



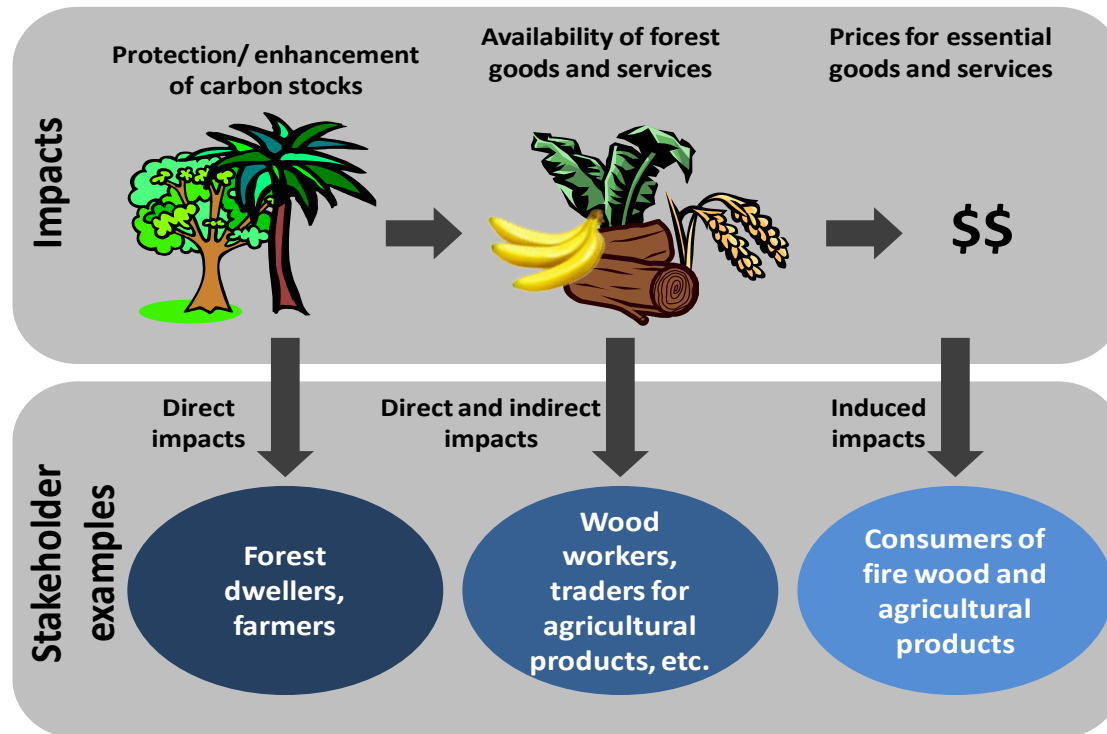
Risk-based approach to readiness social standards



Identifying and Promoting Ecosystem Co-Benefits from
REDD+, Cambridge, 27-29th April 2010

