

**UN-REDD Social and Environmental Principles and Criteria internal workshop**  
**UNEP-WCMC, Cambridge, 17-18 May 2011**

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A workplan has been agreed which incorporates the major decisions agreed at this meeting and outlines how we will move forward with the Social and Environmental Principles through until the end of 2011. The list of decisions below – on the purpose of the P&C, responses to external comments, tool development, testing and application of the P&C and the workplan – provides further elaboration of the decisions already incorporated in the workplan.

## **DECISIONS**

### **Part 1: Purpose of the Principles and Criteria (P&C)**

The Principles and Criteria (P&C) document that was submitted to the Sixth Policy Board Meeting (PB6) in March 2011 ([‘UN-REDD Programme Social& Environmental Principles and Criteria, version 1’](#); UNREDD/PB6/2011/IV/1) contains a paragraph on the purpose of the P&C in the introductory text. The decisions and wording below help to further clarify this paragraph:

1. Both avoidance of harms and promotion of benefits should be incorporated in the P&C
2. The purpose statements are about the P&C, not the associated [Risk Identification and Mitigation Tool](#) (developed by UNDP and presented to the Fifth Policy Board Meeting (PB5) in November 2010)
3. Points 1 and 2 of the purpose statement (see box below) will be kept separate to clearly distinguish between them
4. In the introductory text, the paragraph with the heading “Principles & Criteria:” will include a statement about the P&C’s coherence with UNFCCC text and UN values
5. Approval of the P&C by the policy board will be sought as soon as possible, ideally at the next PB (PB7, October 2011), but approval will not necessarily be sought for the tool. The tool is a practical instrument that will link back to the P&C
6. The text below is a proposed refinement of the paragraph on purpose that appeared in version 1 of the P&C. The following wording has been agreed:

### Clarification of purpose of the P&C

The Principles and Criteria will serve:

1. To provide the UN-REDD Programme with a framework to ensure that its activities promote social and environmental benefits and reduce risks from REDD+. In particular, the P&C will be used by the UN-REDD Programme:

- as an aid in formulating national REDD+ programmes and initiatives that seek UN-REDD funding
- in the review of national programmes prior to submission for UN-REDD funding
- to assess national programme delivery (*check Secretariat's monitoring framework*)

2. To support countries in operationalising UNFCCC agreements on safeguards for REDD+.

Countries can use these P&C for various purposes, such as:

- to promote and build the UNFCCC safeguards (*cross reference Cancun language*)
- to devise a national system for information on how the UNFCCC safeguards are being addressed and respected in REDD+ implementation
- in demonstrating their achievements beyond carbon (*refine this language*)

## Part 2: Responses to comments made about Version 1 of the Principles and Criteria

Comments were provided by a number of reviewers prior to PB6; two countries (Norway, Spain) and three organizations (IPAM, Global Witness, WWF) provided comments subsequent to PB6. Decisions below refer to actions to address these comments:

### Response to external comments on the P&C

1. Responses to comments that were made subsequent to the presentation of the P&C at PB6 will be made public (in a spreadsheet) to show how we are responding in order to produce the next version of the P&C. We will also send the next iteration to the reviewers who provided comments prior to PB6, thanking them for their contribution
2. To deal with all of the comments that have been made, the key points will be addressed as far as possible at this meeting; subsequently UNEP/WCMC will deal with the environmental P&C and UNDP will deal with the social P&C (including Principle 3)

### Comments related to introductory text

3. In the introductory text, the paragraph with the heading "Principles and Criteria:" will be revised, to ensure we avoid interpretation of the UNFCCC Cancun agreements ([FCCC/CP/2010/7/Add.1](#)) i.e. remove "our understanding", "us" etc and make fuller reference to the relevant parts of the UNFCCC text (69, 71d, 72, Annex 1, Annex 2)
4. JCG and WPS will re-draft the introductory text, using UNDP materials (e.g. previous iterations of the Risk Identification and Mitigation Tool; background paper called Social and Environmental Due Diligence Approach, August 2010) and with input from UNDP and WCMC. It will cover purpose, process, context and introduction to the P&C themselves
5. A context statement will be incorporated into the introductory text, which describes the wider setting in which these P&C are being developed and the relationship with other processes & standards such as REDD+SES

