ICIMOD

Workshop Report

Regional Learning and Sharing Workshop on Demystifying REDD+ Safeguards for South Asia

FOR MOUNTAINS AND PEOPLE

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Executive Summary

In the Hindu Kush Himalayan region, countries have initiated their work on REDD+ safeguards but no country has yet made a formal submission to the UNFCCC. ICIMOD's REDD+ Initiative organized a regional learning workshop on 'Demystifying REDD+ Safeguards for South Asia', which was held on 2–6 November 2015 at Kolkata, India, in order to engage experts from South Asia to help formulate REDD+ safeguards for the region as recommended in the COP decisions. This meeting brought together four partner countries, Bhutan, India, Myanmar, and Nepal, with the long-term goal of establishing a REDD+ safeguard information system while fostering South-South learning in the region. Since there are many common opportunities and challenges among these eastern Himalayan countries, the hope was that by focusing exclusively on the region that the assembled experts could share knowledge and experiences across borders to come up with a safeguards approach specifically tailored to the Himalayan context. In particular, the meeting aimed to improve understanding on the REDD+ safeguards approach and to consider the extent to which these are compatible with the existing safeguard mechanisms already put forth under each country's own policies, laws, and rules. It also endeavoured to identify gaps in existing policies, laws, and rules; to establish a technical expert group; and to formulate a work plan for documenting and sharing knowledge products on REDD+ safeguards.

This was the first workshop to bring the HKH regional countries together to discuss REDD+ safeguards and, as such, it made the most of this South-South forum to help update countries on REDD+ safeguards and to give regional experts engaged in establishing safeguards an opportunity to network and exchange ideas and information. By the end of the workshop the participants had gained an improved insight on safeguards, had a better understanding of how countries can benefit from a learning and sharing platform, and had a better appreciation of how it is possible to build on the commonalities between countries.

Acknowledgements

Acronyms and Abbreviations

ABS	Access and benefit sharing
BeRT	Benefit and Risk Tool
CAST	Country Approach to Safeguard Tool
COP 16	16th session of the Conference of the Parties (COP 16) to the United Nations Frame-work Convention on Climate Change held in Cancun, Mexico, 2010
COP 19	19th session of the Conference of the Parties (COP 19) to the United Nations Frame-work Convention on Climate Change held in Warsaw, Poland 2013
CSO	Community service organization
ESMF	Environmental and Social Management Framework
FCPF	Forest Carbon Partnership Facility
FPIC	Free, Prior and Informed Consent
GRM	Grievance redress mechanisms
HKH	Hindu Kush Himalaya
ICFRE	Indian Council of Forestry Research and Education
JFM	Joint Forest Management
MRV	Monitoring Reporting and Verification
PGA	Participatory governance assessments
PLR	Policies, laws and regulations
REDD+	Reducing Emissions from Deforestation and Forest Degradation
SAARC	South Asian Association for Regional Cooperation
SBSTA	Subsidiary Body for Scientific and Technological Advice
SES	Social and Environmental Standards
SESA	Strategic Environmental and Social Assessment
SIS	Safeguard information system
UNCCD	United Nations Convention to Combat Desertification
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
USAID	U.S. Agency for International Development

About the Workshop

Rational and Background

REDD Safeguards in the United Nations Framework Convention on Climate Change

In developing countries, the reduction of emissions from deforestation and forest degradation, the conservation of forest resources, the sustainable management of forests, and the enhancement of carbon stocks, are all greenhouse gas mitigation instruments promoted by the United Nations Framework Convention on Climate Change (UNFCCC) under the programme called Reducing Emissions from Deforestation and Forest Degradation (REDD+). REDD+ is an effort to create a financial value for the carbon stored in forests, offering incentives for developing countries to reduce emissions from forested lands and invest in low-carbon paths to sustainable development. There is immense interest from the governments of developing countries to implement REDD+ and to gain from the results-based payment system for the sequestration and conservation of carbon.

Forests in South-Asia, in the Hindu Kush Himalayan region in particular, are intricately linked with the livelihoods of mountain communities. This region is characterized by poverty, and the people who live there typically depend on subsistence agriculture and animal husbandry for their survival. These mountain communities typically depend to a large extent on forest resources for their energy, fibre, and supplemental food needs. Since their livelihoods are so interconnected with the fragile forests around them, there is always the danger that carbon focused programmes (such as REDD+) can have trade-offs with non-carbon benefits that eventually adversely affect their customary rights on forests and forest resources. There is the additional danger that REDD+ can interfere with biodiversity and food security. Consequently, it is in the context of this wish to maintain the livelihoods of the indigenous people who depend on forest resources that a discussion on safeguards is most relevant for the Hindu Kush Himalayan (HKH) region.