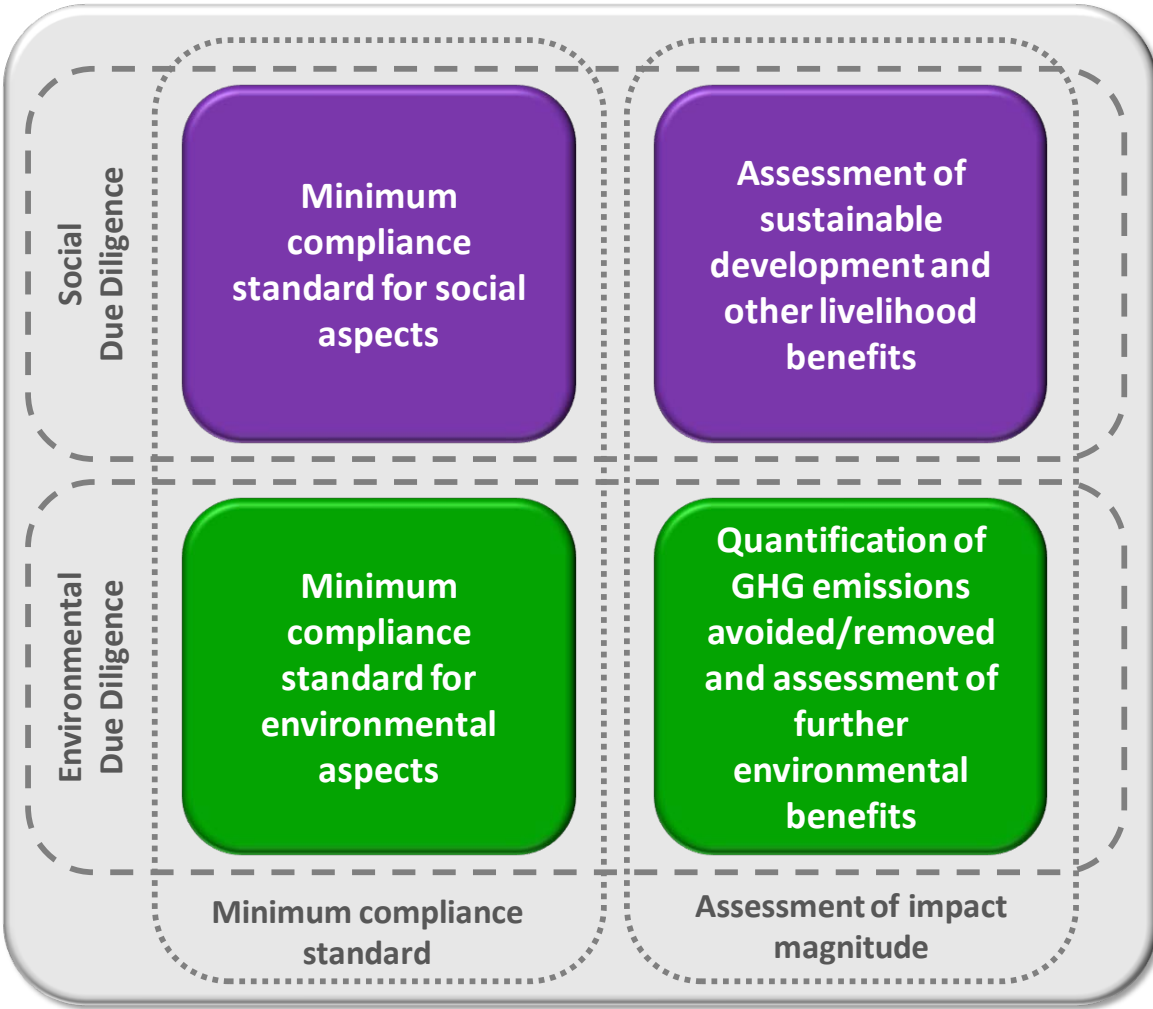


Linking ecosystem goods and services to social standards



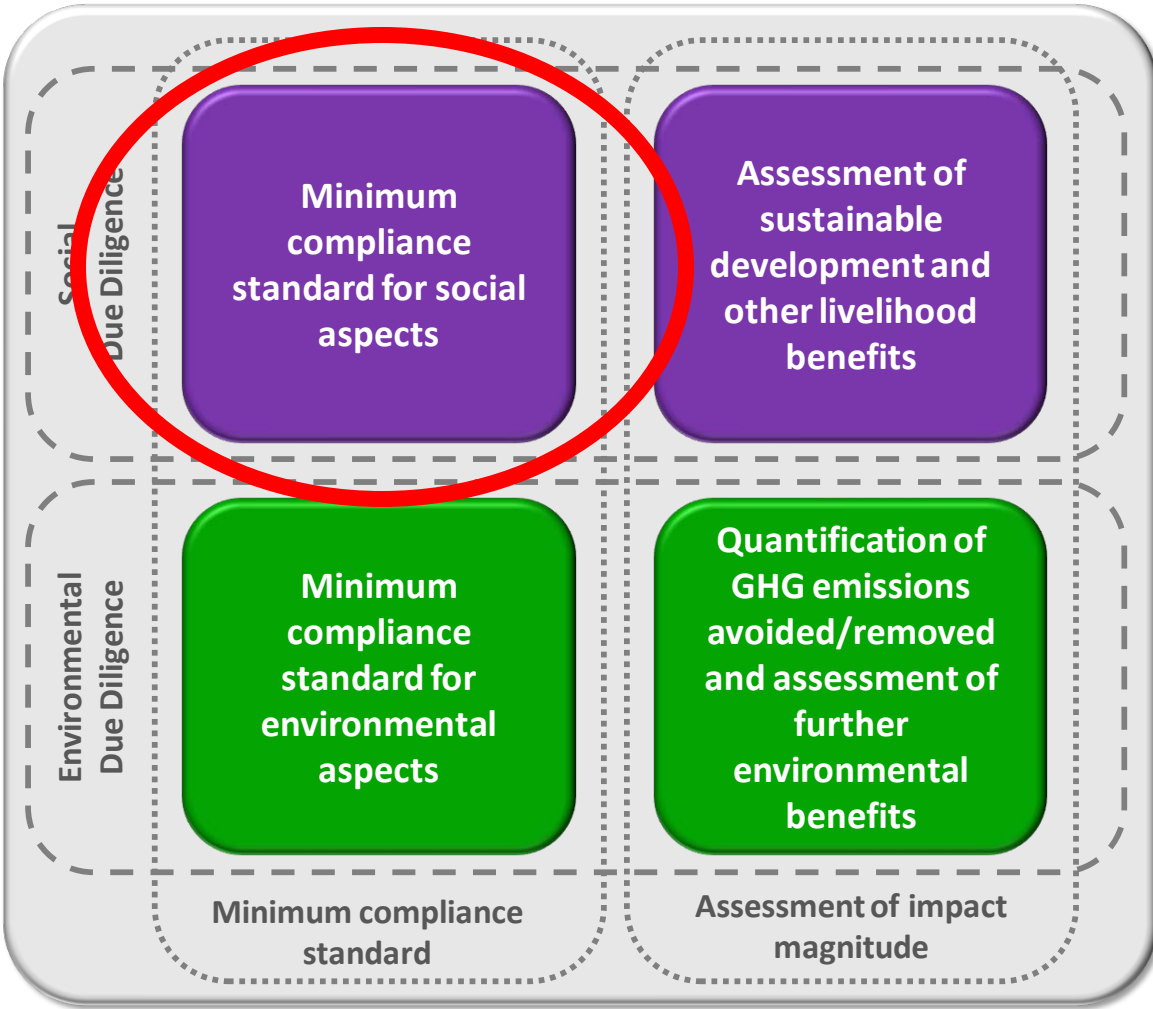


Four components of UN-REDD social and environmental due diligence approach



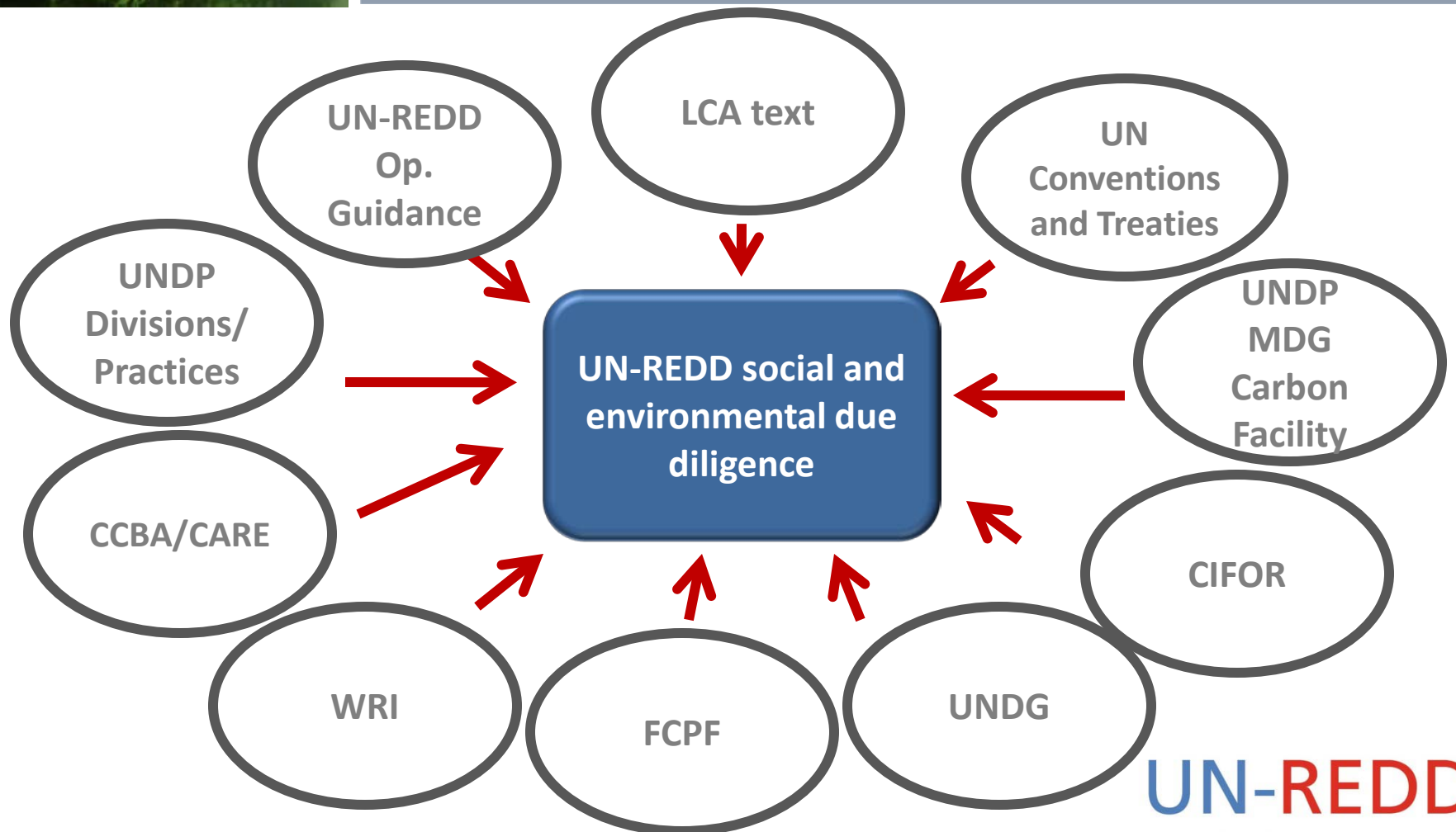


Four components of UN-REDD social and environmental due diligence approach





Levels of UN REDD social and environmental minimum compliance standard





Levels of UN-REDD social and environmental minimum compliance standard

LCA text, Section G, Paragraph 2

Set of environmental and social principles

Matrix of criteria and indicators to verify compliance with principles



Minimum compliance standard – social principles and criteria : Good Governance

Principle 1 – Good governance: The program complies with standards of good governance.

Criterion 1 – Anti-Corruption

The program is not involved and not complicit in corruption.

Criterion 2 – Transparency and Accountability

Program administration and activities as well as allocation and distribution of funds and benefits at all levels of government are carried out in an accountable and transparent manner.

Criterion 3 – Stakeholder participation

a) All relevant stakeholders 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.



Minimum compliance standard – social principles and criteria Stakeholder livelihood

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

Criterion 4 – Avoidance of involuntary resettlement	The program is not involved in or complicit to involuntary resettlement.
Criterion 5 – Cultural heritage	The program is not involved in or complicit to alteration, damage or removal of any critical cultural heritage.
Criterion 6 – Social and political well-being	Social and political implications are carefully assessed and adverse impacts on social and political structures mitigated. Benefits are shared equitably.
