UN-REDD Programme Social and Environmental Principles and Criteria

Introduction and Context

REDD+ has the potential to deliver substantial benefits beyond carbon. However, there is also a possibility that risks will be incurred in the implementation of REDD+. Accordingly, the UN-REDD Programme is working with partners and REDD+ countries to develop tools and guidance to enhance the multiple benefits of, and reduce risks from REDD+. As part of this work, a set of Social and Environmental Principles and Criteria (SEPC) has been developed as a proposed guiding framework on this issue for the UN-REDD Programme.

The SEPC consist of broad principles, within which more detailed criteria describe important issues to be considered in preparing for and implementing REDD+. The principles and criteria are coherent with and draw from the broad guidance provided by the Cancun agreement, and emerge from the existing rich body of knowledge and literature on safeguards, standards and certification[1].

The SEPC reflect the UN-REDD Programme's responsibility to apply a human-rights based approach to its programming, uphold UN conventions, treaties and declarations, and apply the UN agencies' policies and procedures[2]. The SEPC are consistent with the readiness support offered by the UN-REDD Programme and reflect the Programme's issue-specific Operational Guidance[3] and can help countries demonstrate how they are working to meet their commitments under other Multilateral Agreements (see box below).

The Social and Environmental Principles and Criteria draw on, are consistent with, and seek to help countries meet their commitment to, *inter alia*, the following international agreements and, when applicable, the decisions taken in their COPs/MOPs:

· United Nations Framework Convention on Climate Change (UNFCCC)

· Convention on Biological Diversity (CBD)

· Non-Legally Binding Instrument on all Types of Forest (NLBI)

· Convention on the Elimination of All Forms of Discrimination against Women (CEDAW)

· International Labour Organization Convention 169 (ILO 169)

· United Nations Convention Against Corruption (UNCAC)

· United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP)

· United Nations Convention on the Elimination of All Forms of Racial Discrimination (UNCERD)

· The Millennium Development Goals (MDGs)

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[1] Please see Annex 3: Sources Consulted.

[2] For example, UNDP's Environmental Sustainability and Climate Change prescriptive policy, UNEP's Framework for Ecosystems Management, and FAO's Environment and Social Impact Assessment.

[3] Please see Annex 2: How UN-REDD Programme Operational Guidance supports the Social and Environmental Principles and Criteria.

Purpose

It is proposed that the SEPC provide a guiding framework for the UN-REDD Programme to address two specific needs:

1) Addressing social and environmental issues in UN-REDD National Programmes and other UN-REDD funded activities.
2) Supporting countries in developing national approaches to REDD+ safeguards in line with the UNFCCC.

To address the first need, the SEPC can be applied at different stages of the UN-REDD programme cycle to ensure that social and environmental issues have been properly considered and addressed:

• in the formulation of national UN-REDD programmes

• in the review, both internal and independent, of national programme documents

• in the application of the planning, monitoring and reporting framework that guides national programme implementation

The SEPC are also intended for application to other UN-REDD funded activities, such as the targeted support provided through the UN-REDD Global Programme.

To address the second need, the SEPC, which are consistent with UNFCCC agreements on safeguards for REDD+[4], can, in combination with other tools and approaches, help countries to develop national approaches for: promoting, supporting and building on the Cancun safeguards, providing information on how the Cancun safeguards are being addressed and respected, and demonstrating their achievements beyond carbon (e.g. with respect to poverty alleviation and biodiversity conservation).

Structure and Application

The principles are overarching, fundamental, active statements about the achievement of a desired outcome (e.g. 'Promote sustainable livelihoods and poverty reduction'). The criteria are the conditions that need to be met by UN-REDD Programme funded activities to contribute to the achievement of the principle. The SEPC contain three principles focused on social issues, one on social and environmental policy coherence, and three on environmental issues. These principles and associated criteria are shown in Table 1. Annex 1 shows how the principles support the provisions of the UNFCCC agreement on safeguards for REDD+.