A comprehensive discussion which deals with creating, addressing, and respecting safeguards for REDD+ is aimed at enhancing the performance-based forest management by helping to minimizing the negative impact on humans and their surrounding environment. Ultimately, safeguards will help to lower the risks by identifying potential threats before they arise and by dealing with trade-offs with other goals for the landscape by holding open discussions with all stakeholders. Safeguards on REDD+ will help to ensure a more equitable distribution of the benefits and costs of REDD+ and will also assure the delivery of social and environmental benefits.

For the governments involved, safeguards will help them to design REDD+ schemes that are more sustainable and that take into account wider socio-economic and environmental issues specific to their own countries by addressing the underlying drivers of deforestation. Safeguards can also increase investment in REDD+ by helping to reduce risk, a key factor in investment decisions.

Decisions regarding safeguards

The United Nations Framework Convention on Climate Change (UNFCCC) decisions have taken cognizance of the potentially negative and harmful effect that REDD+ can have if it is not implemented with safeguards. The safeguards are intended to ensure that REDD+ will be implemented in an inclusive, transparent manner, with respect for the rights of indigenous peoples and local communities and with consideration for the protection of biodiversity.

In 2010, countries made significant strides in recognizing the role that safeguards can play in implementing REDD+ activities at the COP 16 which was held in Cancun, Mexico. The relevant paragraphs (68-71) of the Cancun Agreements are given in Annex A. Paragraph 72 of decision 1/ CP.16 requests developing country Parties, when developing and implementing their national REDD+ strategies, to address the safeguards detailed in Appendix I (paragraph 2) of decision 1/ CP.16, ensuring the full and effective participation of relevant stakeholders, inter alia indigenous peoples and local communities. See Annex A. The Cancun Agreements also contend with the importance of addressing land tenure, gender rights, drivers of deforestation and forest degradation and forest governance issues in the context of national strategies.

In 2013, the COP19 which was held in Warsaw, Poland established the Warsaw Framework for REDD+ which consists of Decisions 9-15/CP.19. These decisions on REDD establish the main international rules and procedures for mitigation efforts in the forestry sector for developing countries to be recognized by the UNFCCC and incentivized through payments for performance. The relevant sections of the Warsaw Framework are given here in Annex B for easy reference. Decision 12/CP.19 addresses the timing and the frequency of presentations of the summary of information on how all the safeguards referred to in 1/CP.16 relevant to REDD+ are being addressed and respected throughout the implementation of the activities.

In the Hindu Kush Himalayan region, various countries have initiated their work on REDD+ safeguards but no country has yet made a formal submission to the UNFCCC. Since the countries of the Eastern Himalaya share many common opportunities and challenges it was thought that a workshop which aimed to engage experts from these countries could bring them together to assist them in developing REDD+ safeguards for their own countries as recommended in the above COP Decisions. By focusing on the region the assembled experts had an opportunity to share knowledge and experience across borders. This sharing of information and experiences was a good step towards enabling them to formulate safeguards approaches that are specifically suited to the Hindu Kush Himalaya context and also ultimately contribute to the establishment of a safeguard information system (SIS) for countries in the region.

Objectives and Expected Outcomes

Workshops provide a convenient venue where likeminded experts can network and share ideas. The present workshop brought together experts from the four eastern Himalayan countries and encouraged them to:

- Improve their understanding of the REDD+ safeguards approach and explore how it can be compatibility with existing safeguards
- Establish a technical working group
- Create a network of REDD+ experts
- Make use of this South-South learning platform to exchange ideas, and share knowledge. Furthermore, to extend the networking ties established during the formal sessions by making an informal joint field visit to the nearby Sundarban forest where some aspects discussed in the session could be seen in practice.

The workshop sessions were tailored to enable the participants to have directed discussions on the various aspects of REDD+ safeguards. As a result, by the end of the workshop, the following tangible outcomes were expected:

• Participants would have an updated understanding of REDD+ safeguards

• A network of experts engaged in REDD+ safeguard would be created

• An expert group on REDD+ safeguards would be established and its TOR and work plan for documenting knowledge required to establish a Safeguard Information System in each country would be adopted.

Format

The first three days the workshop consisted of interactive in-house sessions, this was followed by two additional days where the participants were invited for a field visit to Sundarban. The first three days covered all aspects of safeguards in the country context for REDD+. These sessions were designed to allow ample time for interaction and everyone was encouraged to participate.

Day 1 focused on the various aspects of the principles and framework of REDD+ safeguards as they are discussed by the UNFCCC. Discussions were presented by REDD+ partner countries on how REDD+ safeguards could be designed and on what methodologies could be considered. This first day also helped the participants to learn about good practices and how to identify gaps in their current safeguards approaches.

Day 2 focused on safeguard approaches put forth by the UNFCCC that specified the right that indigenous peoples and local communities have to access the forest, and how they need to be part of maintaining forest governance and biological diversity. Case studies from Indonesia and safeguards, tools, and support for safeguard approaches, were the main highlights of day two.