6. Reference will be made to the UNFCCC text and UN values and commitments in the purpose statement.

#### Comments related to the Principles and Criteria

7. The principles will be phrased in a consistent way and the criteria similarly
8. It was agreed that there is no aspiration to phrase the principles as 'fundamental truths/ideals' (in reference to one of the comments (#6) made) while recognising that the principles should be formulated in a strong and clear way
9. Each principle will be one sentence long, formulated as an injunction
10. Principles 1-3 will be rephrased to include enhancing benefits not just reducing harms (relates to decision 1 under 'Purpose of the Principles and Criteria (P&C)')
11. The elaboration section of each of the P&C will be removed, and instead, the current criteria text will incorporate key points from the elaborations. The aim is to keep each criteria to one sentence long
12. Some principles may need to be formulated more crisply (e.g. avoiding formulations like 'where appropriate'), whilst being realistic about what can be achieved
13. JCG will ensure there is consistency between the re-drafted social and environmental P&C
14. Criteria 14 and 15 will be removed because they include reference to monitoring, which is problematic, and they are too 'toolish'
15. All reference to monitoring will be taken out of the P&C and addressed in the tool (to be revised (see decision 1 under tool development), for example through a 'risks and benefits log' used by UNDP
16. Consideration should be given to making criteria under Principle 5 more specific e.g. address options for reforestation, biodiversity, NTFPs
17. Respect for rights will be incorporated into Principle 1 or 2; a definition of rights should be included
18. Principle 2 will focus on a defined subset of stakeholders (local communities, Indigenous Peoples, forest-dependent communities)
19. Specific governance issues will be dealt with in a more explicit way than in the existing P&C; 'Governance' will not be added to the title of the P&C (#9)
20. Criterion 4 will go under Principle 1 rather than Principle 2

#### General comments

21. Reference will not be made to the 5 principles (WWF/Greenpeace/CARE International) in the P&C document itself but WCMC will respond to WWF to acknowledge that we have taken note of them and they are reflected in the P&C
22. Materials from the FAO/Chatham House process will be reviewed to see if there are any areas missing from the P&C (#29)
23. The outcomes from the meeting in Rome (Expert Meeting on Governance of Forests and REDD+, 19-20 May 2011) will be considered
24. Efforts to seek FAO inputs into the further development of the P&C will continue

### **Part 3: Tool development** (which elaborates on the P&C and helps to apply them)

The tool is currently in the form of the [Risk Identification and Mitigation Tool](#) developed by UNDP, and a separate set of 'Questions to identify environmental risks in national REDD+ programmes' in very early development by WCMC.

1. There will be one tool for all P&C rather than having two separate tools for the social and environmental parts (the tool currently exists as the [Risk Identification and Mitigation Tool](#) developed by UNDP, but will be altered following amendment of the P&C and addition of the environmental aspects)
2. The tool will focus on the first objective (see box above; 'Clarification of purpose of the P&C') in order to review NPs and track results within the UN-REDD Programme rather than operationalising the P&C at the country level, but it can be used as a starting point for the second objective
3. The questions relating to the social principles in the Risk Identification and Mitigation Tool will be reconsidered in order to see if it makes sense to adopt the approach used for the initial questions relating to the environmental P&C i.e. to have yes/no indicator questions with more elaborative/descriptive sub-questions
4. UNEP/UNDP/WCMC will move forward using a common format; this has yet to be decided
5. WCMC will work with FAO (Danilo Mollicone) to consider the definition of natural forest, in order to determine how the questions within the tool should be framed (and the P&C themselves) in a way that is consistent with the UNFCCC Cancun agreements. Moreover, WCMC will liaise with FAO more broadly on forest definitions issues to ensure that the P&C use language that is consistent with what is likely to come out of future UNFCCC decisions

### **Part 4: Testing and application of the P&C and tool**

Pro-active consultation with countries on the P&C as well as testing and application of the tool are necessary for establishing how to apply them and ensuring their use and application is feasible.

1. The P&C will be applied differently to countries at different stages of national programme development and implementation:
  - a. For the NJPs that have already been agreed, the P&C will be treated as inputs and guidance to be taken into consideration. If these countries are awarded new funding they will be expected to apply the P&C
  - b. For future national NJPs the application of P&C will be mandatory (once the P&C have been agreed by the Policy Board)
2. The tool will be piloted and applied over time. There will not be a 'final' version; rather there will be different versions of the tool over time based on revisions
3. In order to test the P&C without the tool (thinking about Nigeria): 1. Each of the criteria should be addressed in the programme document; 2. The Secretariat may be encouraged to use the P&C to review the programme document.
4. When the revised version of the P&C is circulated to the Policy Board and others, the covering note will refer to the process by which we have arrived at the revised P&C (including this meeting)
5. The aim is to finalise the P&C for approval at the Policy Board in October 2011 (see workplan)

6. After the P & C are approved by the Policy Board, acknowledgement of the purpose of the P & C should be incorporated into the National Programming Guidance and associated Secretariat quality assurance measures.
7. Dialogue with those developing the REDD+SES and other relevant stakeholders in the development and application of the P&C will continue
8. Towards fulfilment of the second objective, the development of nationally appropriate safeguards will be supported at the request of the UN-REDD country. This support will be informed by the P&C and tool, with input from other safeguard processes and frameworks (depending on the needs/interests of national stakeholders). [This text will be included in the introductory text of the P&C.]

#### **Part 5: Workplan**

1. See the workplan
2. It would be desirable for the workplan to make clear the linkages to the Global Programme Strategy (particularly activities 5.1 and 5.2), outlined within [The UN-REDD Programme Strategy 2011-2015](#)