Linked to this document, a Benefits and Risk Tool (BeRT) is being developed to help apply and elaborate on the concepts encompassed in the SEPC. In the first instance, the BeRT has been developed to assist national REDD+ teams in developing national programmes in accordance with

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[4] Paragraphs 69, 71d, 72, 76 and Appendix I in the UNFCCC Decision 1/CP.16 : The Cancun Agreements: Outcome of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (Decisions adopted by the UNFCCC on its sixteenth session, held in Cancun, Mexico from 29 November to 10 December 2010) are referred to in this document as the 'Cancun safeguards' and Annex 1 illustrates the relationship between the Principles and the Cancun safeguards.

the UN-REDD Programme Social and Environmental Principles and Criteria[5], in order to minimize the risks and enhance the multiple benefits from readiness activities. The tool elaborates a series of questions under each criterion to assist UN-REDD Programme staff, national counterparts and other stakeholders to identify the issues to be addressed in UN-REDD supported programmes. The tool also creates concrete linkages between the Principles and Criteria, relevant Multilateral Agreements (outlined above), and issue-specific UN-REDD Programme policies and Operational Guidance (outlined in Annex 2).

The BeRT will be further tailored and other tools developed as needed to support the other applications of the SEPC mentioned above, i.e. the review of national programme documents, the implementation of national programmes and the support to national approaches to REDD+ safeguards in line with the UNFCCC.

Process

The Social and Environmental Principles and Criteria have been developed in collaboration between UNDP and UNEP, with additional input from FAO, under the UN-REDD Programme. The Principles and Criteria were presented at the UN-REDD Programme Policy Board meeting in March 2011 ('UN-REDD Programme Social & Environmental Principles and Criteria, version 1'; UNREDD/PB6/2011/IV/1), and comments invited.

The Principles and Criteria were subsequently revised, based on input received following the Policy Board meeting, and a 'version 2' was re-circulated for further input from the Policy Board, the Independent Advisory Group on Rights, Forests and Climate Change, national practitioners, and a targeted group of expert reviewers[6].

Based on the valuable inputs received, 'version 3' of the SEPC and the draft BeRT ('version 1'), were subject to a public consultation process from October 2011 – February 2012 consisting of:

- Information and feedback sessions at upcoming international REDD+ gatherings;

- facilitated consultations with pilot REDD+ countries;

- circulation for input through an online public review process;

- a two-day multi-stakeholder workshop.

The Social and Environmental Principles and Criteria have been finalized on the basis of the feedback received and their endorsement is sought at the next Policy Board meeting in Asuncion, Paraguay. The Benefits and Risks Tool will continue to be piloted and further developed through 2012.

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[5] An early version of the BeRT, formerly called Risk Identification and Mitigation Tool, focusing on an early set of the Social Principles was presented to Policy Board 5 in November 2010.

[6] Annex 4 has a summary of previous consultations.

Table 1: Proposed Social and Environmental Principles and Criteria[7] (version 3; update to Table 1 of UNREDD/PB6/2011/IV/1)

Principle 1 – Apply norms of <u>democratic governance</u>, as reflected in national commitments and Multilateral Agreements
Criterion 1 – Ensure the transparency and accountability of <u>fiduciary and fund management systems</u> linked to REDD+ activities
Criterion 2 – Ensure legitimacy and accountability of all bodies representing <u>relevant stakeholders</u>, including through establishing responsive feedback and grievance mechanisms
Criterion 3 – Ensure transparency and <u>accessibility of information</u> related to REDD+, including active dissemination among <u>relevant stakeholders</u>
Criterion 4 – Ensure the <u>full and effective participation</u> of <u>relevant stakeholders</u> in design, planning and implementation of REDD+ activities, with particular attention to <u>indigenous peoples</u>, local communities and other <u>vulnerable and marginalized groups</u>
Criterion 5 – Promote coordination, efficiency and effectiveness among all <u>agencies</u> and implementing bodies relevant to REDD+[8]
Criterion 6 – Promote and support the <u>rule of law</u>, <u>access to justice</u> and effective remedies[9]
Principle 2 – Respect and protect stakeholder rights in accordance with international obligations[10]
Criterion 7 – Respect and promote the recognition and exercise of the rights of <u>indigenous peoples</u>, local communities and other <u>vulnerable and marginalized groups</u> to land, territories and resources, including carbon
Criterion 8 – Promote and enhance <u>gender equality</u>, <u>gender equity</u> and women's empowerment
Criterion 9 – Seek <u>free, prior and informed consent</u> of <u>indigenous peoples</u> and respect and uphold the decision taken (whether consent is given or withheld)[11]
Criterion 10 – Ensure there is no <u>involuntary resettlement</u> as a result of REDD+
Criterion 11 – Respect and protect <u>traditional knowledge</u>, and <u>cultural heritage</u> and practices[12]

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[7] As mentioned, the Principles and Criteria apply to the design, planning and implementation of national REDD+ programmes, including the review of activities.