Day 3 was an exercise aimed at creating a regional experts group on safeguards and discussing what could be the take home assignments for these countries.

Partners and Resource Persons

In total 23 participants from the REDD+ partner countries of Bhutan, India, Myanmar and Nepal attended this regional learning and sharing workshop. Participants included government officials from the various ministries of forest and related departments, and from the different country REDD+ implementation centres. The fact that this assembly of likeminded experts (all working on REDD+) had a common interest in safeguards ensured that it would be possible to create a regional experts group on this topic.

The intent of the workshop was to bring together these experts for a dialogue and to facilitate them by allowing ample time so that break out groups could have the opportunity to discuss how the learnings could be implemented and how the challenges to implementation could be overcome. For this reason, the participants were advised ahead of time to come prepared to discuss their own country's system of national safeguards and implementation process. The programme schedule, list of the participants, and quotes from participants are given in Annex C, D, and E, respectively.

Resource persons for this workshop included experts from UNEP, UNIQUE Forestry (UNIQUE is a leading consulting firm with technical expertise focusing on forest and land use, with strong capacity for project development and implementation for sustainable natural resource management) and ICIMOD in-house experts who have worked on REDD+ and safeguard areas across the region.

Day One

Opening Session

This workshop was held to assist countries by discussing how they could be involved in fulfilling their commitment to working on REDD+ in South Asia. In addition to helping to preserve the forests, the Cancun Agreements safeguards for REDD+ are also about the people who are dependent on forests for their livelihoods. The forests of the eastern Himalayan region are an integral part of the system of subsistence agriculture for the people living there; when forest ecosystems degrade then the livelihoods of the people who depend on them are also at risk. Many issues come into play: poverty and forest dependent communities, marginal and indigenous people who depend solely on the forest for their survival, communities of women who are left behind (in the forests and hills) when their menfolk emigrate for work, and so on. The safeguards will need to address these social issues as well and come up with alternative avenues through development outreach.

Partner countries in the region have worked substantially on implementing REDD+. Nepal is a pioneer in REDD+ and Bhutan has recently made a significant start up. Since the countries of the eastern Himalaya share contiguous forests a working group on REDD+ safeguards can contribute significantly to ICIMOD's transboundary landscape approach. Looking to the future, REDD+ can benefit people and biodiversity conservation through good governance. In order to achieve this, the REDD+ Safeguard Working Group will need to work with institutions dealing with safeguards and to expand the regional working group to include civil society organizations and other peers. The learnings achieved in implementing REDD+ safeguards can eventually also be used to influence policy.

Partner Countries' Expectations of the Workshop

Each of the participating countries presented their expectation of the workshop and discussed the REDD+ safeguard work that is taking place in their respective countries.

Bhutan

Bhutan is now in the REDD+ readiness phase; it has recently had discussions on this topic and is committed to working on safeguards. Bhutan has already held one workshop on safeguards with a specifically designated technical working group and has conducted REDD+ Academy training that introduced 12 modules on safeguards. Bhutan's expectations of this workshop are to enhance their own understanding of what safeguards are and to use this platform to share the experiences that they have had in the area. Bhutan hopes that what it can learn from the other three partner countries (India, Nepal and Myanmar) will help them in preparing for a good implementation of REDD+ measures.

India

In August 2015, the Indian Government submitted an Intended Nationally Determined Contributions (INDC) document to the UNFCCC. An important commitment put forth in this INDC is India's intention to sequester three billion additional tonnes of carbon dioxide by 2030. In doing so, India has signalled its intention to be land degradation neutral by 2030. India's Compensatory Afforestation Fund Management and Planning Authority (CAPMA) is an important body that will oversee the implementation of land degradation

reduction activities. REDD+ has a huge scope in India which encompasses much more than merely biodiversity conservation and safeguards. In India, nine other institutes are to embark on REDD+ pilots; moreover, each forest institute must implement at least one REDD+ measure.

India is already familiar with the Monitoring Reporting and Verification (MRV) aspects of REDD+ as well as with the aspects that involve biodiversity conservation, afforestation, and reducing deforestation activities. However, India is still at the initial stages with respect to safeguards and it welcomes the opportunity to learn and share at this workshop. Since there are many levels of work measures, they need to be put into perspective and need to be more focused. Once a Safeguard Information System (SIS) is instituted for the Himalayas, it can be expanded to other areas. The India team concluded by saying that it was looking forward to hearing what experiences other countries had had.

