Myanmar Mangroves - Training of the Trainers (ToT) -

Operationalising REDD+ Safeguards in Community Forestry in Myanmar

Day 1 - 10 November 2022

UN-REDD Technical Assistance project **'Integrating mangroves sustainable management, restoration and conservation into REDD+ Implementation in Myanmar'**

Interpretation

Housekeeping

Recording: This workshop is recorded, please let us know if you have any objections

Microphone and Camera: Your microphone and camera will be switched off when you enter the meeting. Please turn your camera on and keep your microphone muted when you aren't speaking.

Questions: If you would like to comment or ask a question, please type it in the **chat box** accessible from the bottom of your screen. You can also use the '**raise a hand**' function when you would like to speak

Support: If you have any technical issues, please send a direct message to [**Technical support – Mel Wheeler**] via the chat or email to **mel.wheeler@unep-wcmc.org**

Day 1

Myanmar Time (length)	Session	Presenter
15h30 – 15h50 **(20mins)**	Welcome, opening remarks and introductions	UN-REDD project advisors; (tbc)
15h50 – 16h05 **(15mins)**	Pre-survey results and introduction to safeguards	UNEP-WCMC facilitators
16h05 – 16h30 **(25mins)**	Myanmar safeguards approach, safeguards guidance and steps, and key safeguards instruments	UNEP-WCMC facilitators
Tea / stretch break – 5 mins		
16h35 – 16h55 **(20mins)**	Importance of REDD+ planning, introduction to checklists on planning and consultation (1.1), and stakeholder participation and coordination (3.1)	UNEP-WCMC facilitators
16h55 – 17h25 **(30mins)**	Case study: profile of War-Kone mangrove community and exercise on planning step	UNEP-WCMC facilitators | MERN | UN-REDD facilitators
17h25 – 17h30 **(5mins)**	Recap the day	UNEP-WCMC facilitators

Introductions and Ice-breaker

In the chat please share:
1) Your name (e.g. Sarah Beard)
2) Your job (e.g. Associate Programme Officer)
3) Your favourite mangroves species (e.g. Dugong)

Results of the pre-training survey
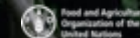
UN-REDD
PROGRAMME

Food and Agriculture
Organization of the
United Nations

UNDP

UN environment programme

Participant's previous knowledge about Safeguards

INSTRUMENTS

Most known: Benefit sharing;
Least known: Grievance Redress Mechanisms.

POLICIES AND STANDARDS

Most known: Myanmar national REDD+ Safeguards;
Least known: United Nations Development Programme (UNDP) Social and Environmental Standards;
Not known: Global Environment Facility (GEF) Policy on Environmental and Social Safeguards Standards and International Finance Corporation (IFC) Performance Standards on Environmental and Social Sustainability.

USEFULNESS

Most known: Safeguards can strengthen the quality and sustainability of REDD+ implementation;
Least known: Help REDD+ to contribute to broader national priorities and goals.

Participant's expectations for the training

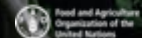| ENVIRONMENT	SOCIAL	SAFEGUARDS
Learn about the **importance of the environment** (including mangrove forests); How to promote environmental **protection and conservation**.	Learn about I**ndigenous Peoples and local communities' rights**; Different groups of **stakeholders**; Free, Prior and Informed Consent (**FPIC**); **Benefit sharing**; Enhancing **local livelihood** and **income**.	Learn how to use the **safeguards guidance** and its **checklists** in Community Forestry context (CFE, CFMP, CFEBP); How to ensure safeguards are **addressed** and **respected**; Monitoring.

Safeguards: reviewing key concepts

UN-REDD
PROGRAMME

REDD+ Safeguards?

Cancun Safeguards: A set of seven principles to reduce the potential risks of REDD+ actions and enhance their potential benefits

Country safeguards approach?

How the REDD+ safeguards are understood in the national context, and how they will be addressed and respected (e.g., through implementation of policies, laws & regulations, and procedures)

Other safeguards policies may also be relevant or applicable in some countries.

Safeguards: reviewing key concepts

Why are the safeguards needed?

In reducing CO2 emissions by avoiding deforestation, REDD+ presents both **benefits** and **risks** to people and nature.

e.g. more sustainable livelihoods and improved access to natural resources

e.g. the exclusion of indigenous peoples and local communities from decision-making

Safeguards

are measures to protect or to **avoid risks** (do no harm), while **promoting benefits** (do good).

The three key REDD+ safeguards requirements under the UNFCCC are:

1. Safeguards need to be **'addressed' and 'respected'** throughout REDD+ implementation.

2. National-level **safeguards information system (SIS)** needs to be put in place.

3. **Summaries of safeguards information,** reporting on addressing and respecting, need to be produced periodically.

Addressing and respecting safeguards

"Addressed"
The governance arrangements - including policies, laws, regulations (PLRs) and the institutions – to help implement safeguards, are in place (*on paper*)

"Respected"
The arrangements are being implemented and affect real outcomes on the ground (*in practice*)

Addressing and respecting safeguards – an example from Myanmar

Myanmar National Clarification of Cancun Safeguards

Principle D. Criterion D1. The participation of stakeholders in planning and implementation of Policies and Measures should be actively sought, and stakeholder groups with low capacity to participate (such as women, poor people, small ethnic groups, groups without documented land rights) should be supported through appropriate arrangements (e.g., capacity-building, choice of suitable communication formats, taking into account language requirements and traditions).

"Addressed" or "Respected" ?
e.g., Mechanisms or platforms for stakeholder participation: National Land Use Policy (2016, Art. 19); Ethnic Rights Protection Law (2015); EIA Procedure (2015)

"Addressed" or "Respected" ?
e.g., 43 consultation workshops have been held; Awareness-raising materials about REDD+ and the NRS have been produced in 10 languages

Addressing and respecting safeguards – an example from Myanmar

Myanmar National Clarification of Cancun Safeguards

Principle D. Criterion D1. The participation of stakeholders in planning and implementation of Policies and Measures should be actively sought, and stakeholder groups with low capacity to participate (such as women, poor people, small ethnic groups, groups without documented land rights) should be supported through appropriate arrangements (e.g., capacity-building, choice of suitable communication formats, taking into account language requirements and traditions).

Addressed – on paper
e.g., Mechanisms or platforms for stakeholder participation: National Land Use Policy (2016, Art. 19); Ethnic Rights Protection Law (2015); EIA Procedure (2015)

Respected – in practice
e.g., 43 consultation workshops have been held; Awareness-raising materials about REDD+ and the NRS have been produced in 10 languages

Safeguards: reviewing key concepts

Safeguards – identifying risks and benefits of REDD+ actions

Example:

REDD+ Action

E.g. Improve protected area management, to address degradation from illegal logging

Potential benefits
E.g. improved habitat for endangered species

....

....

