How the outcomes were collected

The REDD+ SES Initiative collected outcomes in a participatory manner through interviews and document review with government and civil society actors in ten countries using the Outcome Harvesting method. Informants were asked to identify who changed what, when and where (the outcome), why this change in behavior was important (the significance), and the main factors that contributed to the outcome (the contribution). Sources and supporting evidence were recorded, and outcomes were substantiated with other actors. A total of 136 outcomes were identified in ten countries. This briefing highlights some of the findings. A full report will be available from early 2016 at [www.redd-standards.org](http://www.redd-standards.org).

Key international milestones for REDD+ safeguards

- **COP 13 Bali**
  - Work program on REDD+ – reducing emissions from deforestation and forest degradation in developing countries

- **COP 16 Cancun**
  - Safeguards for REDD+ activities – to be promoted and supported when undertaking REDD+ activities
  - System for providing information on safeguards (SIS) – how all the safeguards are being addressed and respected throughout the implementation of activities

- **COP 17 Durban**
  - Guidance on SIS – country-driven, transparent, building upon existing systems and providing information that is accessible by all relevant stakeholders
  - Summary of information on safeguards – how all the safeguards are being addressed and respected
  - Conceptual framework for country safeguards approaches – developed by REDD+ SES Initiative, UN-REDD Programme, WRI, FCPF, CLP and others recognizing the importance of the country’s policies, laws and regulations, institutions and procedures, SIS and grievance mechanisms

- **COP 19 Warsaw**
  - Warsaw framework for REDD+ – countries should have all four elements (national strategy or action plan, national forest reference emission level, national forest monitoring system and SIS) in place to obtain and receive results-based finance
  - Safeguards requirements for results-based payments – the summary of information on safeguards should be provided before receiving results-based payments for REDD+ activities
  - Timing and frequency of safeguards information – the summary of information on safeguards should be included in national communications to the COP every four years after the start of implementation of REDD+ activities, and provided on a voluntary basis on the UNFCCC web platform
  - Green Climate Fund REDD+ Results Framework – the initial logic model and performance measurement framework for REDD+ results-based payments adopted the Warsaw Framework

Why conduct an outcomes evaluation?

There has always been strong interest in the potential negative and positive social and environmental impacts of REDD+ activities and associated governance issues, particularly with respect to Indigenous Peoples and local communities. It is now five years since safeguards were agreed for REDD+ under the UNFCCC. The REDD+ SES Initiative started in 2009 with an aim to develop and promote the adoption of social and environmental standards and safeguards for REDD+ policies and actions. Countries are developing safeguards approaches to support their REDD+ strategies and action plans.

An outcomes evaluation collects evidence of behavior changes that have occurred within a particular domain of policy and practice and explores their significance and what influenced the change.

Objectives

- To provide evidence of significant progress and early results related to adopting a participatory, transparent and comprehensive country safeguards approach in ten countries that are
  - Strengthening safeguards for REDD+ and related low-emissions land use;
  - Strengthening REDD+ strategies and action plans to deliver greater emissions reductions and non-carbon benefits; and
  - Scaling up finance for REDD+.
- To encourage wider adoption of a participatory, transparent and comprehensive approach to safeguards for REDD+ and related low-emissions land use.
Significant changes by government and civil society that enable, demonstrate or institutionalize a participatory, transparent and comprehensive approach to safeguards include:

- changes that led to a more participatory, more transparent, and/or more comprehensive approach;
- changes to governance structures, to policies, laws and regulations and to strategies and action plans; and
- changes in funding, advocacy and leadership.

* Outcomes were classified as:

1. **Enable** if they created enabling conditions either prior to or during development of a participatory, transparent or comprehensive safeguards approach.

2. **Demonstrate** if they constituted a step in the adoption of a more participatory, more transparent and/or more comprehensive safeguards approach.

3. **Institutionalize** if they demonstrated a pattern of behavior or a change in policies, laws and regulations or governance structures likely to be sustained in the longer term.