Myanmar

The Myanmar Forest Department reported that it is happy to work together with ICIMOD and the region on REDD+. This is a very important time for Myanmar since the country is currently working toward sustainable forest management in an attempt to meet the peoples' needs. Myanmar mentioned how a recent past meeting at ICIMOD headquarters on 'Developing Strategies for Communication, Partnership and Monitoring of Regional REDD+' had been an effective way to get to know other partners working on REDD+ under the REDD+ Himalaya Initiative. Myanmar said that it looks forward to a chance to work together with countries in the region on REDD+ safeguards. Myanmar believes that REDD+ can be an important way to institute sustainable forest management and promote the economic development of forest-dependent communities. In order to be able to successfully adapt to climate change it is crucial to strike a balance between the use of forest resources and the long term sustainability of forests. Myanmar has been working on REDD+ activities since 2010; the REDD+ roadmap is ready and now it is time for implementation. Myanmar values the use of safeguards and it looks forward to a pilot at the regional level. Based on the results, Myanmar can have country-level approach. Myanmar has conducted capacity building workshops and has a REDD+ Academy; moreover, it has shared best practices and learnings on REDD+ in the country.

Nepal

The REDD+ safeguards, as outlined by UNFCCC present both an opportunity and a challenge. Nepal works closely with ICIMOD who, over the past several years, has worked to advance a common understanding on REDD+ safeguards by bringing partners together. Snce safeguards are critical there needs to be a common understanding on safeguards at the regional level which will require a sustained effort. Since it is not possible to address all the

different aspects of safeguards at a single event, the dialogue will need to continue. At present, Nepal is working on activities to identify REDD+ socioeconomic criteria and standards.

Introduction to REDD+ Safeguards

The session started with an overview of REDD+ safeguards and of the COP decisions regarding safeguards and went on to discuss safeguard initiatives and country safeguards approaches in order to familiarise the audience with the concepts.

REDD+ safeguard measures are intended to prevent and mitigate any undue harm that can possibly occur when REDD+ is implemented. Safeguards can be instituted to ensure that the REDD+ process is inclusive and transparent with respect to indigenous people and local communities and that the protection of biodiversity is an integral part of the overall strategy to reduce emissions. The following are key elements to ensure that REDD+ safeguards are successfully implemented:

• The country in question should promote and support safeguards;

• The safeguards should be in line with the national REDD+ strategy and should be part of all phases of REDD+ implementation;

• Parties implementing REDD+ should develop a system for providing information on how safeguards are being addressed in the policies laws and regulations (PLRs) of the country and reflected in the country's safeguard information system (SIS); and

• The country in question should provide a summary of how all the safeguards are being addressed and respected and of how grievances can be redressed.

Over the past six years several COP decisions have dealt with safeguards for REDD+. For example, the Cancun Agreements 2010 developed a set of seven REDD+ principles which are mandatory to implementation. The decisions arising from the meeting in Durban 2011 included the development of a REDD+ safeguard information