[8] Including cooperation between countries, across different levels of government and with sectors outside the forest sector

[9] In accordance with international human rights laws and including supporting access to complaints and redress mechanisms for vulnerable and marginalised groups

[10] This includes human rights, statutory and customary rights, and collective rights

[11] In accordance with the UN-REDD Guidelines on FPIC

[12] Including traditional livelihoods and customary use of forest land and resources, and ensuring that benefits from this knowledge are equitably shared

Principle 3 – Promote sustainable livelihoods and poverty reduction

Criterion 12 – Ensure equitable, non-discriminatory and transparent benefit sharing among relevant stakeholders with special attention to the most vulnerable and marginalized groups[13]

Criterion 13 – Protect and enhance economic and social well-being of relevant stakeholders, with special attention to the most vulnerable and marginalized groups[14]

Principle 4 – Contribute to low-carbon, climate-resilient sustainable development policy, consistent with national development strategies, national forest programmes, and commitments under international conventions and agreements

Criterion 14 – Ensure consistency with and contribution to national climate policy objectives, including those of mitigation and adaptation strategies and international commitments on climate

Criterion 15 – Address the risk of reversals of REDD+ achievements, including potential future risks to forest carbon stocks and other benefits to ensure the efficiency and effectiveness of REDD+

Criterion 16 – Ensure consistency with and contribution to national poverty reduction strategies and other sustainable development goals (including those outlined under the Millennium Development Goals framework), including alignment with ministries' and sub-national strategies and plans that may have an impact on, or be affected by the forest sector and/or land use change

Criterion 17 – Ensure consistency with and contribution to national biodiversity conservation policies (including National Biodiversity Strategies and Action Plans), other environmental and natural resource management policy objectives, national forest programmes, and international commitments on the environment

Principle 5 – Protect natural forest[15] from degradation and/or conversion

Criterion 18 – Ensure that REDD+ activities do not cause the conversion of natural forest[16] to planted forest, unless as part of forest restoration, and make reducing conversion of forests to other land uses (e.g. agriculture, infrastructure) a REDD+ priority

Criterion 19 – Avoid or minimise degradation of natural forest[17] by REDD+ activities and make reducing degradation due to other causes (e.g. agriculture, extractive activities, infrastructure) a REDD+ priority

Criterion 20 – Avoid or minimise indirect land-use change impacts of REDD+ activities on forest carbon stocks, biodiversity and other ecosystem services

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[13] Noting that benefits may include both financial and non-financial benefits as defined in the glossary

[14] Taking into account indigenous peoples' development visions, concepts and their traditional livelihoods

[15] This document uses the term « natural forest » synonymously with « naturally regenerated forest » as per definition provided by FAO.

[16] Ib idem.

[17] Ib idem.

Principle 6 – Maintain and enhance multiple functions of forest including conservation of biodiversity and provision of ecosystem services

Criterion 21 – Ensure that land-use planning for REDD+ explicitly takes account of potential synergies and trade-offs between the multiple functions of forest and the benefits they provide, respecting local and other stakeholders' values

Criterion 22 – Ensure that planted and natural forests[18] are managed to maintain and enhance ecosystem services and biodiversity important in both local and national contexts

Principle 7 – Avoid or minimise adverse impacts on non-forest ecosystem services and biodiversity

Criterion 23 – Avoid or minimise adverse impacts on carbon stocks, other ecosystem services and biodiversity of non-forest ecosystems resulting directly from REDD+ activities

Criterion 24 – Avoid or minimise adverse impacts on carbon stocks, other ecosystem services and biodiversity of non-forest ecosystems resulting indirectly from REDD+ activities (including those of indirect land-use change impacts and intensification of land use)

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[18] Ib idem.