Potential risks
E.g. local people do not have a say in PA management

....

....

Source: UN-REDD

Which ones are potential benefits and which ones are potential risks?

Forest carbon stocks are conserved

Illegal logging gets displaced to a forest that is not protected
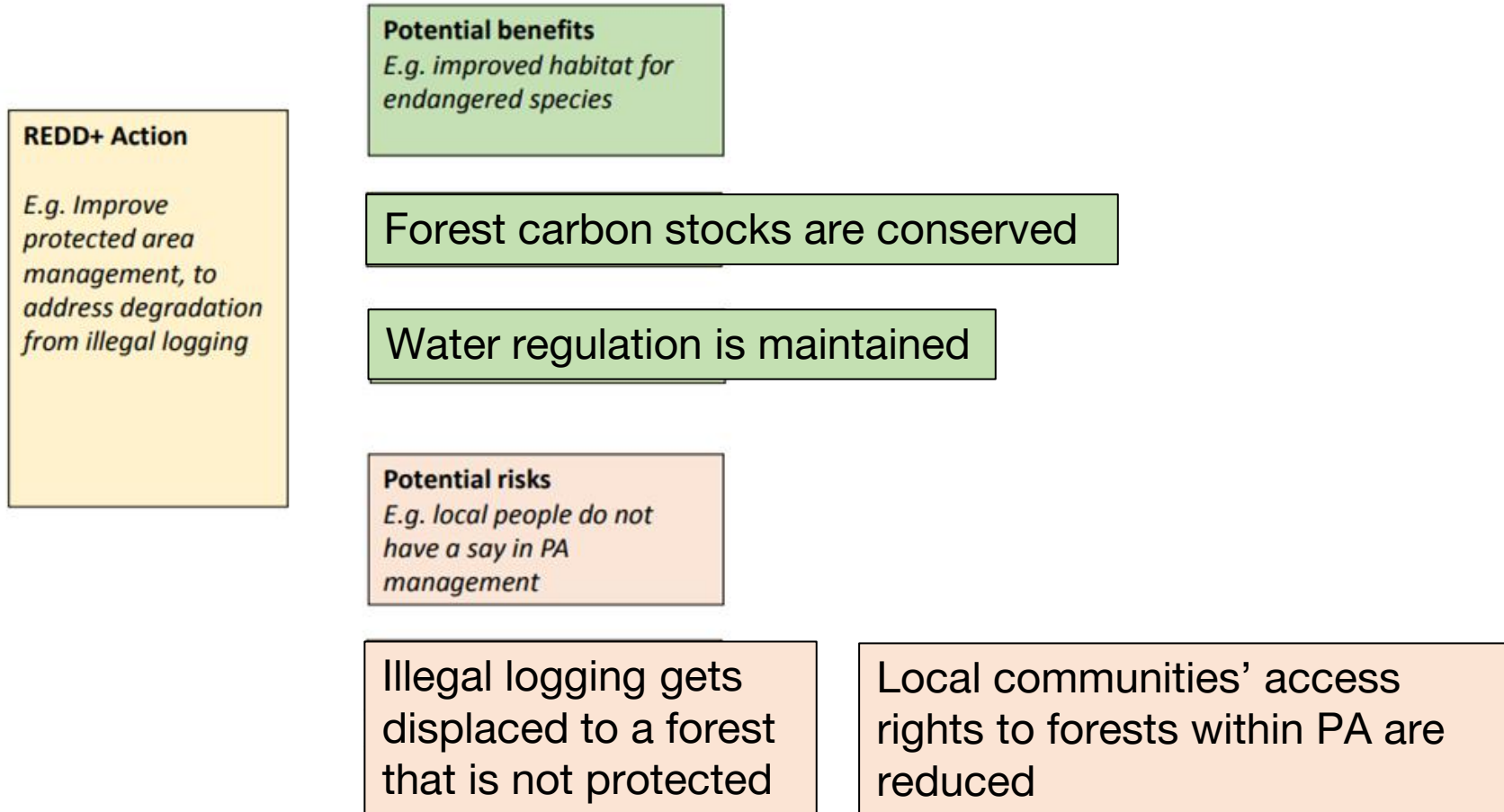
Water regulation is maintained

Local communities' access rights to forests within PA are reduced

Safeguards: reviewing key concepts

Safeguards – identifying risks and benefits of REDD+ actions

Example:

REDD+ Action

E.g. Improve protected area management, to address degradation from illegal logging

Potential benefits
E.g. improved habitat for endangered species

Forest carbon stocks are conserved

Water regulation is maintained

Potential risks
E.g. local people do not have a say in PA management

Illegal logging gets displaced to a forest that is not protected

Local communities' access rights to forests within PA are reduced

Source: UN-REDD

Safeguards risks

Why is it be important to identify safeguards risks with local stakeholders?

Select all that apply

A. Project ownership by local stakeholders

B. Protect local people from direct and indirect positive and negative consequences

C. Local stakeholders are knowledge holders who bring new perspectives to the table to identify and address risks to safeguards

D. Build capacity that help identify, manage and monitor risks

Safeguards risks

Why would it be important to identify safeguards risks with local stakeholders?

Indeed, _all of these,_ are key reasons to identify safeguards risks with local stakeholders

A. Project ownership by local stakeholders

B. Protect locals from direct and indirect positive and negative consequences

C. Local stakeholders are knowledge holders who bring new perspectives to the table to identify and address risks to safeguards

D. Build capacity that help identify, manage and monitor risks

Myanmar Safeguards: Approach and Instruments

Myanmar's National REDD+ Strategy (NRS) set out proposed Policies and Measures (PaMs) for REDD+ implementation. Its four objectives are:

1. Reducing deforestation and related carbon emissions by 30% by 2030;

1. Enhancing forest carbon stocks by 90 million tonnes of CO_2e by 2030;

1. Reducing degradation in existing over exploited forests; and

1. Preventing future forest degradation and conserving forest carbon stocks, particularly in protected areas.

Myanmar Safeguards: Approach and Instruments

The National Approach to the REDD+ Safeguards sets out Myanmar's national approach to the safeguards, including the steps followed to develop the approach, and key features and mechanisms.

I.   Analysis of **policies, laws and regulations (PLRs)** that address the safeguards;

II. Assessing the **potential benefits and risks** of REDD+ policies and measures;

III. A **clarification of the safeguards** in the national context

IV. **Institutional mandates, procedures and capacities** to ensure that the safeguards are being respected;

V.   Processes for **Free, Prior and Informed Consent (FPIC), Grievance Redress Mechanism (GRM), stakeholder engagement , etc**

VI. A **system** that makes information available on how REDD+ safeguards are being addressed and respected (SIS).

Clarification of the safeguards

The Myanmar National Safeguards Clarification interprets the meaning of the Cancun Safeguards in the Myanmar context and uses terms that are understood and accepted by a national audience.