Criterion 7 – Economic well-being	Economic implications are carefully assessed and adverse impacts are mitigated except for where they are intended.
Criterion 8 – Physical well-being	The program does not result in an increase of stakeholder’s vulnerability to diseases, accidents or other negative impacts on long-term well-being.



**Minimum compliance standard
– social principles and criteria :
Policy Coherence**

Principle 3 – The program is coherent with and complements sustainable development strategies and priorities, forestry plans and other relevant policies and treaties.

Criterion 9 – Coherence with broader policy framework

The program is coherent with relevant strategies and policies at all levels of government.



Suggested boundaries of minimum compliance standards

- UN-REDD National Programme activities?
- National readiness process?
- Allocation of REDD payments ?
- External parties : Program “not complicit” in violations ?
- Direct, indirect and induced impacts considered ?



Risk assessment tool - Overview

- Principles/criteria not directly verifiable: Risk-based assessment tool developed that
 - identifies and categorizes risks of non-compliance
 - suggests risk mitigation strategies
- Key objectives:
 - Improve programme design
 - Secure stakeholder support
 - Increase programme sustainability
- May be used by various stakeholders to different extents and for different reasons
- Designed to encompass UN-REDD National Programmes but also future readiness phases
- Designed as a “tool in progress”: will be adjusted ongoing to reflect latest experience and feedback from stakeholders



Risk categorization



No significant risks to be expected



*Minor risk of violation detected that should be monitored.
No immediate intervention required.*