Table 2: UN-REDD Programme Social and Environmental Principles and Criteria: Glossary of Key Terms

Accessibility of information: calls for information to be accessible, clear, consistent and accurate and delivered in appropriate language, format (including video, graphics, radios, documentaries, photos) and in due time. It is part of a broader principle of access to information that includes a legal and regulatory environment for freedom of information, awareness on rights to official information, communication mechanisms, and independent and pluralist media. See UNDP's Democratic Governance Reader.
Access to justice: includes legal protection, legal awareness, legal aid and counsel, adjudication, enforcement, and oversight (by parliaments, national human rights commission, CSOs etc). See UNDP's Democratic Governance Reader.
Accountability: Responsibility of political actors to all members of society for their actions and decisions FAO/World Bank Framework for Assessing and Monitoring Forest Governance
Agencies: Agencies relevant to REDD+ include national and local institutions that have authority in decisions over the design and implementation of REDD+, including for example: forest, agriculture and natural resource ministries; law enforcements agencies; and financial institutions.
Benefits: Benefits from REDD+ can include financial benefits such as payments for carbon, employment or investments in local infrastructure. Non-financial benefits may also accrue from REDD+ activities, such as improved access to forests, land and non-timber forest products, and enhanced local environmental quality.
Carbon stock: The quantity of carbon contained in a "pool", meaning a reservoir or system which has the capacity to accumulate or release carbon, such as above-ground biomass or organic carbon in soil; also the total carbon contained within all the component pools of an ecosystem.
Conversion of naturally regenerated forest: The replacement of naturally regenerated forest by other land cover types, including through deforestation or through change to planted forest. **See also "deforestation", "naturally regenerated forest", "land-use change", "planted forest".**
Cultural heritage: The legacy of physical artefacts and intangible attributes of a group or society that are inherited from past generations, maintained in the present and bestowed for the benefit of future generations[19]; in a REDD+ context, this especially includes cultural values associated with specific forest species, uses or landscapes.
Deforestation: The direct human-induced conversion of forested land to non-forested land (UNFCCC Decision 11/CP.7)) and or the conversion of forest to other land use or the long-term reduction of the tree canopy below the minimum 10 percent threshold (FAO FRA 2010).
Degradation: The reduction in the capacity of a forest to provide goods and services (FAO FRA

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[19] Mesik, J. (2007). Community Foundations – A Tool for Preservation of Cultural Heritage, *World Bank Social Development Notes* http://siteresources.worldbank.org/INTCHD/Resources/430063-1250192845352/sdn108-CommFoundations-web.pdf

2010). **See also "deforestation".**

Democratic governance: Like "good" governance, democratic governance is concerned with the efficiency of institutions and rules, but it also addresses their fairness and the way they are developed through democratic processes in which all people have a real political voice. Democratic governance emphasizes process and political legitimacy and promotes human development.

UNDP's "A Guide to UNDP Democratic Governance Practice" outlines three focus areas for democratic governance:

- Fostering Inclusive Participation
- Strengthening Accountable and Responsive Institutions
- Grounding Democratic Governance in International Principles

The principles of democratic governance are many and interrelated. Among them are equity, fairness, consensus, coordination, efficiency, transparency, accountability, effectiveness, responsiveness, participation, the rule of law, and many others. Taken together, the application of these principles constitutes norms of democratic governance.

Economic and social well-being:

Economic well-being is embodied by access to and secure control over financial and material assets, land and territories, in particular those that are the basis for economic gain, income, food security, access to resources including water and timber, opportunity of employment that meets internationally recognised labour rights (including health and safety) obligations.

Social well-being is embodied by status within the community, social networks and opportunities, and social security. Ensuring social well-being requires attention to empowerment and influence on decision-making of actors within the community and beyond, including the freedom to express opinion without the fear of negative consequences.

Ecosystem services: Ecosystem services are the benefits people obtain from ecosystems. These include provisioning services such as food, water, timber, and fiber; regulating services that affect climate, floods, disease, wastes, and water quality; cultural services that provide recreational, aesthetic, and spiritual benefits; and supporting services such as soil formation, photosynthesis, and nutrient cycling (Millennium Ecosystem Assessment 2005).

Extractive activities: Removal of resources from the forest. These include timber, fuelwood, minerals and non-timber forest products.

Equitable: Dealing fairly, justly and impartially with all relevant stakeholders.

Fiduciary and fund management systems: Systems associated with the transfer, management and distribution of funds and assets.

