



Country approaches to safeguards for REDD+

Progress and results of adopting a participatory, transparent and comprehensive approach

Key international milestones for REDD+ safeguards

2007

COP 13 Bali

Work program on REDD+ – reducing emissions from deforestation and forest degradation in developing countries

2010

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

2011

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

2012

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

2013

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

2014

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/jurisdictions that are
 - Strengthening safeguards for REDD+ and related low-emissions land use;
 - Strengthening REDD+ strategies and activities 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.

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/ jurisdictions using the Outcome Harvesting method.¹ 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 139 outcomes were identified in ten countries. This briefing highlights some of the findings. A full report is available at www.redd-standards.org

1. Wilson-Grau, R. and H. Britt (2012). Outcome Harvesting. Ford Foundation.

Significant changes by government and civil society that enable,

Outcomes were classified as:

- **more participatory** – outcomes that lead to more participation of civil society with government, that include more different types of civil society actors, or that include more levels (e.g. local and national) or types of government agencies.
- **more transparent** – outcomes that make more safeguards information more accessible to more different kinds of stakeholders.
- **more comprehensive** – outcomes that lead to the country safeguards approach i) being broader in scope of issue covered or ii) extending beyond existence of safeguards in policies to implementation.

Enable outcomes that create favorable conditions for a more participatory, transparent or comprehensive safeguards approach.

Demonstrate outcomes that contribute explicitly and directly to the development of a more participatory, transparent or comprehensive country safeguards approach.

Institutionalize outcomes that are expected to be sustained in the longer term and contribute to the implementation of a more participatory, transparent and comprehensive country safeguards approach.

Result from outcomes that have resulted from the adoption of a more participatory, transparent or comprehensive country safeguards approach.



Yucatan Peninsula, Mexico

Enable – 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.

Institutionalize – 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

Enable – 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.

Demonstrate – 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.

Institutionalize – 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

Demonstrate – 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.

Demonstrate – 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.

demonstrate and institutionalize a country safeguards approach

Guatemala

Demonstrate – In 2015, forest governance platforms 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.

Institutionalize – 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 included a diversity of perspectives and opinions ensuring that the safeguards approach would address Indigenous Peoples' concerns across the country.



Mato Grosso, Brazil

Demonstrate – 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.

Demonstrate – 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

Enable – 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.

Institutionalize – 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.

Institutionalize – 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 that elects 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.

Significant changes by government and civil society that enable,

Democratic Republic of Congo

Enable – 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.

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

Nepal

Enable – 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.

Demonstrate – 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.

Institutionalize – 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

Demonstrate – 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.

Institutionalize – 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.

Institutionalize – In 2012, the Government revised membership of the REDD+ Task Force to include a member from civil society. This was important to institutionalize the participation of civil society in the REDD+ and safeguards process.



demonstrate and institutionalize a country safeguards approach

East Kalimantan, Indonesia

Enable - From 2013, the provincial government started to trust and be more open to criticism from NGOs, for example the forestry and planning agencies started to invite local NGOs to government planning meetings for REDD+. Improved government and civil society relations helped to promote greater understanding and support for safeguards and improved collaboration to address safeguards issues.

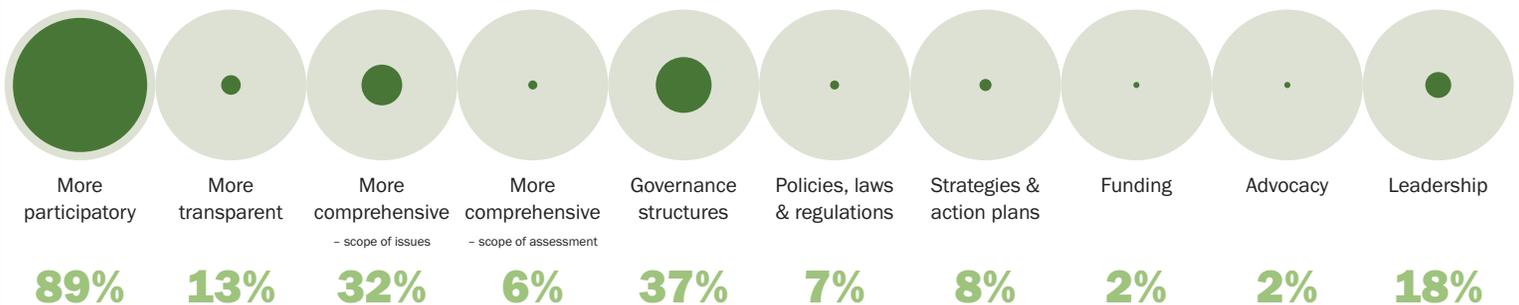
Demonstrate - From 2012, civil society groups that had been suspicious of REDD+ started to be more open to learn about REDD+ because of activities on safeguards. For example, BIOMA and JATMA Mining Advocacy Network started to come to meetings on safeguards and REDD+. This helped to ensure that issues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

Institutionalize - 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.