4. **Result from** if they went beyond changes in the country safeguards approach to changes affecting REDD+ strategies, actions and impacts and changes in sectors beyond REDD+.

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**Yucatan Peninsula, Mexico**

**Enables** – In 2015, the Environmental Secretariats of the three States of Yucatan Peninsula committed to incorporating safeguards into their REDD+ and Climate Change Strategies and their Emissions Reductions Investment Plans. This demonstrates government commitment to address safeguards in their strategies.

**Demonstrates** – In 2014, the Safeguards Committee incorporated a gender expert and addressed gender considerations in capacity building of stakeholders and interpretation of safeguards indicators. Including a gender expert increased State government and NGO capacity to address gender in REDD+ activities and promote gender equality in their projects.

**Peru**

**Enables** – From 2013, the Regional Government of San Martin began to present the participatory process it had adopted to address safeguards at national and international meetings. This encouraged San Martin’s pioneering efforts and commitment to promote a participatory, transparent and comprehensive approach to safeguards to contribute to the safeguards process at national level and in other regions.

**Demonstrates** – In 2013, the Ministry of Environment created a roadmap to design and implement REDD+ safeguards, and to involve stakeholders from government, civil society and Indigenous Peoples at relevant times throughout the process. This demonstrated government commitment to a participatory and transparent process, and enabled key stakeholders to understand the stages of the process and the opportunities for their participation.

**Institutionalizes** – In December 2014, the Regional Government of San Martin officially created a regional safeguards committee that formally involves Indigenous Peoples, academia and smallholder associations as well as NGOs. This ensures a balanced participation of stakeholders in the regional safeguards process.

**Chile**

**Enables** – From 2013, civil society including NGOs, academia and forest owners, as well as regional agents of the National Forestry Commission (CONAF), started to participate regularly in capacity building workshops and consultation meetings for the development of the National Strategy on Climate Change and Plant Resources (ENCCRV), including on safeguards. This built the capacity of different stakeholders to participate in the development of the strategy.

**Demonstrates** – From 2015, CONAF began an analysis to prioritize social and environmental safeguards indicators for ENCCRV including REDD+ that will be validated through a consultation process that includes small and medium forest owners, Indigenous Peoples and NGOs from 15 regions of the country. This demonstrates government commitment to a participatory process to ensure that concerns of the different groups are addressed in the safeguards indicators.
Guatemala

**Demonstrates** – From 2014, Indigenous Peoples from the Central and South West regions of Guatemala started to participate in the meetings of the Safeguards Committee and contribute to the development of REDD+ safeguards, expanding representation beyond the northern region where most REDD+ activities have been developed so far. Having indigenous representatives from different regions allows the possibility of hearing a diversity of realities and opinions and increasing harmony among groups.

**Enables** – From 2009, organizations with antagonistic positions, including civil society organizations, producer organizations, government and environmental NGOs, started to discuss and engage on REDD+ through the Climate Change Forum. This was important to build trust and enable effective participation of diverse groups in later safeguards discussions.

**Demonstrates** – In 2015, the National Multi-sectorial Committee, the Climate Change, Biodiversity and Forests Group, the Interinstitutional Coordination Group and the GIMBUT and others on REDD+ safeguards developed the first draft of the National Safeguards Approach including a comprehensive country-specific interpretation of the Cancun safeguards. This was developed with strong government and civil society participation that demonstrates shared ownership and commitment to addressing and respecting effective and comprehensive safeguards.

Mato Grosso, Brazil

**Enables** – From 2009, organizations with antagonistic positions, including civil society organizations, producer organizations, government and environmental NGOs, started to discuss and engage on REDD+ through the Climate Change Forum. This was important to build trust and enable effective participation of diverse groups in later safeguards discussions.

**Demonstrates** – In 2014, the Standards Committee recognized that there was a low level of participation of Indigenous Peoples in the safeguards process despite efforts to invite them. This highlighted the need for increased efforts to build capacity and encourage participation of Indigenous Peoples.