Forest: National definitions of forest may vary; of interest here is the definition used for reporting at international level. Commonly this is based on either

(a) the UNFCCC's Kyoto Protocol definition, "a minimum area of land of 0.05–1.0 hectare with tree crown cover (or equivalent stocking level) of more than 10–30 per cent with trees with the potential to reach a minimum height of 2–5 metres at maturity in situ. A forest may consist either of closed forest formations where trees of various storeys and undergrowth cover a high proportion of the ground or open forest. Young natural stands and all plantations which have yet to reach a crown density of 10–30 per cent or tree height of 2–5 metres are included under forest, as are areas normally forming part of the forest area which are temporarily unstocked as a result of human intervention such as harvesting or natural causes but which are expected to revert to forest"

(b) the FAO Forest Resource Assessment definition, "An area of land spanning more than 0.5 hectares with a canopy cover (or equivalent stocking level) of more than 10 percent with trees with the potential to reach a minimum height of 5 meters at maturity in situ. It does not include land that is predominantly under agricultural or urban land use". ([FAO FRA 2010](#)).

Free, Prior and Informed Consent (FPIC): The collective right to give or withhold free, prior and informed consent, which applies to all activities, projects, legislative or administrative measures and policies that take place in or impact the lands, territories, resources or otherwise affect the livelihoods of indigenous peoples[20]. Free, prior and informed consent is founded in the rights articulated in the [UN Declaration on the Rights of Indigenous Peoples](#) and further elaborated by the [International Workshop on Methodologies Regarding Free Prior and Informed Consent](#). Please see the [draft UN-REDD Programme Guidelines for Seeking the Free, Prior, and Informed Consent of Indigenous Peoples and other Forest Dependent Communities](#) for further information.

Full and effective participation: Meaningful influence of all relevant stakeholder groups who want to be involved throughout the process, and includes consultations and free, prior and informed consent'. Guidance on full and effective participation is provided by [the UN-REDD Programme and FCPF Guidelines on Stakeholder Engagement in REDD+](#).

Gender equality: Refers to the equal rights, responsibilities and opportunities of women and men and girls and boys. Equality does not mean that women and men will become the same but that women's and men's rights, responsibilities and opportunities will not depend on whether they are born male or female. Gender equality implies that the interests, needs and priorities of both women and men are taken into consideration—recognizing the diversity of different groups of women and men. Gender equality is not a 'women's issue' but should concern and fully engage men as well as women. Equality between women and men is seen both as a human rights issue and as a precondition for, and indicator of, sustainable people-centered development.

Gender equity: Gender equity means fairness and impartiality in the treatment of women and men in terms of rights, benefits, obligations and opportunities ([see FAO](#) gender programme).

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[20] Synthesized from UNDRIP articles enumerated below, in particular Art 1, 19, 12, 32.

Indigenous peoples: The terms "indigenous peoples," "indigenous ethnic minorities," and "tribal groups" are used to describe social groups that share similar characteristics, namely a social and cultural identity that is distinct from dominant groups in society. United Nations human rights bodies, ILO, the World Bank and international law apply four criteria to distinguish indigenous peoples:

(a) indigenous peoples usually live within (or maintain attachments to) geographically distinct ancestral territories;

(b) they tend to maintain distinct social, economic, and political institutions within their territories;

(c) they typically aspire to remain distinct culturally, geographically and institutionally rather than assimilate fully into national society; and

(d) they self-identify as indigenous or tribal.

Despite common characteristics, there does not exist any single accepted definition of indigenous peoples that captures their diversity as peoples. Self-identification as indigenous or tribal is usually regarded as a fundamental criterion for determining whether groups are indigenous or tribal, sometimes in combination with other variables such as language spoken, descent from a pre-colonial group, customs and traditions, geographic location or concentration. The rights of Indigenous Peoples are articulated in the [UN Declaration on the Rights of Indigenous Peoples](#) (UNDRIP). See also FPIC definition for further information on the rights of Indigenous Peoples.

Indirect land-use change: If REDD+ activities prevent either an existing use of forest (e.g. grazing) or a change in land use (e.g. to agriculture), but do not reduce the relevant drivers, the land use may then occur in another area. This is 'indirect land-use change'. **See also "[land-use change](#)".**

Infrastructure: Basic physical structures for human use. Includes but is not limited to urban structures and transport, telecommunications and water networks.

Involuntary resettlement: Physical or economic displacement or relocation without the displaced person's informed consent or power of choice, or where the consent or choice is being exercised in the absence of reasonable alternative options.