It identifies priority issues – for example, which environmental and social co-benefits of REDD+ are most important in the Myanmar – and takes into account the country's existing framework of policies, laws and regulations.

Safeguard A
Align with forest policies, programs and international commitments

Safeguard B
Support transparent and effective forest governance

Safeguard C
Respect the knowledge and rights of communities and indigenous peoples

Safeguard D
Support full and effective stakeholder participation

Safeguard E
Conserve natural forest and biodiversity, and promote other benefits

Safeguard F
Reduce risks of reversals

Safeguard G
Reduce risks of displacement

အခြေခံစည်းမျဉ်း ၇ ချက်

Safeguard A

အခြေခံစည်းမျဉ်း က

သစ်တောမူဝါဒများ၊ အစီအစဉ်များ၊
နိုင်ငံတကာ ကတိကဝတ်များနှင့် ကိုက်ညီသည်

Safeguard B

အခြေခံစည်းမျဉ်း ခ

ပွင့်လင်းမြင်သာ၍ ထိရောက်သော
သစ်တောအုပ်ချုပ်ရေးအား ပံ့ပိုးပေးသည်

Safeguard C

အခြေခံစည်းမျဉ်း ဂ

ဌာနေတိုင်းရင်းသားများနှင့် ဒေသခံလူထု၏
အသိပညာဗဟုသုတနှင့်
အခွင့်အရေးများကို လေးစားသည်

Safeguard D

အခြေခံစည်းမျဉ်း ဃ

အကျိုးသက်ဆိုင်သူများ၏
ထိရောက်သော ပူးပေါင်းပါဝင်မှု၊
အပြည့်အဝ ပူးပေါင်းပါဝင်မှုအား
ထောက်ပံ့သည်

Safeguard E

အခြေခံစည်းမျဉ်း င

သဘာဝသစ်တောများနှင့်
ဇီဝမျိုးစုံမျိုးကွဲများအား
ထိန်းသိမ်းစောင့်ရှောက်ပြီး
အခြား အကျိုးကျေးဇူးများ မြှင့်တင်သည်

Safeguard F

အခြေခံစည်းမျဉ်း စ

မူလအခြေအနေသို့
ပြန်လည်ရောက်ရှိနိုင်မှု (reversal)
ဖြစ်နိုင်ခြေအန္တရာယ်များကို
လျှော့ချသည်

Safeguard G

အခြေခံစည်းမျဉ်း ဆ

နေရာရွှေ့ပြောင်းဖြစ်ပေါ်မှု
(displacement) အန္တရာယ်များကို
လျှော့ချသည်

Key safeguards instruments

- Assessment of environmental and social impacts

- Free, Prior and Informed Consent (FPIC)

- Grievance Redress Mechanism (GRM)

- Benefit sharing plans / mechanisms
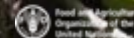
- Stakeholder engagement mechanisms

Safeguards: Guidance on implementing safeguards for REDD+ in Myanmar

Safeguards: Guidance

The **safeguards guidance document** includes background information, step-by-step instructions, and a set of checklists

Why:

to build capacity to apply the Myanmar safeguards approach and/or associated processes during the planning and implementation of REDD+ actions

Who:

Organisations, project developers and implementers who are leading planning and implementation of REDD+ actions and similar activities in Myanmar

What does it include?

Background information and guidance on best practices for:

I. REDD+ planning and assessment of impacts

II. Respecting for Free Prior and Informed Consent and Grievance Redress Mechanisms

III. Ensuring stakeholder participation, capacity building and benefit sharing

IV. Promoting transparency, information sharing and communications

V. Conserving natural forest, biodiversity and ecosystem services

VI. Avoiding reversals and displacements

VII. Monitoring and evaluation

Safeguards: Guidance

Safeguards checklists to ensure all the necessary criteria and steps have been considered in REDD+ planning and implementation

Checklist 1.1 REDD+ Planning and consultation	Checklist 1.2 Screening and impact assessment	Checklist 1.3 Carbon and non-carbon benefits
Checklist 2.1 FPIC	Checklist 2.2 GRM	
Checklist 3.1 Stakeholder participation and coordination	Checklist 3.2 Benefit Sharing	
Checklist 4.1 Information, communication and transparency		
Checklist 5.1 Natural forests, biodiversity and ecosystem services		
Checklist 6.1 Reversals and displacement		
Checklist 7.1 Monitoring and evaluation		

Questions and comments about safeguards concepts and the guidance ?

REDD+ Planning, impact assessment and consultation

(Chapter 1, Safeguards Guidance)

REDD+ planning refers to the development of actions, also called REDD+ Policies and Measures (PaMs), taken to implement REDD+, setting out:

- Objectives of the action

- Specific interventions

- Timeline

- Other important aspects for implementing REDD+, often in a particular geographic area or site.
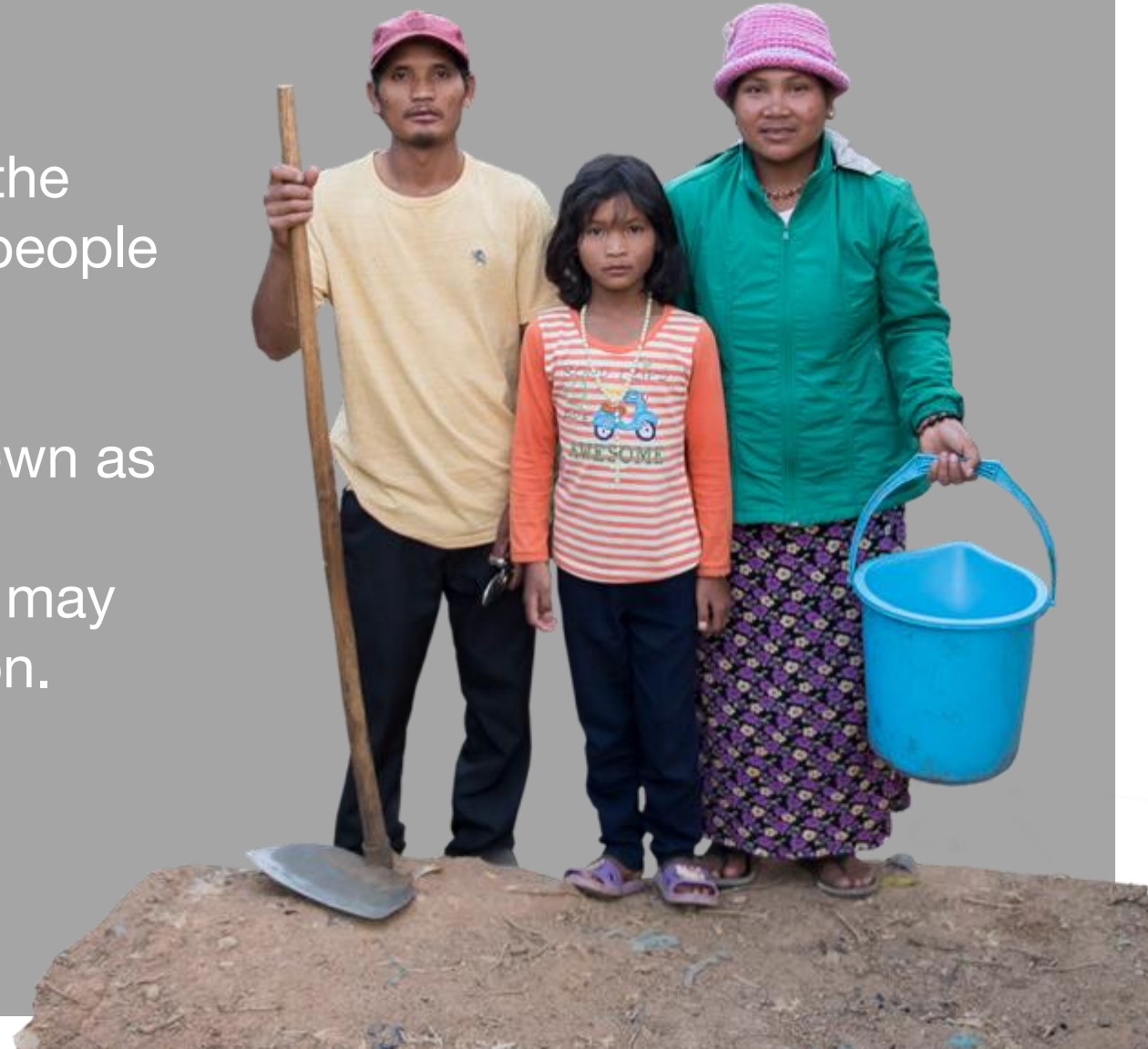
Examples of REDD+ actions:

➢ establishing a community forest

➢ promoting forest certification

➢ restoring mangroves

Robust REDD+ planning is essential for:

- feasible and sustainable REDD+ actions

- including stakeholder perspectives

- delivering the expected multiple benefits (carbon, social and environmental benefits)

- Assessing, and avoiding or minimising negative impacts

Important stage, that overlaps with many other aspects of REDD+ (e.g. conducting FPIC, reducing risks of reversals, protecting natural forest)

- **Assessment of impacts** refers to the process of considering and analysing the potential implications of an action for people and their environment.

- **Multiple benefits of REDD+**, also known as co-benefits, are the range of social, environmental, and other benefits that may be delivered by REDD+, beyond carbon.

Safeguards Guidance provides step-by-step suggestions for robust planning, impact assessment and associated consultations

A. **Prepare** for the planning process, including impact assessment

B. **Analyze** data on forest, socio-economic and environmental context

C. **Plan** through a participatory process, including impact assessment

D. **Monitor,** develop monitoring framework

E. **Budget,** prepare detailed budget budget

Key activities: REDD+ Planning

Flow diagram of a robust planning process for REDD+ (Adapted from the Sub-national REDD+ Action Plan manual)

REDD+ Planning & Consultation – Checklist 1.1

Purpose: confirm that steps and best practices for planning and consultation processes are followed during the development of REDD+ actions and to record the results.

Topics covered

- Data needs and availability
- Stakeholders for planning being identified
- Stakeholders participation
- Capacity gaps/ building
- Information about the CF made available to stakeholders
- Land tenure / land rights
- Grievance Redress Mechanism
- Social and environmental assessments (checklist 1.2)
- Monitoring and evaluation framework

Checklist should be completed towards the end of the planning stage

REDD+ Planning and Consultation: Checklists

Key checklist: Checklist 1.1 on REDD+ planning and consultation

But other checklists also relevant to planning stage:

Checklist 1.2 Screening and impact assessment

Checklist 1.3 Carbon and non-carbon benefits

Checklist 2.1 FPIC

Checklist 2.2 GRM

Checklist 3.1 Stakeholder participation and coordination

Checklist 3.2 Benefit Sharing

Stakeholder participation and coordination

(Chapter 3, Safeguards Guidance)

REDD+ Planning and Consultation: stakeholder participation and coordination

Stakeholder participation:

involvement of people who may be affected by a decision or activity, or can influence its implementation, in decision-making, and design and implementation of activities.

Capacity building:

process of developing and strengthening the skillsets, knowledge base, abilities, processes and resources of organizations, communities, and individuals.

REDD+ coordination:

structures and arrangements to be put in place to coordinate REDD+ at national and subnational level, and to manage its day-to-day implementation.
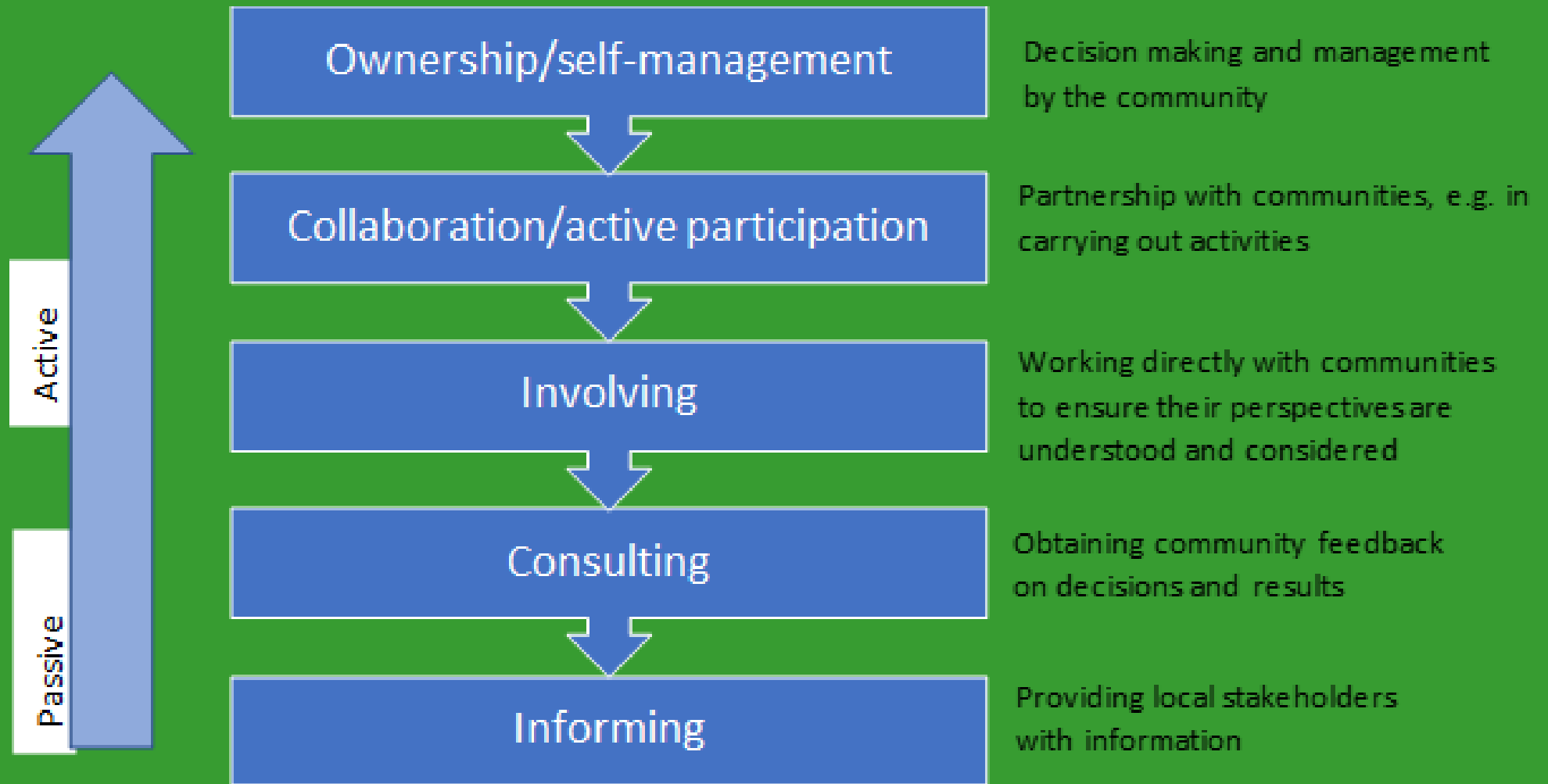
Participation in REDD+ is essential for:

- all relevant stakeholders at all stages of REDD+, from planning through to implementation and monitoring

- full and effective participation of relevant stakeholders will increase the legitimacy and sustainability of REDD+

Arrangements for inclusive participation, capacity building and information sharing must be put in place, especially to allow participation of people from local communities, ethnic groups, and marginalised societal groups.
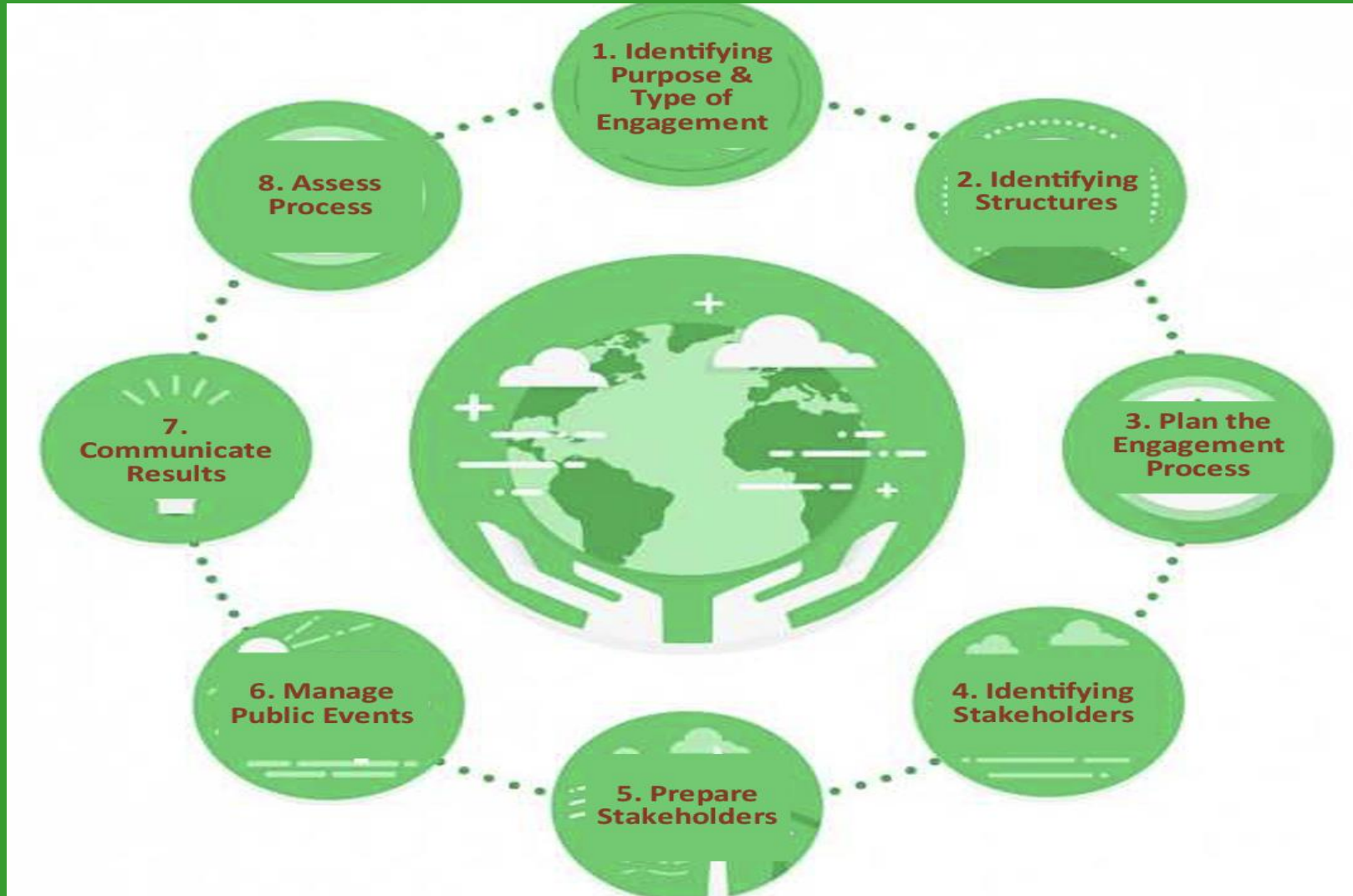
REDD+ Planning and Consultation: Importance of stakeholder participation and coordination mechanisms

Key activities: REDD+ Participation

Level	Description
Ownership/self-management	Decision making and management by the community
Collaboration/active participation	Partnership with communities, e.g. in carrying out activities
Involving	Working directly with communities to ensure their perspectives are understood and considered
Consulting	Obtaining community feedback on decisions and results
Informing	Providing local stakeholders with information

Active

Passive

Different potential levels of stakeholder participation

Eight core steps for stakeholder engagement

1. Identifying Purpose & Type of Engagement

2. Identifying Structures

3. Plan the Engagement Process

4. Identifying Stakeholders

5. Prepare Stakeholders

6. Manage Public Events

7. Communicate Results

8. Assess Process

(Stakeholder Engagement Guidelines, 2016)

Coordination in REDD+ is essential for:

- aiming to promote transparency and accountability

- strengthened cross-sector coordination of land use and land use planning

- proper consideration of social and environmental objectives

- build on existing arrangements

- promote inclusiveness

Key activities to establish/adapt robust REDD+ coordination

- Establish implementation arrangements, coordination mechanisms and cooperative activities

- Identifying key sectors involved in cross-sector coordination mechanisms

- Promote integrated land use planning and management

Stakeholder participation and coordination mechanisms – Checklist 3.1

Purpose: ensure steps have been considered and taken to promote full and effective stakeholder participation and coordination in REDD+ planning and implementation.

