, and to improve coordination of technical backstopping for all SNA safeguards work, including National Programme support. There is growing demand for additional Targeted Support on national approaches to safeguards from UN-REDD Programme partner countries. The growing body of experience from Targeted Support on safeguards to Argentina, Bhutan, Costa Rica, Kenya and Peru can provide valuable lessons on the planning and implementation of such work. Mexico has already started discussions with UN-REDD on technical support for work on safeguards as part of its Tier 2 proposal.  Interest in expanded support on safeguards is broad. For example, participants representing partner countries at the UN-REDD Programme’s Africa regional workshop on safeguards and multiple benefits, held in Nairobi in September 2013, suggested that next steps and capacity building needs should include: improved understanding of the UNFCCC context; PLR review (including on enforcement) and development; SIS development; understanding the relationship between the World Bank safeguards/ Strategic Environmental and Social Assessment (SESA) and the Cancun safeguards; spatial mapping related to safeguards; community resources for stakeholder engagement and further facilitation of South-South learning. These comments originated from participants representing the Democratic Republic of the Congo, Cameroon, Ghana, Cotê d’Ivoire, Ethiopia, Kenya, South Sudan, Tanzania, Tunisia and Uganda, showing widespread interest in further support on safeguards. Similar needs were expressed at the [international safeguards and multiple benefits workshop held in Cambridge in November 2012](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=9007&Itemid=53). Additional suggestions were also made there, including for support for the inclusion of natural forest conversion figures as part of deforestation monitoring, and for the development of community-based monitoring for safeguards.[[3]](#footnote-3)  The UN-REDD Programme’s three participating UN agencies possess the expertise to offer support on implementing national safeguards approaches that apply the UN-REDD conceptual framework on safeguards; however, demand for support is beginning to outweigh available staff time. Therefore, in order to meet the increasing demand from countries in a timely and effective way, there is a need both to provide specific financial and technical support for work in those countries and to further strengthen technical capacities within the UN-REDD Programme on safeguards and SIS. This additional funding will strengthen UN-REDD Programme capacity to support countries, through the appointment of a P4 coordinator position, but the majority of the funding is intended to directly support work with four countries. Collaboration should also be strengthened with key external initiatives and institutions that provide support on safeguards and SIS, such as the World Bank’s Forest Carbon Partnership Facility (FCPF).  The Programme would further guide countries through the application of various tools, guidance and other resources that could be useful at particular stages or for particular aspects of the safeguards/SIS work. Different countries are at different stages in their development of an approach to safeguards, and the precise support provided to them will be negotiated to ensure that their expressed needs are met in a timely fashion. Individual countries may require assistance with work that falls under one or more of the Expected Results below.  The following list of indicative activities will be refined to respond to Targeted Support requests that are served by this funded work. For example, the approaches to undertaking these activities would likely include in-country training workshops for one or more countries, testing and customisation of existing UN-REDD tools and guidance and externally-produced resources as appropriate, and collaborative work with national partners on topics such as PLR review and indicator design. The activities under each Expected Result below should be seen as a menu of options, rather than a prescriptive checklist.  Expected Result 1 – Supported countries advance understanding of expectations on safeguards under the UNFCCC, and the UN-REDD Programme conceptual framework on developing country-level approaches to safeguards.  Indicative Activities   * Initial capacity-building work for countries on safeguards, including through the presentation of the conceptual framework, and through planning the implementation of Targeted Support requests * Scoping work, including one or more participatory workshops in each country, to achieve the following elements of the conceptual framework, drawing on the UN-REDD Social and Environmental Principles and Criteria (SEPC) to help add detail to the broad principles set out in the Cancun Agreements:   + Interpreting what is contained in the UNFCCC decisions from the country perspective   + Consideration of the specific social and environmental risks as well as benefits that might be associated with REDD+ in the country   Expected Result 2 - Supported countries advance measures to promote and support safeguards  Indicative Activities   * Technical support to countries on developing Policies, Laws and Regulations (PLRs) relevant to REDD+ safeguards, through participative workshops and collaborative working sessions with national experts to undertake:   + Gap analysis of existing country PLRs against safeguards, trialling the new UN-REDD PLR review tool (which builds upon the earlier SEPC Benefits and Risks Tool)   + Identification of potential new PLRs and procedures   + Definition of REDD+ safeguard policies, which outline the set of relevant PLRs that has been developed or proposed, and how this provides the foundation for the country’s response to UNFCCC and potentially additional objectives   Expected Result 3 –Supported countries advance the design and implementation of the safeguard information system on how safeguards are addressed/respected, guided by the UN-REDD Programme approach  Indicative Activities   * Technical support to countries on developing an SIS, through participative workshops and collaborative working sessions with national experts to undertake:   + Gap analysis of existing country information sources & systems   + Development of indicators   + Development of data collection methodologies   + Development of approaches for providing information   Expected Result 4 - Strengthened UN-REDD Programme capacity to support countries in these areas and coordinate with other relevant initiative  Indicative Activities   * Interagency inception meeting to develop a detailed plan for the work * Appoint a coordinator for the UN-REDD Programme’s safeguards work, who will:   + Develop and communicate an overview of safeguards work throughout the UN-REDD Programme   + Foster learning between countries   + Promote the use of UN-REDD tools and guidance under the UN-REDD Framework for supporting the development of country approaches to safeguards   + Support staff across the UN-REDD Programme to promote consistency in approaches to safeguards support across the UN-REDD Programme portfolio of work   + Strengthen collaboration with key external initiatives and institutions that provide support on safeguards and SIS, such as the World Bank’s Forest Carbon Partnership Facility (FCPF).   Risks   * Changes in priorities at the national or international level result in difficulties in finalizing safeguard approaches * National capacity for designing and implementing a SIS is limited. |