Figure 1: **Summary of the objectives/uses and information sources that feed into the creation of a safeguards information system**
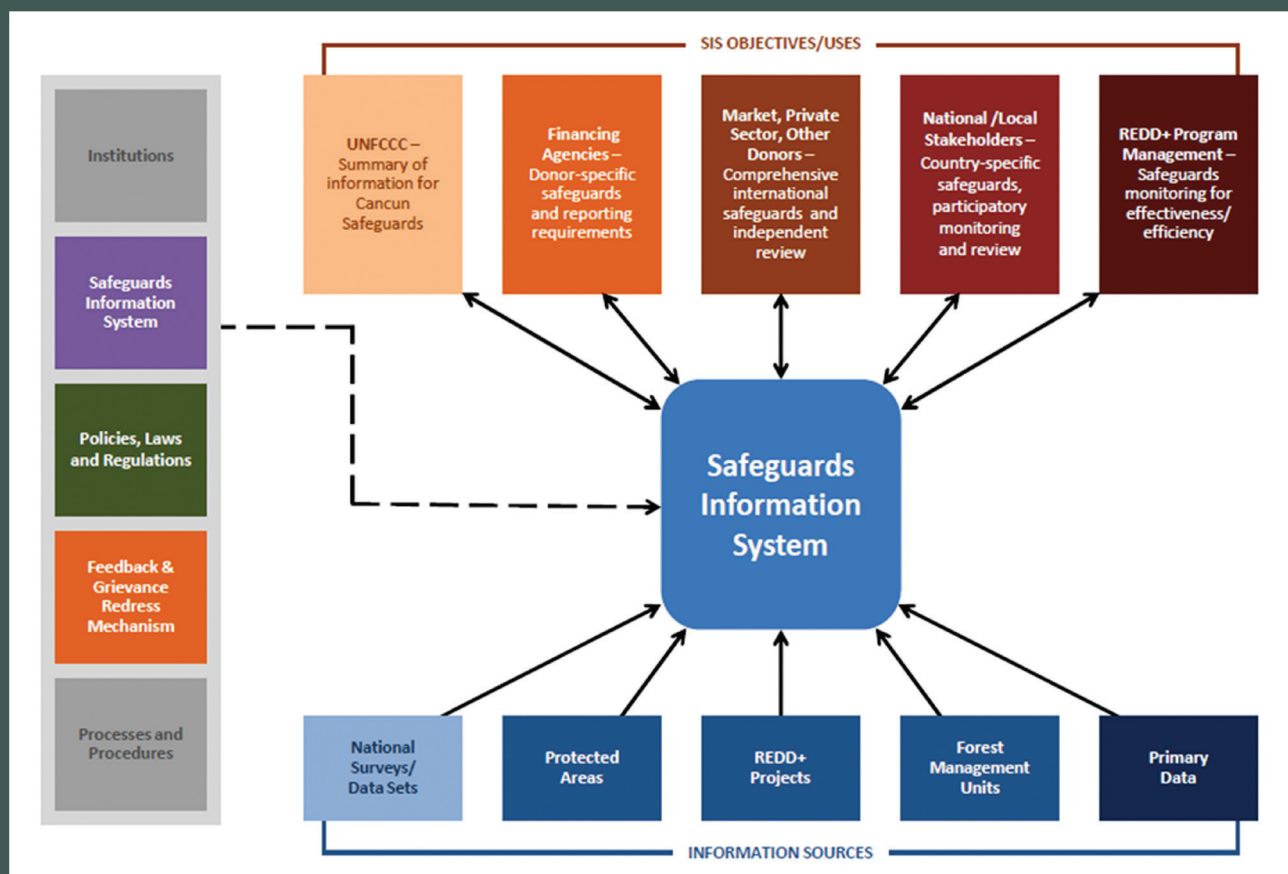
Figure 2: Main steps in the development of a country safeguards approach
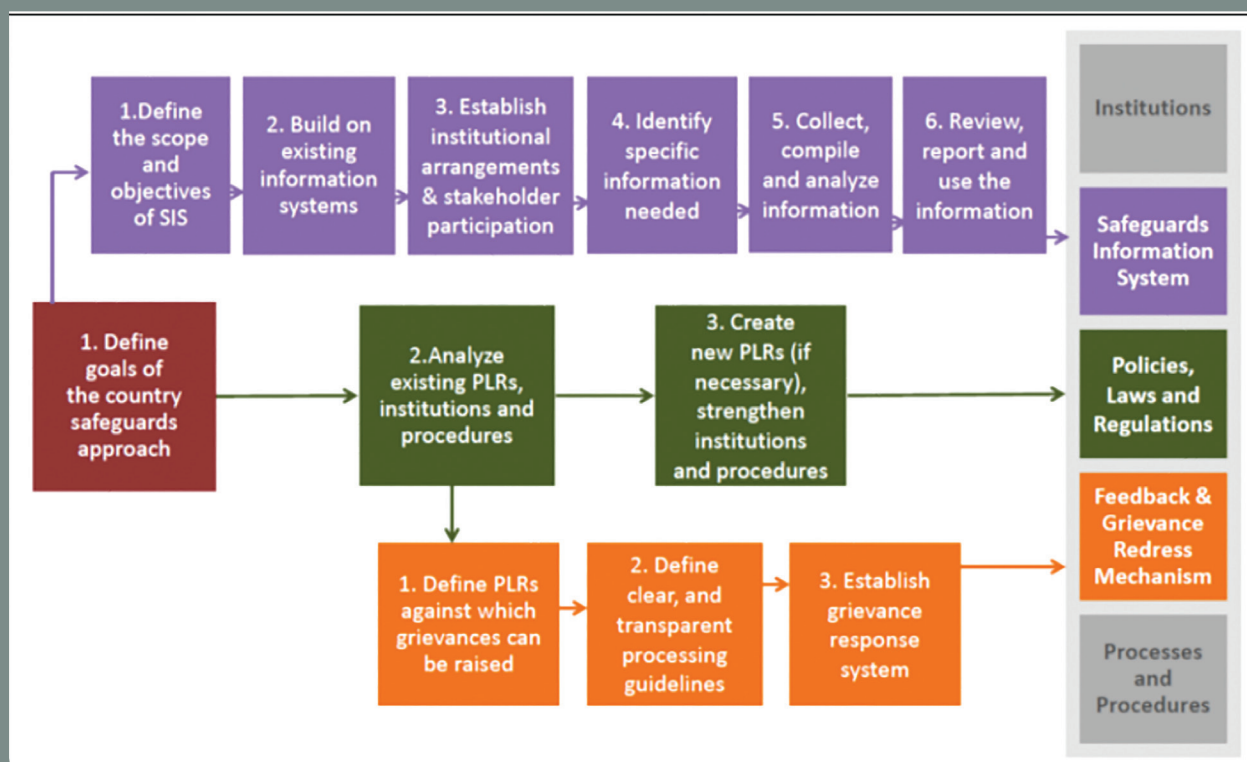
system that should be established to ensure transparency, consistency, effectiveness, and comprehensiveness. It also stated that countries should provide a 'summary of information' on implementing REDD+ safeguards through a formal reporting channel and said that such information could also be voluntarily shared through the UNFCCC website. The meeting in Warsaw 2013 advanced suggestions on the timing of safeguards and on the frequency with which parties should report on safeguard compliance. At Lima in 2014 there was no noteworthy decision regarding safeguard.