➢ 3.1.1 – Stakeholder participation, including capacity building for stakeholders
➢ 3.1.2 – REDD+ coordination mechanisms

Topics covered

- Stakeholders for implementation identified
  - Marginalized groups; all x representatives
- Stakeholders' capacity gaps/ building
- Stakeholder engagement plan (from implementation up to M&E)
- Coordination mechanisms (working groups, committees, etc)
- Land use or management planning

Checklist 3.1 should be completed at the beginning of implementation

Community Forestry:
Case Study

War Kone Village in Pyin-Da-Yal Reserved Forest

- Most households are Bamar ethnic majority, second largest ethnic group is Rakhine, and smallest is Kayin.

- 45 households interested in the forest conservation and reforestation programme

- Livelihoods depend on firewood, poles, posts and timber from the mangrove forests

- Objectives of forest plantation management and natural forest conservation

  - improve socio-economic well-being in the village

  - increase availability of forest products

  - environmental sustainability

Community Forest Case Study: War-Kone Village

- The typical weather is wet and humid

- Topography is mostly flat because it is in a delta.

- Seasonally submerged ponds in some places and small plots of sand dunes in some places

- The main soil type is clay; also sandy soils, and sandy mud and sand dunes

- Total community forest area is about 250 acres, of which 150 acres includes degraded forests and deserted farmland

- Most areas have been converted into farmland and the area where trees can be planted now is salty/acidic soil or in old low-yield paddy fields

- Most of the major remaining species/vegetation are Thayaw, Kanaso, Byuu, Tha-mae, Madama, Yekheyar, and there are other unwanted shrubs and weeds in some places

Forest plantation management

Proposed activities:

- Establish a 1-acre nursery
- plant first growing mangrove tree species like Tha-mae & Kant-pa-lar
  - sow about (15000) mangrove seeding in both plastic bag and seed bed every year
- Prepare plantation site and plant
- Weeding, fire protection, tending
- Rotation, felling, distribution

Natural forest conservation management

Proposed activities:

- Tend the 150 acres of existing natural degraded mangrove forest around the War-Kone village

- Practicing the regeneration improvement felling technique as necessary

- Felling after 5 years resting period

- Distribution of harvest products

Community Forestry:
Checklist exercises using the case study

Checklist exercise – 20 mins

We'll use the War-Kone case study to work on two checklists:

➢ GROUP 1: Planning & Consultation (Checklist 1.1)

➢ GROUP 2: Stakeholder participation and coordination mechanisms (Checklist 3.1).

Step 1: Choose your group

Step 2: Read through the checklist (in shared folder) and ask facilitator any questions you may have

Step 3: Each group will answer three questions from the checklist, based on what you know about War Kone (qu's already selected)

Step 4: Report back

Recap of the day: Topics covered

Safeguards introduction

REDD+ and Myanmar safeguards

Safeguards guidance

**Checklist 1.1
Planning and consultation**

**Checklist 3.1
Participation and coordination**

Community forestry case study

Day 2

Myanmar Time (length)	Session	Presenter
15h30 – 15h40 **(10 mins)**	Recap of Day 1 and Overview of Day 2	UNEP-WCMC facilitators
15h40 – 16h35 **(55 mins)**	1. FPIC, GRM and benefit sharing; 2. Natural forests, biodiversity and ecosystem services; 3. Monitoring & evaluation (M&E)	UNEP-WCMC facilitators

Tea / stretch break – 5 mins

16h40 – 17h15 **(35 mins)**	Exercise on checklists	UNEP-WCMC facilitators | UN-REDD facilitators
17h15 – 17h25 **(10 mins)**	Recap the training, post-training exercise	UNEP-WCMC facilitators
17h25 – 17h30 **(5 mins)**	Closing remarks	UNEP? FAO? UNDP?

Interpretation

Housekeeping

Recording: This workshop is recorded, please let us know if you have any objections

Microphone and Camera: Your microphone and camera will be switched off when you enter the meeting. Please turn your camera on and keep your microphone muted when you aren't speaking.

Questions: If you would like to comment or ask a question, please type it in the **chat box** accessible from the bottom of your screen. You can also use the '**raise a hand**' function when you would like to speak

Support: If you have any technical issues, please send a direct message to [**Technical support – Mel Wheeler**] via the chat or email to **mel.wheeler@unep-wcmc.org**

Previous topics and lessons:
QUIZ!

Question 1
Establishing a community forest would be an example of:
a) Addressing safeguards
b) REDD+ Policies and Measures
c) One of Myanmar's National clarifications of the Safeguards

Question 2
REDD+ Planning is essential for
a) Delivering multiple benefits and minimising negative impacts
b) Choosing which negative impacts are acceptable
c) Ensuring a participatory process and stakeholder inclusion
d) Both A and C

Question 3
Which is not a key activity for REDD+ participation and coordination?
a) Promote integrated land use planning and management
b) Identifying key sectors involved in cross-sector coordination mechanisms
c) Map natural forests or other ecosystems in the impact area
d) Establish implementation arrangements, coordination mechanisms and cooperative activities

Question 1

Establishing a community forestry would be an example of:

a) Addressing safeguards

b) **REDD+ Policies and Measures**

c) One of Myanmar's National clarifications of the Safeguards

Question 2

REDD+ Planning is essential for

a) Delivering multiple benefits and minimising negative impacts

b) Choosing which negative impacts are acceptable

c) Ensuring a participatory process and stakeholder inclusion

d) **Both A and C**

Question 3

Which is not a key activity for REDD+ participation and coordination?

a) Promote integrated land use planning and management

b) Identifying key sectors involved in cross-sector coordination mechanisms

c) **Map natural forests or other ecosystems in the impact area**

d) Establish implementation arrangements, coordination mechanisms and cooperative activities

Safeguards guidance : Free Prior Informed Consent, Grievance Redress Mechanism and Benefit Sharing

(Chapters 2 and 3)

Free, Prior and Informed Consent (FPIC)

is a principle protected by international human rights standards that allows local communities and Indigenous Peoples to withhold or give consent to a project that may affect them or their territories, in a manner that is free from coercion, prior to the beginning of activities and well-informed.