Land-use change: A change in the use or management of land by humans, which may lead to a change in land cover. Land-use change may include conversion from natural ecosystems to agriculture, development of infrastructure or commencement of [extractive activities](#). **See also "[natural ecosystems](#)".**

Low carbon: Low-carbon systems minimise net carbon dioxide emissions from human activity.

Multiple functions of forest: These include the production of goods, protection of soil and water, conservation of biodiversity and provision of socio-cultural services ([FAO FRA 2010](#)).

National forest programmes: "a generic term for a wide range of approaches to sustainable forest management within different countries, to be applied at national and subnational levels based on the basic principles outlined below. It emphasized that national forest programmes demand a

broad intersectoral approach at all stages, including the formulation of policies, strategies and plans of action, as well as their implementation, monitoring and evaluation. National forest programmes should be implemented in the context of each country's socio-economic, cultural, political and environmental situation, and should be integrated into wider programmes for sustainable land use, in accordance with chapters 10 to 15 of Agenda 21. The activities of other sectors, such as agriculture, energy and industrial development, should be taken into account". Intergovernmental Panel on Forests E/CN.17/1997/12

Natural ecosystems: Ecosystems composed primarily of indigenous species, not established by human intervention and with limited human impact.

Naturally regenerated forest: Forest predominantly composed of trees established through natural regeneration. This can include primary forests (naturally regenerated forests where there are no clear indication of human induced activities and the ecological process is not significantly disturbed) and other naturally regenerated forests (where there clear indication of human induced activities) (FAO FRA 2010) .

Natural resource: Any portion of the natural environment, such as air, water, soil, plants and animals, and minerals (based on FAO 1998 Terminology for Integrated Resources Planning and Management)**.**

Other forest dependent communities: The draft UN-REDD Programme Guidelines for Seeking the Free, Prior, and Informed Consent of Indigenous Peoples and other Forest Dependent Communities extends the right to free, prior and informed consent to indigenous peoples and other forest dependent communities, defined as follows "Directly or indirectly affected indigenous peoples, tribal groups, ethnic minorities and other forest dependent communities have the right to give or withhold their consent, through their own representative institutions and following their own decision-making processes, regarding activities, proposals, legislative and administrative measures, and policies that may affect their land, territories, resources or livelihoods. All customary and formal rights holders should be represented in the decision-making process (including men, elders, women, youth, children, persons with disabilities, and the poor)."

Planted forest: Forest/Other wooded land of indigenous or introduced species, predominantly established through planting or deliberate seeding. Predominantly in this context is defined as greater than 50% o growing stock at maturity. This definition includes coppice and excludes self-sown tree of introduced species. (FAO FRA 2010)

Relevant stakeholders: Relevant stakeholders are those groups that have a stake or interest in the forest and those that will be affected either negatively or positively by REDD+ activities. Relevant stakeholders include rights holders, those groups whose rights (human rights, customary or statutory rights, and/or collective rights) will be affected by REDD+ activities. These groups include relevant government agencies, formal and informal forest users, private sector entities, civil society, indigenous peoples and other forest dependent communities (as defined by the UN-REDD Programme and FCPF Guidelines on Stakeholder Engagement in REDD+)."

Reversals: Losses of forest carbon stocks or other benefits that had earlier been successfully

retained or enhanced by REDD+.

Rule of law: "A principle of governance in which all persons, institutions and entities, public or private, including the state itself, are accountable to laws that are publicly promulgated, equally enforced and independently adjudicated, and which are consistent with international human rights norms and standards. It requires measures to ensure adherence to the principles of supremacy of the law, equality before the law, accountability to the law, separation of powers, participation in decision-making, legal certainty, avoidance of arbitrariness and procedural and legal transparency."(UN-wide definition, http://www.un.org/en/ruleoflaw/index.shtml).

Sustainable Livelihoods: Sustainable livelihoods can be defined by the five capitals of the Sustainable Livelihoods Approach that link different types of assets to the livelihoods of the poor. These include: Human, Social, Natural, Physical and Financial capital.

Traditional knowledge: "...the manifestations of [indigenous peoples] sciences, technologies and cultures, including human and genetic resources, seeds, medicines, knowledge of the properties of fauna and flora, oral traditions, literatures, designs, sports and traditional games and visual and performing arts" (UN Declaration on the Rights of Indigenous Peoples).