Some of the other initiatives that deal with safeguards and their focus area are:

• The REDD+ Social and Environmental Standards (REDD+ SES) developed REDD+ safeguards indicators and criteria;

• The UN-REDD Programme developed six key principles;

• The World Bank's Forest Carbon Partnership Facility that has a mandatory implementation of Strategic Environmental and Social Assessment (SESA) and Environmental and Social Management Framework (ESMF). Out of the 10 SESA policies, five are in compliance with REDD+ safeguards.

However, in practice, when implementing these safeguards at the country level, it is often observed that a few challenges still exist. Stakeholders at different levels may have different levels of awareness of the need for safeguards. This gap can be addressed by capacity building of relevant stakeholders at multiple levels. Another challenge is that not all funding agencies have the same safeguard requirements and reporting requirements. It can be complex and time consuming to address the concerns of all the individual funding agencies regarding safeguards and it may be useful to streamline and harmonize the approach.

The Community and Biodiversity Alliance (CCBA) in 2014 identified three elements of the country safeguards approach; these are: 'policies, laws and regulations' (PLRs); 'safeguard information systems' (SIS); and feedback and 'grievance redress mechanisms' (GRM). In particular, SIS can help in the following ways:

• By helping in the overall implementation of REDD+. Specifically, by providing information on what is working and what is

not, and in so doing identifying problems early on before oversights result in failure;

• By building confidence in REDD+ at the national and international levels through an inclusive stakeholders consultation process which helps to collect and review information; and

• By facilitating the flow of finances from the REDD+ funding agencies by reassuring them that real environmental and social benefits are being generated.

SIS objectives/uses and sources of information are given in Figure 1. To ensure the effective design and implementation of these elements, formal and informal institutions can follow the processes and procedures that shape the elements such as consultation, access to information, strategic assessment, analysis, record of information and the like. Figure 2 explains the main steps that a country can use to develop a safeguards approach. The presentation that Figure1 and Figure 2 were taken from is available in its entirety in Annex F.

Potential Elements of a Country-Led Safeguards Approach: Nepal, India, Myanmar, and Bhutan

Each of the participating countries presented their country-led safeguards approaches. In their discussions they covered different aspects of safeguards and highlighted the status and progress made to date in their respective countries. The presentation made by each country is summarized here below.

Nepal

Nepal's REDD+ readiness programme, for a total of US$ 3.4 million, was approved till 30 June, 2015. An emission reduction project idea note (ER-PIN) was submitted and accepted at the Ninth Carbon Fund Meeting in April, 2014. The World Bank signed a letter of intent with Nepal's Ministry of Finance on June 2015 whereby the World Bank will provide funds for the preparation of an Emissions Reduction Programme Document (ERPD). The next step is to complete the preparation of this document and to sign the Emission Reductions Payment Agreement (ERPA). REDD+ activities in Nepal are undertaken by its REDD+ Implementation Centre partner agencies like ICIMOD, the World Wildlife Fund (WWF) and the Federation of Community Forestry Users, Nepal (FECOFUN).

Nepal perceives safeguards as procedures and approaches that can help to ensure that REDD+ activities 'do no harm' to either people or the environment. Nepal's commitment to safeguards aims to:

• Ensure a more equitable distribution benefits and costs;

• Address the underlying drivers of deforestation;

• Increase investment in REDD+;

• Help Nepal to meeting international safeguard requirements;

• Reduce environmental risks and enhance multiple benefits;

• Monitor social and environmental wellbeing; and

Promote the effective delivery of REDD+.

Nepal will use its policies, laws and regulations (PLR) together with its safeguard information systems (SIS) as the main elements to implement the Strategic Social and Environmental Assessment (SESA), developing Environment and Social Management Framework (ESMF), REDD+ Social and Environmental Standard (REDD+ SES) and to operationalize the grievances redress mechanism. In Nepal, a REDD Working Group acts as the national standards committee for REDD+ SES.

Nepal has existing policies, laws and regulations and institution; moreover, there are traditional and customary mechanisms at the local level which can be used to safeguard the rights of local people. So far there have been a few pilot sites where the REDD+ SES has been implemented and where the SESA/ESFM process has been scrutinized through multi-stakeholder consultations and, in addition, one study on the grievance redress mechanism has been completed. Out of 65 indicators, some of the indicators are not supported by policies, laws and regulations; but this may be indicative of the shortcoming of having so many indicators to fulfil.