- There are a number of policies and regulations related to FPIC in Myanmar, as well as an FPIC for REDD+ guideline.

- FPIC is a key safeguards instrument for REDD+ in Myanmar, and is expected to be conducted for all REDD+ actions that will impact local communities.

- FPIC should all engage relevant rightsholders and stakeholders, including local forest dependent communities, ethnic groups, youth, women, and other vulnerable groups, and promote gender responsiveness

Underlying principles of FPIC

- **Free** – consent is given voluntarily without "coercion, intimidation or manipulation

- **Prior** - consent is sought sufficiently in advance of any authorization or commencement of activities"

- **Informed** – stakeholders are provided with the full range of relevant and necessary information in a clear and accessible format before seeking consent

- **Consent** - A collective decision is made by rightsholders and reached through the preferred decision-making processes of the affected peoples or communities.

Free Prior and Informed Consent: Guidance and best practices

Process set out in draft Myanmar REDD+ FPIC Guidelines:

1. Determine **capacity and information needs** of organisations, communities and rights-holders
2. Identify **facilitator/s** if needed
3. Decide with communities **where and how consultations will take place, and timeline** for FPIC process
4. Use **appropriate language/s and media** for information sharing
5. Decide h**ow community will make decisions,** in accordance with traditions and customs, and how to ensure **participation of women/vulnerable groups**
6. Set out the geographical area / communities that the decision will cover
7. Determine in **what format FPIC will be given, recognized and recorded**
8. Clarify **roles of others** in the process, e.g. local officials, EAO officials, other stakeholders, etc
9. Identify **how to verify / monitor the process**, e.g. participatory monitoring
10. Determine the terms and frequency of **review of the FPIC agreement(s)**
11. Ensure a **process/GRM** is in place for complaints, feedback and seeking recourse

Free, Prior and Informed Consent (FPIC)

"*Guidance on implementing safeguards for REDD+ in Myanmar*"
provides information on Free, Prior and Informed Consent, which is an important process for the planning of REDD+ actions in Myanmar.

This checklist is divided into two parts:
2.1.1 on FPIC planning – to be completed at the start of the FPIC process
2.1.2 on the implementation of the FPIC process – to be completed at the end of the FPIC process

Free, Prior, and Informed Consent (FPIC) – Checklist 2.1

Purpose: ensure appropriate planning and implementation of FPIC process for REDD+ actions

➢ 2.1.1 on FPIC planning – to be completed at the start of the FPIC process

➢ 2.1.2 on the implementation of the FPIC process – to be completed at the end of the FPIC process

Topics covered

- FPIC-related capacity and information needs
- FPIC consultations, facilitators, coordinators and participants
- Giving, recognising and recording FPIC
- Communication of FPIC process
- Grievance Redress Mechanism (GRM) & FPIC
- FPIC review

Grievance Redress Mechanism (GRM)

refers to an organizational system or resource established to receive and address concerns about the impact of policies, programs, projects and operations on external stakeholders. The stakeholder input handled through such a system and procedures may be called "grievances," "complaints," "feedback," or another functionally equivalent term.

Around 22 existing policies/regulations in Myanmar call for mechanisms that encourage communication and resolution of concerns and complaints.

What kind of grievances are relevant to REDD+ and community forestry in mangroves?

Grievance Redress Mechanism (GRM): Guidance and best practices

Myanmar REDD+ GRM is not finalised, but GRMs essential for any REDD+ action / project.

Some key principles for in Myanmar GRM include:

- Dealing with grievances at the lowest level possible

- Objectively and fairly dealing with grievances that involve parties in different positions/power situations;

- Reporting promptly and continuously, while also being cost-effective;

- Providing communication materials/information in languages understood by communities; and

- Developing targets/key performance indicators for managing grievances together with communities.

Grievance Redress Mechanism (GRM) – Checklist 2.1

Purpose: ensure that appropriate GRM is established and is operating effectively, in order for stakeholder feedback and grievances to be managed throughout REDD+ planning and implementation.

Topics covered

- GRM establishment
- Performance criteria & indicators
- Communicating about GRM
- Roles & responsibilities for managing grievances
- Managing grievances
- Recording & monitoring the GRM

Checklist should be completed at start of REDD+ implementation, and as part of monitoring

Benefit sharing

in the context of REDD+, refers to the distribution of monetary and non-monetary incentives and rewards that are drawn from the benefits achieved through REDD+, including results-based payments.

There are a number of relevant laws and regulations and the proposed NRS sets out principles for benefits sharing for REDD+, including:

- **fair and equitable sharing of benefits;**
- **full transparency;**
- **broad stakeholder consultation;**
- **transferring benefits to all relevant stakeholders.**

Benefit sharing is essential for:

- creating the necessary incentives to change deforestation and forest degradation practices / drivers
- a fair system supporting programmes' success and legitimacy

REDD+ implementers must **ensure a fair, equitable and transparent sharing of benefits** aligned with Myanmar's safeguards approach:

➢ Where IPLCs contribute to the implementation of REDD+ or if REDD+ has an impact on their territories, should be offered a fair share of the benefits through a transparent mechanism.

➢ Ensure the role of people without documented rights to land and resources is considered.

➢ Benefit sharing arrangements should be discussed as part of the FPIC process .

Key activities to develop appropriate benefit sharing:

- Identifying expected monetary and non-monetary benefits or incentives

- Identify beneficiaries and how distribution will be agreed

- Distribution and transparent accounting of benefits

- Monitoring of benefit sharing

- Identify if and how the benefits/incentives are working

Benefit Sharing– Checklist 3.2

Purpose: ensure that equitable and transparent benefit sharing arrangements are developed or utilised for REDD+ action/s.

Topics covered

- Kinds of benefits and/or incentives identified and contribution to the wellbeing of local stakeholders
- Distribution of benefits and monitoring
- Benefit sharing mechanism or process
- Results for benefits & beneficiaries
- Grievances related to benefit sharing (GRM)

This checklist should be completed at the beginning of REDD+ implementation.

Questions and comments on FPIC, GRM and benefit sharing?

Safeguards guidance Session II:
Natural forest, biodiversity and
ecosystem services, and conservation

(Chapter 5)

Safeguards guidance instruments: Natural forest, biodiversity and ecosystem services, and conservation

Natural forest
can be defined in different ways by countries; FAO defines it as a forest that is composed of indigenous trees and not classified as a forest plantation.

Biodiversity
is the total diversity of all organisms and ecosystems at various spatial scales (from genes to entire biomes).