*Major risk of violation detected that requires the
development of a commensurate risk mitigation approach.*



Violation of principle/criterion. Program revision required.

- Applied iteratively and continuously throughout program phases → assists in identifying risky areas and improving program rigor/sustainability rather than a one-time rigid categorization
- Does not replace good judgment but assists in ‘thinking through’ the assessment in a structured manner

Risk Assessment Screen - EXAMPLE

Criterion 1 - Anti-Corruption:
The program is not involved and not complicit in corruption.

Is the program known to employ practices where entrusted power is abused for private gain [1]?

YES



Violation of principle

NO

Has the Host government ratified the UN Convention against Corruption and/or other regional instruments [2]?

NO

Does the Host country have its own credible legislation in place enforcing this criterion?

NO

Does the program demonstrate sufficiently how it will abide by the criteria of anti-corruption in absence of national enforcement?

NO



Significant risk, demonstration required

YES

YES

YES



Minor risk

Has the Host Country undertaken an analysis of compliance to these instruments?

NO

Has the program demonstrated how it will go beyond national enforcement?

NO



Major risk of violation, demonstration required



Applying tool (cost-)efficiently over time

- Intensification of assessment over time
 - Flagging major risks early in the process
 - looking into details of risk mitigation strategies in advanced stages
- Prioritizing criteria in relation to REDD phases
 - Detailed assessment when criteria are most relevant and when design can easily be adjusted



Next Steps

We look forward to your input

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