Acre, Brazil

**Enables** – From 2011, indigenous organizations expressed frustration with their lack of involvement in the System for Incentives for Environmental Services (SISA). The safeguards process stimulated a high demand from Indigenous Peoples for dialogue and continuous capacity building to promote their participation in SISA.

**Demonstrates** – From 2012, the eight government and civil society members of the Committee for Validation and Monitoring (CEVA) of SISA increased and deepened their participation in CEVA’s meetings, discussions and decisions. This appropriation provided the basis for strong development of CEVA’s role and responsibilities to monitor and validate the SISA, including the REDD+ program within it.

**Institutionalizes** – Unofficially from 2011, and officially on 16 October 2012, CEVA created an Indigenous Working Group as a sub-group of CEVA to provide a mechanism to give Indigenous Peoples a voice on the social control of SISA, since they are not represented on the State Councils thatelects the civil society members of CEVA. This helped a marginalized and important stakeholder group to participate more effectively in development of policies and approval of actions for SISA, and helped to avoid social tensions and create trust and communication between Indigenous Peoples and the State Government.
Democratic Republic of Congo

**Enables** – In 2014, a new women’s NGO was legally created ‘Coalition of Women Leaders for Environment and Sustainable Development’ from the Gender Commission of the Working Group on Climate and REDD (GTCR). This enabled more focus on gender which had been neglected in the REDD+ strategy and in safeguards discussions.

**Demonstrates** – In 2015, 32 representatives of local communities and Indigenous Peoples progressively started to engage in Mai Ndombe Emissions Reductions Program (ERPMN) and provide input on REDD+ activities and safeguards. This facilitated participation of grassroots community representatives in the development of ERPMN, helping to build trust and create ownership of the program by those who will be directly affected.

Nepal

**Enables** – In 2013, organizations representing community forest user groups (FECOFUN), Indigenous Peoples (NEFIN), women (HIMAWANTI), foresters (NFA) and marginalized groups (Dalit NGO federation) expanded the informal alliance of civil society organizations to engage on REDD+ to include 38 organizations. This created a forum for civil society organizations to discuss and agree on priority issues and coordinate a more effective engagement with the government. For example, the group created a common position paper on the national REDD strategy and safeguards.

**Demonstrates** – In 2015, the REDD Implementation Centre (RIC) decided to conduct an assessment of performance with respect to the set of Nepal-specific safeguards indicators that had been prioritized by the Technical Working Group for this first safeguards assessment. This demonstrates government commitment to monitoring how safeguards are being addressed and respected in a transparent and comprehensive way.

**Institutionalizes** – From 2014, RIC started to include safeguards and a safeguards information system in key policy documents such as the National REDD+ Strategy, the National Forest Monitoring System, and the Emissions Reductions Program Idea Note. By providing information about how safeguards will be addressed and acknowledging the importance of SIS in key REDD+ strategy documents, RIC demonstrated increased commitment and started to institutionalize the country safeguards approach.

Tanzania

**Enables** – In 2012, the Government REDD+ Task Force committed to start developing the country safeguards approach and to developing safeguards principles, criteria and indicators. This signaled government ownership and leadership for the safeguards process.

**Demonstrates** – In 2013, the stakeholders proposed, and the government agreed, to use an existing grievance mechanism for REDD+, and that it should be transparent, accessible and gender-sensitive. This demonstrated consensus on the best approach for a REDD+ grievance mechanism after discussions on different options for a grievance mechanism.

**Institutionalizes** – In 2012, the Government revised membership of the REDD+ Task Force to include two members from civil society. This was important to institutionalize the participation of civil society in the REDD+ and safeguards process.
**East Kalimantan, Indonesia**

**Enables** – From 2012, civil society groups that had been against REDD+ started to be more open to learn about REDD+ because of activities on safeguards. For example, BIOMA and JATMA Mining Advocacy Network started to come to meetings on safeguards and REDD+. This helped to ensure that issues of concern to these NGOs and other local stakeholders are addressed by safeguards, making them and REDD+ more effective.