Ecosystem services
are the benefits or services people obtain from the environment. They can be viewed as **provisioning** such as food and water; **regulating**, for example, flood and disease control; **cultural** such as spiritual, recreational, and cultural benefits; or **supporting**, like nutrient cycling, that maintain the conditions for life on earth"

Natural forests, biodiversity and ecosystem services, and conservation of these, are essential parts of:

- Tackling the ongoing climate and biodiversity crises

- Ensuring multiple carbon and non-carbon benefits

- Contributing to livelihoods and well-being of local communities

- Supporting resilience to climate change, natural disasters and other shocks

Safeguards guidance instruments: Natural forest, biodiversity and ecosystem services, and conservation

Key activities for considering and conserving **n**atural forest, biodiversity and ecosystem services in REDD+:

- Identify and map natural forests and other ecosystems in the REDD+ area

- Assess natural forest, ecosystem services and biodiversity conditions prior to activities, as a baseline

- Identify any risks & benefits from REDD+ to natural forests, other ecosystems, biodiversity and ecosystem services provision

- Integrate measures to promote conservation of natural forest, biodiversity and ecosystem services

- Ensure key priorities for natural forests, biodiversity & ecosystem services are included in monitoring and evaluation frameworks

Checklist 5.1 covers natural forest, biodiversity and ecosystem services, and conservation

However, other checklists are strongly linked:

- Checklist 1.2 on screening & impact assessment

- Checklist 1.3 on carbon & non-carbon benefits

- Checklist 6.1 on reversals and displacement

- Checklist 7.1 on monitoring & evaluation

Natural forests, biodiversity, and ecosystem services – Checklist 5.1

Purpose: ensure that key criteria and steps related to the conservation of natural forests, biodiversity, and ecosystem services are being followed

Topics covered

- Impacts and risks posed for natural forests / ecosystems
- Impacts (positive and negative) on biodiversity and ecosystems services
- M&E indicators related to these impacts
- Contribution to the conservation, sustainable management and/or restoration of natural forests

This checklist should be completed at the beginning of implementation

Questions and comments on natural forests, biodiversity, and ecosystem services ?

Safeguards guidance Session III:
Monitoring and evaluation

(Chapter 7)

Monitoring
is the process of systematically collecting and analysing data and information in order to detect signs of change in relation to a baseline.

Evaluation
is the process of examining the monitoring data collected in order to understand what difference an intervention has made and what lessons can be learned.

Reporting
in the context of this guidance refers to the compilation of information, based on M&E of REDD+ actions and the safeguards, to report to communities/stakeholders, national level audiences, donors and/or the international community.

Monitoring, evaluation and reporting are essential for:

- the success of any intervention

- effective and sustainable implementation of REDD+

- assessing if desired impacts and benefits are being achieved

- identify if the potential risks are being avoided or managed

- Tracking safeguards performance

- Adaptive management

Key activities for REDD+ monitoring, evaluation and reporting:

- Establish a theory of change (how actions lead to desired impact)
- Identify and validate indicators with stakeholders
- Develop robust monitoring and evaluation framework (comprising ToC + indicators + methods), including baselines
- Develop action plan, and training and capacity to carry out monitoring and evaluation
- Promoting stakeholder participation in monitoring, evaluation and reporting
- Sharing results and reporting

The safeguards guidance provides a checklist on M&E processes (7.1) as well as guidance on developing indicators and a table of example safeguards indicators (based on Myanmar's SIS).

Indicators in M&E for REDD+ should cover REDD+ implementation and results AND safeguards.

Features of good indicators include:

- Specific and well defined: clear understanding of what should be measured
- Valid: proven link between the indicator and the topic to be assessed
- Measurable and realistic: method for collecting information, and feasible/affordable
- Easy to interpret and explain: e.g. clear whether an increase or decrease in the indicator value is good or bad

Monitoring and evaluation: Indicators & checklist

Examples of CF relevant indicators:

Indicator	Indicator type	Indicator category	Data source	Method
Number of participants in community forestry enterprise (CFE) training	Process	Capacity building	Training records	Total number of participants; and number by: - CFUG - Gender
Number of CFEs established through project support	Output	Socio-economic	Registered CFEs; and reports by CFUGs	- Total number of CFEs established in State/Region; and - Number of CFEs established by CFUGs who participated in training
Proportion of community forestry benefits distributed to disadvantaged groups among CFUG members	Outcome	Benefit sharing	Reporting by CFUGs	- Total amount of revenues of CFUGs per year; - Proportion distributed to members per year; - Proportion distributed to a) female headed households, and b) ethnic group households

Examples of generic safeguards/SIS indicators:

Indicator	Indicator type	Data / means of verification	Method
A2.1. List of SDG goals and targets supported by the REDD+ action	Process	List nominated by REDD+ implementer, based on target level of SDGs: https://sdgs.un.org/goals	Yes/no statement, with list of relevant SDGs
C1.3. Number of people who participated in the FPIC process for the REDD+ action/s	Process	FPIC checklist / records of consultations	Report by: - Total number of participants - Community members - Women - Indigenous people/ethnic groups - Other groups (please specify)
E1.5 Outcomes for natural forests in REDD+ implementation area on an annual basis: **- natural forest cover (in hectares)** **- natural forest quality/integrity**	Result	MRV / NFMS / project forest monitoring	Identify NF versus other forest types; compare change in forest cover in hectares to baseline; compare canopy coverage / other measure of condition to baseline

Monitoring and evaluation – Checklist 7.1

Purpose: to set out the key criteria and steps for REDD+ implementers to develop and apply a robust M&E framework for their REDD+ actions. See also annex of safeguards indicators.

Topics covered

- Theory of change
- Identifying indicators for the action
- Resources for regular M&E
- Baseline (pre-implementation)
- Planning and implementing M&E
- Who can perform M&E
- Capacity building and equipment
- Results from M&E: review of actions

This checklist should be completed at the end of the planning stage, and as part of monitoring

Questions and comments on M&E?

Safeguards guidance: Case Study & Checklists Exercises

Checklist exercise – 35 mins

We'll use the War-Kone case study to again work on the checklists reviewed on day 2:

2.1 - FPIC   **3.2 Benefit sharing**   **7.1 M&E**

2.2 GRM   **5.1 NF and BES**

➢ **GROUP 1: FPIC + one other checklist**

➢ **GROUP 2: Natural forests & BES + one other checklist**

Step 1: Choose your group

Step 2: Choose your 2nd checklist. Read through the checklist (in shared folder) and ask facilitator any questions you may have

Step 3: Each group will answer three questions from each checklist, based on what you know about War Kone (qu's already selected)

Step 4: Report back

Recap the training: topics covered in day 1 and day 2

REDD+ Safeguards	Safeguards & the Myanmar approach	Community Forestry
Checklist 1.1	Checklist 2.1	Checklist 3.1
Checklist 3.2	Checklist 5.1	Checklist 7.1

Share your feedback

In the chat, or unmute and speak:

1) What did you find most useful about the training?

1) Which of the checklists are you now more confident with using?

1) Are there still more areas that you feel you would like training/support on?

Post training survey - in 1-2 months!

Thank you

UN-REDD
PROGRAMME