Vulnerable and marginalized groups: Relevant stakeholder groups that are lacking assets for secure, sustainable, livelihoods and/or lack influence over decision-making processes including, for example, women, youth, elders, the disabled and the poor.

Annex 1: Relationship of Proposed Principles with Cancun safeguards (update to Exhibit 2 of UNREDD/PB5/2010/INF/4)

The proposed Principles were developed from the Cancun safeguards, and typically each responds to more than one safeguard. The Principles may not comprehensively cover the issues raised by the safeguards.

Principle	Relevant section of Cancun Agreements, Annex I
Principle 1 –Apply norms of democratic governance, as reflected in national commitments and Multilateral Agreements	2(b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty 2(d) The full and effective participation of relevant stakeholders, in particular, indigenous peoples and local communities (…)
Principle 2 – Respect and protect stakeholder rights in accordance with international obligations	2(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 General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples
Principle 3 – Promote sustainable livelihoods and poverty reduction	2 (e) Actions are (...) used to (...) enhance other social and environmental benefits (...)[1] [1]Taking into account the need for sustainable livelihoods of indigenous peoples and local communities and their interdependence on forests in most countries, reflected in the United Nations Declaration on the Rights of Indigenous Peoples, as well as the International Mother Earth Day.
Principle 4 – Contribute to low-carbon, climate-resilient sustainable development policy, consistent with national development strategies, national forest programmes and commitments under international conventions and agreements	2(a) Actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements 2(f) Actions to address the risk of reversals

Principle 5 – Protect natural forest[21] from degradation and/or conversion	2(e) Actions are consistent with the conservation of natural forest[22]s and biological diversity, ensuring that actions (…) are not used for the conversion of natural forest[23]s but are instead used to incentivize the protection and conservation of natural forests[24] and their ecosystem services (…)
Principle 6 – Maintain and enhance multiple functions of forest including conservation of biodiversity conservation and provision of ecosystem services	2(e) Actions (…) incentivize the protection and conservation of natural forests and their ecosystem services (…) 2(e) Actions are (…) used to (…) enhance other social and environmental benefits
Principle 7 – Avoid or minimise adverse impacts (direct and indirect) on non-forest ecosystem services and biodiversity	2(e) Actions that are consistent with the conservation of… biological diversity… 2(g) Actions to reduce displacement of emissions

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[21] See footnote 15.
[22] Ib idem.
[23] Ib idem.
[24] Ib idem.

Annex 2: How UN-REDD Programme Operational Guidance supports the Social and Environmental Principles and Criteria

The UN-REDD Programme has developed or is developing specific guidance on a number of safeguard issues. This guidance directly informs the steps that countries receiving support from the UN-REDD Programme should take in order to minimize risks and maximize benefits from readiness support for the following Criteria:

UN-REDD Programme Social and Environmental Principles and Criteria	UN-REDD Programme Operational Guidance
Criterion 4 – Ensure the full and effective participation of relevant stakeholders, in particular, indigenous peoples and forest dependent communities, with special attention to the most vulnerable and marginalized groups	FCPF and UN-REDD Programme Guidelines on Stakeholder Engagement in REDD+
Criterion 8 – Promote and enhance gender equality and equity and women's empowerment	UN-REDD Programme Operational Guidance on Mainstreaming Gender in REDD+ (Pending)
Criterion 9 – Seek free, prior and informed consent of indigenous peoples and other forest dependent communities and respect and uphold the decision taken (whether consent is given or withheld)	UN-REDD Programme Guidelines for Seeking the Free, Prior, and Informed Consent of Indigenous Peoples and other Forest Dependent Communities (Draft)

Any future Operational Guidance will be linked to the Social and Environmental Principles and Criteria as relevant.