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| IV. Management arrangements and partnerships |
| The UN-REDD Programme’s participating UN agencies already cooperate closely on safeguards issues, both at a global scale through the Safeguards Coordination Group, and at a regional scale in their support to National Programme activities and Targeted Support requests. Informal relationships exist with other actors, including the FCPF and the NGO-led REDD+ Social & Environmental Standards initiative. Efforts have been made with the REDD+ Social and Environmental Standards (SES), in particular to harmonize the concepts, language used and messages delivered to countries.  Within partner countries, the UN-REDD Programme will work through institutions at the national level as designated by the responsible governments. |

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| V. Monitoring and Evaluation |
| Based on the initial Monitoring Framework in the ”Support to National REDD+ Action: Global Programme Framework 2011-2015 (SNA), the UN-REDD Programme has already proposed global-scale SMART (specific, measurable, attainable, relevant and time-bound) indicators for success in implementing its work ([UNREDD/PB10/2013/XII/2c](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=10468&Itemid=53)). Relevant indicators are:  (5.2b) Number of UN-REDD partner countries that have developed a national approach to safeguards.  (5.3) Number of UN-REDD countries in which there is a clear design process outlined for the national safeguard information system and there is progress with implementation.  These indicators will be adopted for the present work; with the number of countries associated with each of the two being dependent on the nature of the requests for support put forward.  As per UNDG guidelines for joint programming on resources for monitoring, 5% of the implementation budget has been allocated for monitoring and evaluation costs and is included in the budget of the concept note on “Results Based Management – Managing for Results.” |

