



Progress Report on the Social and Environmental Principles and Criteria

UN-REDD PROGRAMME SEVENTH POLICY
BOARD MEETING

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UN-REDD Programme Update

Progress Report on the Social and Environmental Principles and Criteria

October 2011 UN-REDD Programme Policy Board

Background

The 6th meeting of the UN-REDD Policy Board requested a progress report on the Social and Environmental Principles and Criteria currently under development by the UN-REDD Programme. This note intends to provide an overview of the proposed purpose and application of the Principles and Criteria and the process for their development, as well as to highlight their linkages with the Programme's broader work on ensuring social and environmental benefits from REDD+ and addressing safeguards, as a basis for discussion at the 7th meeting of the UN-REDD Policy Board.

Purpose and application

REDD+ has the potential to deliver substantial benefits beyond carbon. However, fulfilling this potential depends on careful planning and implementation that effectively address such issues as monitoring, transparent and effective governance, participation, inclusiveness of all stakeholders and respect to indigenous people's rights will be addressed. Accordingly, the UN-REDD Programme is working with partners and REDD+ countries to develop tools and guidance to enhance the multiple benefits of REDD+ and reduce risks from inadequate planning and implementation.

As part of this work, a set of Social and Environmental Principles and Criteria are being developed ([available for review here](#)). The Principles and Criteria are intended to contribute to the UN-REDD Programme's developing framework for ensuring that the Programme's activities contribute effectively to promoting social and environmental benefits and reduce any potential risk from REDD+ implementation. In particular, we propose that the Principles and Criteria are used by the UN-REDD Programme as a tool for: i) assisting countries in formulating national REDD+ programmes and initiatives for which they seek UN-REDD support; ii) reviewing national programmes prior to submission for a UN-REDD Policy Board decision on funding and iii) assessing national programme delivery.

The Principles and Criteria are coherent with and draw from the guidance provided by the Cancun agreements, and emerge from the existing rich body of knowledge and literature on safeguards, standards and certification. They consist of broad principles (overarching, fundamental, active statements) within which a list of criteria have been identified as conditions to be met by UN-REDD Programme-funded activities in order to contribute to the achievement of the Principles.

To support the practical application of the Principles and Criteria, the UN-REDD Programme intends to develop in coordination with REDD+ countries and stakeholders an accompanying tool that can assist national REDD+ teams in designing and implementing national programmes in accordance with the Principles and Criteria¹. In addition, the UN-REDD Programme intends to adjust its reviewing and reporting procedures to address the Social and Environmental Principles and Criteria.

¹ The Tool elaborates a series of questions under each criterion to assist UN-REDD Programme staff, national counterparts and other stakeholders in the identification of issues to be addressed in order to minimize the risks and enhance the multiple benefits from UN-REDD Programme supported readiness activities. The Tool also creates concrete linkages between the Principles and Criteria, relevant multilateral agreements and issue-specific guidelines developed by the UN-REDD Programme.

Development process

The Principles and Criteria are being developed in collaboration between UNDP and UNEP, with input from FAO, under the UN-REDD Programme.

The Principles and Criteria first draft 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. They were subsequently revised based on input received following the Policy Board meeting and a new version 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. Box 1 provides a full list of consultations and events where the Principles and Criteria have been presented and discussed.

Box 1: Consultations and events where the Principles and Criteria have been presented and discussed

- 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 draft 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 (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 – Principles & Criteria (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 Viet Nam.
- September 2011 – Principles & Criteria (version 3) presented in Tanzania’s workshop on safeguards to inform the training of stakeholders and the planning of the national REDD+ safeguards system.

Subject to the outcome of the discussion at the 7th Policy Board meeting, it is proposed that an updated version of the Principles and Criteria, along with the accompanying Tool, be used as a basis for a public consultation process from October 2011 – December 2011 consisting of:

- information and feedback sessions at upcoming international REDD+ gatherings;
- facilitated consultations with pilot REDD+ countries;

- and circulation for input through an online public review process.

Additionally, a dedicated UN-REDD Programme workshop on the Principles and Criteria will be convened.

The Principles and Criteria have been greatly enriched through the consultations held so far and further comments, discussions and questions are encouraged (please send any such input to ccb@unep-wcmc.org). It is proposed that a final version of the Principles and Criteria will be submitted to the UN-REDD Policy Board at the March 2012 meeting for approval.

UN-REDD's work on safeguards

The Principles and Criteria are an important contribution to the UN-REDD Programme's initiatives at both national and global levels that are responding to the Cancun Agreement call for work on safeguards.

At the national level, many countries are actively engaged in developing nationally appropriate standards and safeguards and developing national programmes that will deliver on more than just carbon. For instance, in the Democratic Republic of Congo, the *Réseau Ressources Naturelles* (RRN) and the National REDD+ Coordination Unit, supported by the UN-REDD Programme, have developed a first set of standards through a consultative process. More than 300 farmers, fishers, hunters, healers, customary leaders, small scale entrepreneurs and private sector employees involved in the project now have, as an additional benefit, a better understanding of REDD+ and what is at stake. Another example is Nigeria, where the Federal and Cross River State officials are committed to designing a national programme that delivers multiple benefits and incorporates safeguards. A team met in August for a technical consultation to review the draft National Programme Document as well as the draft UN-REDD Principles and Criteria. This dual approach provided feedback on the draft Principles and Criteria and identified both areas in the National Programme that met the Criteria and areas with potential for improvement. These and other national processes will continue to provide valuable input and grounding for the Principles and Criteria as they develop further.

At the global level, the Principles and Criteria are one of several initiatives distributed across the breadth of the UN-REDD Programme that will both contribute to strengthening countries' capacities with respect to safeguards and enhance the delivery of the UN-REDD programme as a whole. As described in the *Support to Country Actions: Global Programme Framework Document 2011-2015*², these efforts include Guidelines on Stakeholder Engagement, Participatory Governance Assessments and tools and methods for MRV and Monitoring as well as assessing multiple benefits from REDD+. Currently also under development are Operational Guidance on Mainstreaming Gender in REDD+ and Guidelines for Seeking the Free, Prior, and Informed Consent of Indigenous Peoples and other Forest Dependent Communities, and approaches to addressing and sharing information on REDD+. Together, these and other activities support and inform the development and application of the Principles and Criteria. As these initiatives develop further, the Programme will provide a more comprehensive account of its efforts on safeguards at Policy Board 8.

² Approved as of 9 August 2011: see

http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=5534&Itemid=53