**Demonstrates** – In 2012, the REDD+ Working Group decided to work on safeguards and created a multi-stakeholder team to facilitate the process including people from government, academia and NGOs. This team took leadership in developing drafts of province-specific safeguards indicators and an assessment report, and organized consultations with stakeholders thereby demonstrating a more participatory and transparent approach.

**Institutionalizes** – From 2016 (secured in Forestry Agency budget in 2015), the provincial government agreed to provide 4.5 billion IDR (~ 327,000 USD) for the program of the REDD Working Group including 300 million IDR (~ 22,000 USD) for work on safeguards. This budget allocation demonstrates that REDD+ and safeguards activities are included in the Provincial government program and will be sustained.

The outcomes presented here are just some examples of the outcomes collected from each country. More details can be found in the full report at www.redd-standards.org from early 2016.

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**Percentage of outcomes across all countries that enabled, demonstrated or institutionalized different qualities or aspects of the country safeguards approach** (often more than one for each outcome)

<table>
<thead>
<tr>
<th>Quality/Aspect</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>More participatory</td>
<td>84%</td>
</tr>
<tr>
<td>More transparent</td>
<td>8%</td>
</tr>
<tr>
<td>More comprehensive</td>
<td>27%</td>
</tr>
<tr>
<td>Governance structures</td>
<td>31%</td>
</tr>
<tr>
<td>Policies, laws &amp; regulations</td>
<td>5%</td>
</tr>
<tr>
<td>Strategies &amp; action plans</td>
<td>7%</td>
</tr>
<tr>
<td>Funding</td>
<td>4%</td>
</tr>
<tr>
<td>Advocacy</td>
<td>5%</td>
</tr>
<tr>
<td>Leadership</td>
<td>15%</td>
</tr>
</tbody>
</table>

Outcomes were classified as ‘more participatory’ when changes were made that enhanced participation of stakeholders, including local governments, ‘more transparent’ when changes were made that made information about safeguards more accessible, and ‘more comprehensive’ when changes were made that considered a more complete range of key elements with respect to the country-interpretation of the Cancun safeguards.
Some countries that started developing their country safeguards approach several years ago have already seen results directly flowing from their adoption of a participatory, transparent and comprehensive approach. A few examples are provided here.

**Acre**

In December 2012 and December 2013, the German development bank KfW approved 16 million EUR (~17.1 million USD) and 9 million EUR (~9.6 million USD) to start the implementation of Acre’s System for Incentives for Environmental Services (SISA) carbon program to enable the delivery of emissions reductions and board social benefits. This funding from KfW is crucial and has been the only source of international funding for SISA so far, enabling implementation of activities that reduce emissions and deliver important social and environmental benefits.

The Kfw decisions were influenced in part by Acre’s participatory, transparent and comprehensive approach to addressing, respecting and providing information on safeguards.

**Nepal**

From 2012, local communities from the Terai Arc landscape and Chitwan Annapurna landscape started to raise their voices and claim their rights during consultation meetings about REDD+. The input from communities has helped to shape the design of the Emissions Reductions Program in the Terai Arc area being designed for submission to FCPF Carbon Fund, helping to ensure that local communities’ rights are respected and that they will receive benefits. The REDD+ consultations have also helped the communities to understand their rights and become more confident in demanding that they are recognised and respected.

This increased assertiveness on the part of local communities resulted in part from the participatory approach adopted by the REDD Implementation Centre, which had been strengthened through adoption of a participatory approach to safeguards.

**East Kalimantan**

In April 2015, the Provincial Government issued a decree changing the process for issuing land use permits (including for oil palm, plantation, mining etc.) ensuring that land tenure, and high conservation value forests are more effectively addressed through a more transparent process with participation of local stakeholders. This change in the process for land-use decisions by the government greatly strengthens safeguards for all land use, in particular helping to protect local community and Indigenous Peoples land rights.