Nepal's Safeguard Information System

Nepal is at the initial stages of developing a safeguard information system. This system will be based on the existing policies, laws and regulations for forest management system and the experience it has gained from SESA. Furthermore, an existing institution will be strengthened so that it can better assist in developing safeguard information system.

National circumstances assisting safeguard information system

Nepal has considerable experience in reporting to institutions such as the CBD, the Forest Resource Assessment (FRA), the National Communication on greenhouse gas (GHG) inventory submission, and the Forest Carbon Partnership Facility (FCPF). Based on this previous experience, there is an institutional set up that can assist the establishment of a safeguard information system for Nepal. Additionally, there is a strong involvement of community-based organizations that are helpful in feeding local-level information and that can contribute to safeguard information system. The New Constitution of Nepal also supports the right to information, the right against discrimination, the right to inclusion, and the participation of communities in decision making on natural resources of the country. Nepal's policies, laws and regulations and its Good Governance Act are in accord with the Cancun Agreements and the World Bank safeguards. Nevertheless, working out a safeguard information system still has a few challenges; these are listed here as:

• Nepal has many policies but, to date, there has only been a limited review and revision of these PLRs. Also, there has only been a limited gap analysis of the socio-political and global environmental dynamics;

• Monitoring and reporting systems need to be improved and strengthened;

• Different donor projects require disparate safeguard information systems and indicators;

• Stakeholders need to engage at multiple levels (and need to overcome issues of corruption and other hurdles);

• At present there are still too many indicators to address the interests of diverse stakeholders;

• Proxies are needed to ensure outcomes;

• Mechanisms need to be worked out to assess outcome indicators since these are presently lacking; and

• Some of the indicators are not supported by existing policies, laws and regulations.

Presentation entitled 'Status of REDD+ Safeguard in Nepal' is available in Annex G.

Nepal: Questions/Discussion

Why is Nepal engaging heavily in REDD+ Social and Environmental Standards (SES)?

• There is no harm in adopting REDD+ SES. In future, REDD+ implementation centres will continue to work on REDD+ safeguards and to focus on items specified in the Cancun Agreements.

• The SES guidelines are internationally developed standards that are appropriate to Nepal. At present Nepal is working to add to and build on this international process. By participating in the SES process Nepal hopes to gain the experience and confidence that it can bring to developing other similar standards.

Developing a consensus around national REDD+ safeguards means encouraging multi-stakeholders participation. How can the REDD+ implementation centres who have taken on this task work to ensure multi-stakeholders participation from other line agencies?

• How the Nepal REDD+ Implementation Centres can bring all stakeholders together at multiple levels is a concern. REDD+ strategy is in its final stages, this highlights the need to engage the multi-stakeholders.

• The REDD+ Desk and the REDD+ Working Group can decide to bring in the stakeholders in a formal way since without the engagement of civil society organizations the implementation of REDD+ at the national level is impossible.

• The REDD+ process is a pioneer in community-led natural resource management at the national level. Nepal is grappling with how best to engage district-level stakeholders so that they too can contribute to the process. How to engage multi-stakeholders is a learning process; what is learned in this process can also be valuable for other working groups.

• The District Forest Coordination Committee and all stakeholders and rights holders are part of the process.

India

Safeguards are a major element to uphold the four building blocks of REDD+. All the elements of a safeguard information system are already built into India's National Forestry Governance's policies, rules and regulations. What is needed now is to streamline (or dovetail) these in accordance with UNFCCC decisions. Since at present not much work on safeguard is done in India, this workshop will help India to come up with a working modality on safeguards. India can learn much about safeguards from REDD+ Himalaya that it can apply it in India. A few REDD+ projects have started in some states in India. At the national level, little work has been initiated in spite of the fact that India is a major contributor to the UNFCCC COPs.

India will approach the development of a safeguard information system by building on the existing system and by aligning with international requirements like those suggested by the UNFCCC. India envisions a system whereby REDD+ safeguards are centrally driven but are implemented by the individual states. Individual states will use existing institutions like those already used for Joint Forest Management (JFM) (i.e. the JFM Committees) and others such as the Biodiversity Management Committees. Presentation available in Annex H.

India: Questions/Discussion
What is the vision for safeguards? Will these be centrally administered?   • At present it has not been possible to go to that level because circumstances at different levels vary. The government can come up with broad guidelines that can then be scaled down to the state level during the implementation phase.   REDD+ safeguards at ground level can be very complex; developing a safeguard information system will help to work through such complexities.How do you envision the involvement/visibility of NGOs in the safeguard information system process?   • Through a participatory approach.