Annex 3: Sources Consulted

The UN-REDD Programme Social and Environmental Principles and Criteria have been informed by the following safeguard frameworks and initiatives relevant to REDD+:

CDM Gold Standard Foundation: http://www.cdmgoldstandard.org

Center for International Forestry Research (CIFOR): 'Realising REDD+: National strategy and policy options', 2009, http://www.cifor.cgiar.org/Knowledge/Publications/Detail?pid=2871

Climate Community & Biodiversity Alliance (CCBA) and CARE International: 'Draft REDD+ Social & Environmental Standards', 15 January 2010

Convention on Biological Diversity: Decision X/33 Biodiversity and Climate Change. http://www.cbd.int/decision/cop/?id=12299

Convention on Biological Diversity: Outcomes of the Global Expert Workshop on Biodiversity Benefits of Reducing Emissions from Deforestation and Forest Degradation in Developing Countries. Nairobi, 20-23 September 2010. UNEP/CBD/WS-REDD/1/3. http://www.cbd.int/doc/?meeting=EWREDD-01

FAO & World Bank, Framework for Assessing and Monitoring Forest Governance, 2011 http://www.fao.org/docrep/014/i2227e/i2227e00.pdf

Forest Carbon Partnership Facility (FCPF): 'Incorporating Environmental and Social Considerations into the Process of Getting Ready for REDD plus', Revised Draft, 7 March 2010

Forest Stewardship Council (FSC): FSC principles and criteria for responsible forest management, http://www.fsc.org/pc.html

Helen Clark, UNDP Administrator: Opening remarks at the 23rd Session of the International Coordinating Committee of National Institutions for the Promotion and Protection of Human Rights (ICC), Geneva, March 2010

IDB (Inter-American Development Bank): 'Operational Policy on Involuntary Resettlement', http://www.iadb.org/topics/index.cfm?lang=en

International Institute for Environment and Development (IIED): Forest Governance Learning Group, http://www.iied.org/natural-resources/key-issues/forestry/forest-governance-learning-group

International Labor Organization (ILO):

Convention 29 (forced labor), http://www.ilo.org/ilolex/cgi-lex/ratifce.pl?C029,

Convention 87 (freedom of association), http://www.ilo.org/ilolex/cgi-lex/ratifce.pl?C087

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Annex 4 – Summary of Previous Consultations on the Principles and Criteria

As a part of the process, a number of initial consultations with experts have taken place and the social Principles and Criteria have been presented and discussed at a number of fora, including:

- April 2010 – Workshop on Ecosystem-Based Multiple Benefits of REDD+, WCMC Cambridge
- June 2010- Transparency International Workshop on Climate Governance, Berlin
- June 2010 – Rights and Resources Initiative dialogue, Washington DC
- June 2010- UN-REDD workshop on Addressing Deforestation and Degradation through Multiple Benefits of Forests and REDD+, Nairobi
- July 2010- CCBA/CARE consultation on REDD+ SES, Washington DC
- August 2010 - detailed technical comments from CCBA, CARE and Rainforest Alliance
- October 2010 - Independent comparative analysis of UN-REDD social principles, REDD+ SES and FCPF SESA, undertaken by Proforest (commissioned by CCBA/CARE)
- October 2010 - Presentation of Social Risk Identification and Mitigation tool, 5th UN-REDD Programme Policy Board meeting, Washington DC
- November 2010 - Background Paper prepared for the REDD+ Partnership Workshop on Enhancing Coordinated Delivery of REDD+: Emerging Lessons, Best Practices and Challenges, Cancun, Mexico 26 November 2010.
- March 2011 – Presentation of the Social and Environmental Principles and Criteria (SEPC) version 1, 6th UN-REDD Programme Policy Board meeting, Da Lat, Vietnam
- June 2011 - Three events at UNFCCC SBSTA 34 in Bonn: Ecuador / UN-REDD Programme side event 'Progress in addressing REDD+ safeguards'; CBD mini-workshop on Biodiversity Safeguards of REDD+; CBD/UN-REDD Programme joint side event on Biodiversity Safeguards of REDD+.
- July 2011 - CBD's "Latin America – Caribbean Regional Consultation and Capacity Building Workshop on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (REDD-plus), Including on Relevant Biodiversity Safeguards" in Quito, Ecuador. Draft shared for participants' comments.
- July – August 2011 – SEPC (version 2) circulated for comment from Policy Board, Independent Advisory Group on Rights, Forests and Climate Change, and selected independent experts and presented for input in Democratic Republic of the Congo, Nigeria and Vietnam.
- October 2011 – January 2012 - Public consultation on SEPC (version 3)
- December 2011 – January 2012 – Public consultation on Benefits and Risk Tool (BeRT)
- February 2012 – Global workshop on SEPC and BeRT, Geneva, reviewing feedback from consultation, proposing changes to SEPC text and discussing applications