Land tenure and rights have become a primary consideration for the Provincial Government, in large part because they were highlighted through the participatory identification of key safeguards issues for REDD+ in the province.
Process guidelines – The Guidelines for the Use of REDD+ SES at Country Level provide guidance on good practices for a ten-step, multi-stakeholder process to build stakeholder capacity, define governance arrangements, develop country-specific indicators and conduct a self-assessment of performance of the REDD+ strategy against the indicators. Additional guidance on managing multi-stakeholder processes and on a gender-sensitive approach have also provided support for the adoption of a participatory and transparent approach to safeguards.

Principles, criteria and indicators – The REDD+ SES principles, criteria and framework for indicators were developed through an inclusive, participatory process from 2009. They break down the safeguards into key elements and have been used to help develop a comprehensive approach to safeguards, including for country interpretation of the Cancun safeguards, and to develop country-specific indicators for providing safeguards information.

Funding – The REDD+ SES Initiative has provided small grants to civil society organizations to support activities such as workshops, communications materials and consultants to facilitate development of a country safeguards approach.

Technical Assistance – The REDD+ SES Secretariat has provided direct technical support to the country teams that are facilitating the development of the country safeguards approach, and has also provided technical support from experts on key issues such as gender.

Exchange and Learning – The REDD+ SES Initiative has organized eight exchange and learning workshops on various relevant topics for government and civil society teams facilitating development of a country safeguards approach.

It is important to emphasize that this exercise aimed to identify all relevant outcomes, not just those to which the REDD+ SES Initiative contributed.

Percentage of outcomes across all ten countries to which there has been a contribution from the REDD+ SES Initiative (often more than one type of support contributed to each outcome)

<table>
<thead>
<tr>
<th>Process guidelines</th>
<th>Principles, criteria &amp; indicators</th>
<th>Funding</th>
<th>Technical assistance</th>
<th>Exchange &amp; learning</th>
<th>No REDD+ SES contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>69%</td>
<td>30%</td>
<td>24%</td>
<td>24%</td>
<td>15%</td>
<td>13%</td>
</tr>
</tbody>
</table>
Key findings of the outcomes evaluation

- 136 outcomes collected in ten countries provide compelling evidence of significant progress and early results related to adopting a participatory, transparent and comprehensive country safeguards approach.

- The vast majority of outcomes were linked to adoption of a more participatory approach to safeguards with greater participation of important but often marginalized groups such as Indigenous Peoples, local communities and women.

- Many of the outcomes enabled or demonstrated the adoption of a participatory, transparent and comprehensive approach to safeguards, for example steps to develop participatory processes for safeguards or to clarify comprehensive country-specific interpretation of safeguards.

- Six countries have made changes that institutionalize a participatory, transparent and comprehensive approach, including official creation of governance structures, changes in policies, laws and regulations and allocation of budget and human resources.

- Three countries already show some early results, including adoption of stronger policies, laws and regulations to protect rights not only for REDD+ but also for other land use, assertive action by local communities to claim their rights, strengthening of REDD+ strategies and action plans to deliver greater multiple benefits, and increased funding for REDD+.

The SES Initiative

SES is an initiative of the Climate, Community & Biodiversity Alliance (CCBA), a partnership of NGOs (CARE, Conservation International, Rainforest Alliance, The Nature Conservancy and Wildlife Conservation Society). The Initiative is hosted by CARE and managed by the CCBA secretariat based at Conservation International with technical support from the Proforest Initiative and the Rainforest Alliance.

The Initiative is overseen by an International Steering Committee of representatives from governments, multilateral organisations, Indigenous and Community organisations, social and environmental NGOs and private sector mostly from countries where REDD+ is implemented. For more information see www.redd-standards.org or contact us at info@redd-standards.org

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