**VI. Indicative Results Framework[[4]](#footnote-4)**

| **Outcome** | **Output** | **Responsible Agency** | **Indicative Activity** | **Estimated Timeline** | | | | | | | | **Indicative budget (Q1 -Q4 2014)**  **(US$)** | **Indicative budget (Q1 -Q4 2015)**  **(US$)** | **Indicative budget (Q1 2014 -Q4 2015) (US$)** |
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| **2014** | | | | **2015** | | | |
| **Q1** | **Q2** | **Q3** | **Q4** | **Q1** | **Q2** | **Q3** | **Q4** |
| Expected Result 1: Supported countries advance understanding of expectations on safeguards under the UNFCCC, and the UN-REDD conceptual framework on developing country-level approaches to safeguards | Collaborative work plan for Country 1; workshop reports | All 3 agencies | Initial capacity-building on safeguards, and refining/planning implementation of Targeted Support requests; work on national interpretation of safeguards and on risks & benefits, including participatory workshop(s |  |  |  |  |  |  |  |  | 25,000 |  | 25,000 |
| Country 2 |  |  |  |  |  |  |  |  |  | 25,000 |  | 25,000 |
| Country 3 |  |  |  |  |  |  |  |  |  | 25,000 |  |
| Country 4 |  |  |  |  |  |  |  |  |  | 25,000 |  |
| **Sub-total** |  |  |  |  |  |  |  |  |  |  |  | **50,000** | **50,000** | **100,000** |
| Expected Result 2: Supported countries advance measures to promote and support safeguards | PLR review for Country 1 | All 3 agencies | Technical support to countries on developing Policies, Laws and Regulations (PLRs) relevant to REDD+ safeguards, through participative workshops and collaborative working sessions with national experts |  |  |  |  |  |  |  |  | 125,000 |  | 125,000 |
| Country 2 |  |  |  |  |  |  |  |  |  |  | 125,000 |  | 125,000 |
| Country 3 |  |  |  |  |  |  |  |  |  |  |  | 125,000 | 125,000 |
| Country 4 |  |  |  |  |  |  |  |  |  |  |  | 125,000 | 125,000 |
| **Sub-total** |  |  |  |  |  |  |  |  |  |  |  | **250,000** | **250,000** | **500,000** |
| Expected Result 3: Supported countries advance the design and implementation of the safeguard information system on how safeguards are addressed/ respected, guided by the UN-REDD Programme approach | Elements of SIS for Country 1 | All 3 agencies | Technical support to countries on developing a safeguard information system (SIS), through participative workshops and collaborative working sessions with national experts |  |  |  |  |  |  |  |  | 125,000 |  | 125,000 |
| Country 2 |  |  |  |  |  |  |  |  |  |  | 125,000 |  | 125,000 |
| Country 3 |  |  |  |  |  |  |  |  |  |  |  | 125,000 | 125,000 |
| Country 4 |  |  |  |  |  |  |  |  |  |  |  | 125,000 | 125,000 |
| **Sub-total** |  |  |  |  |  |  |  |  |  |  |  | **250,000** | **250,000** | **500,000** |
| Expected Result 4: Strengthened UN-REDD Programme capacity to support countries in these areas and coordinate with other relevant initiative | Implementation plan | All 3 agencies | Inception meeting |  |  |  |  |  |  |  |  | 25,000 |  | 25,000 |
| Overall coordination and technical advice | UNEP position suggested (to be confirmed) | Add to UN-REDD safeguards capacity on all of the above activities (Hire coordinator/ technical adviser). |  |  |  |  |  |  |  |  | 150,000 | 150,000 | 300,000 |
| **Sub-total** | | | | | | | | | | | | **175,000** | **150,000** | **325,000** |
| **Total, Results 1-4 (US$)** | | | | | | | | | | | | **725,000[[5]](#footnote-5)** | **700,000** | **1,425,000** |
| **Indirect support cost, 7% (US$)** | | | | | | | | | | | | **50,750** | **49,000** | **99,750** |
| **TOTAL BUDGET (US$)** | | | | | | | | | | | | **775,750[[6]](#footnote-6)** | **749,000** | **1,524,750** |

1. The work areas are: Measurement, Reporting and Verification (MRV); Governance; Stakeholder Engagement; Multiple Benefits and Safeguards; Transparency and Accountability; and, Green Economy. [↑](#footnote-ref-1)
2. Out of this amount, about US$ 590,000 is allocated to targeted support upon demand from countries. See also separate concept note on targeted support. [↑](#footnote-ref-2)
3. UN-REDD Programme staff clearly communicate that there is no reference to safeguard monitoring in the UNFCCC decisions; but that countries may choose to incorporate monitoring information into their SIS. [↑](#footnote-ref-3)
4. The draft Framework will be embedded in the overall SNA Monitoring Framework 2013-2014 [↑](#footnote-ref-4)
5. 5% of this amount for monitoring and evaluation costs is included in the separate concept notes on “Results Based Management – Managing for Results” (SNA Outcome 8). [↑](#footnote-ref-5)
6. Out of this amount, about US$ 590,000 is allocated to targeted support upon demand from countries. See separate concept note on targeted support. [↑](#footnote-ref-6)