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.

Percentage of outcomes across all countries/jurisdictions that contribute to different aspects of the country safeguards approach



Outcomes often contributed to more than one aspect of the country safeguards approach

% of the 97 outcomes that demonstrate or institutionalize a more participatory, transparent and/or comprehensive country safeguards approach

Results from adopting a participatory transparent and comprehensive country safeguards approach

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.

Acre

At the beginning of 2014, the Indigenous Working Group elaborated a Charter of Environmental Principles to guide all activities in indigenous territories for SISA and for any other activities that may affect them. The increased collaboration between Indigenous Peoples and the State Government led to allocation of 1.8 million BRL (~ 460,000 USD) of SISA funds to projects in indigenous areas in April 2014. The collaboration also led to training of Indigenous Agroforestry Agents to support Indigenous Peoples to diversify livelihoods, addressing food security while sustainably managing and protecting the forest.

The Charter of Environmental Principles clarified Indigenous Peoples' principles to be respected by the Government of Acre and other actors, and helped to build trust and partnership, not only for SISA but for many other potential activities. The SISA funds and activities demonstrated political commitment to include Indigenous Peoples in SISA and demonstrated how safeguards are being implemented under the SISA program to improve people's livelihoods.

The Indigenous Working Group was created to strengthen Indigenous Peoples' participation in monitoring and evaluation of SISA, as a result of Indigenous Peoples' engagement in the safeguards process.

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.

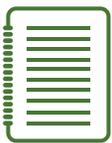
Land tenure and rights have become a primary consideration for the Provincial Government, in large part because they were highlighted through the participatory identification of key safeguards issues for REDD+ in the province.

Adoption of a participatory, transparent and comprehensive approach to safeguards



Contribution of the REDD+ SES Initiative

Since 2010, the REDD+ SES Initiative has provided support to countries for the development of a country safeguards approach, including safeguards information systems.



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 countries/jurisdictions to which there has been a contribution from the REDD+ SES Initiative

68%



Process guidelines

29%



Principles, criteria & indicators

22%



Funding

24%



Technical assistance

14%



Exchange & learning

14%



No REDD+ SES contribution

Often more than one type of support contributed to each outcome



Key findings of the outcomes evaluation

- ▶ 139 outcomes collected in ten countries/jurisdictions 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.
- ▶ Nine countries/jurisdictions 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/jurisdictions 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

SES Secretariat

Joanna Durbin

Climate, Community & Biodiversity Alliance
jdurbin@climate-standards.org
 +1 703 623 4441

Aur lie Lhumeau

Climate, Community & Biodiversity Alliance
alhumeau@redd-standards.org
 +1 202 256 5524

Phil Franks

CARE Consultant
pfranks@redd-standards.org
 +44 7867 319907

SES International Steering Committee

GOVERNMENTS

Magaly Medeiros

Institute of Climate Change, Acre, Brazil

Man Bahadur Khadka

Ministry of Forest and Soil Conservation, Nepal

Novia Widyaningtyas

Ministry of Environment and Forestry, Indonesia

Benjamin Karmorh

Environmental Protection Agency, Liberia

Tamrini Ally Said

Ministry of Agriculture & Natural Resources, Zanzibar, Tanzania

MULTILATERAL ORGANIZATIONS

Steve Swan

UN-REDD

INDIGENOUS PEOPLES ORGANIZATIONS

Jennifer Rubis

IPMN, Malaysia

Kanyinke Sena

IPACC, Kenya

Estebancio Castro

IAITPTF Panama

COMMUNITY ASSOCIATIONS

Alberto Chinchilla

ACICAFOC, Costa Rica

Rahima Njaidi

MJUMITA, Tanzania

Brikha Shahi

FECOFUN, Nepal

SOCIAL NGOS

Samuel Nnah

Accra Caucus Coordinator, Cameroon

Tony La Viña

Ateneo School of Government, Philippines

ENVIRONMENTAL NGOS

Marina Piatto

IMAFLOA, Brazil

Agus Budi Utomo

Burung Indonesia/BirdLife, Indonesia

George Akwah

IUCN

Minnie Degawan

WWF

PRIVATE SECTOR

Dharsono Hartono

PT Rimba Makmur Utama, Indonesia

Leslie Durschinger

Terra Global Capital, USA

Henrietta Boyd

Permian Global, UK