Myanmar

Myanmar foresees that there are risks associated with REDD+ implementation. These risks can be summarized as follows:

- Natural forests may be converted to plantations or put to other uses which may be of low biodiversity value and low resilience;
- Traditional territories may be lost resulting in the displacement and relocation of indigenous people and forest dependent communities;
- People's rights may be eroded or lost and they may be excluded from lands, territories and resources;
- Ecological may be lost;
- Traditional and rural livelihoods may be lost;
- REDD+ may lead to social exclusion and there may be elite capture when benefits from REDD+ are distributed;
- Local livelihoods may be lost and local people may have reduced access to forest products;
- Implementation of REDD+ may lead to the creation of contradictory or competing national policy frameworks;
- The benefits of forests may be traded-off at the expense of maximizing the carbon benefits; and
- Human-wildlife conflict may increase when the population of wild animals (who raid crops) thrive as a result of better protected forests.

In order to address these concerns, Myanmar has come up with the REDD+ Readiness Roadmap. Safeguards were an important component that was built into the implementation framework in the process of developing this Roadmap (with financial support from UN-REDD). Myanmar's country-led development of a national REDD+ social and environmental safeguard system incorporated all of the safeguards proposed in the Cancun Agreements.

Status of REDD+ safeguards in Myanmar

Myanmar has not yet developed a full REDD+ safeguards information system; nevertheless, in the meantime it has used project-level safeguard guidelines. A review of the project-level safeguards was conducted by the REDD+ Core

Unit. In addition, there recently was a meeting of the REDD+ Working Group on stakeholder engagement and safeguards. Now it is proposed that the Myanmar Readiness Roadmap can be implemented.

In order to develop a country-level REDD+ safeguard information system, specific guidance on indicators, methodologies, and a framework for provision of information are required. One hurdle is the fact that to date there is only limited awareness about the need for a safeguards information system among government staff, the communities involved, NGOs, community service organizations (CSOs), and the like. This is compounded by the fact that there is also only limited technical and financial support, as well as only limited knowledge and guidance about the type of information needed. A few of the obstacles to developing a REDD+ SIS are: the limited consultation process and initiatives for developing safeguards policies, laws and regulations; and the research needed to assess the social and environmental objectives as well as the potential benefits and risks from REDD+. Moreover, Myanmar has more than 100 ethnic minorities groups many of which live in poverty. The socio-economic condition of 69% of the forest-dependent community is very poor and these communities lack even basic livelihood options and strategies. Furthermore, the country is presently facing a loss of traditionally used territories; natural forests are being replaced by plantations; there is a loss of traditional culture; there are contradicting sectorial policies, and in the countryside there is ever increasing human-wildlife conflict.

Myanmar's Forest law is in the process of being amended. Through gap analysis Myanmar has an opportunity to identify where safeguards are missing and to make sure that safeguards are built into its revised policies, laws and regulations. Myanmar wishes to develop a methodology for monitoring and reporting on safeguards performance and to identify and develop institutions dedicated to monitoring and reporting. In addition, Myanmar further seeks to establish a mechanism whereby grievances can be redressed, and to develop indicators that can be used to monitor the performance of safeguards. This new expertise can be developed in part by: i) strengthening the multi-stakeholders network (including donor agencies); ii) forming a safeguard technical working group comprising of representatives from various stakeholders (including the government, NGOs, community service organizations, ethnic groups, local communities and others); and iii) by disseminating REDD+ information to constituencies through their representatives using culturally appropriate means (such as through technical working group meetings and through the national workshop for reviewing existing PLRs). The presentation summarized here is available in Annex I.

Myanmar: Questions/Discussion
What role do NGOs play in developing safeguards? Is it an active role? • Myanmar has more than 100 ethnic minority groups and there is active participation on the part of NGOs and CSOs. More than five NGOs/CSOs are interested in working on REDD+ safeguards. • This is a big task to be undertaken by the Government alone. The Government has offered to work together with NGOs/CSOs in terms of language and other activities. Land entitlements are an issue. Until there is a clear demarcation between forest and agriculture lands, it will be difficult to work on REDD+ safeguards. Please elaborate. • The Government is presently working on a national Land Use Policy (with support from USAID and UNEP) and its implementation as well as on land mapping. • A separate but important issue is to understand the management of agriculture, forests, and mining. At present, 25 line departments are working on this.

Bhutan

Bhutan is 'destined' to be a REDD+ country due to its environmental leadership. Bhutan's constitution has a commitment to environmental stewardship whereby it requires the country to maintain at least 60% forest cover; moreover, at COP 15 Bhutan declared its intention to be carbon neutral forever. Bhutan started its REDD+ discussions in 2010, its strategy development was initiated in 2012, and its REDD+ Readiness Programme runs from 2014 to 2018. A technical working group on safeguards and governance has already been formed. In 2012 the country conducted a national awareness workshop on safeguards to come up with some preliminary ideas and this was followed by a national-level workshop on safeguard in October 2015. The stakeholder engagement guidelines and corruption risk assessments have now been completed. The grievance redress mechanism will be

based on existing judiciary and local systems. Furthermore, during REDD+ implementation there are requirements which ensure that all feedback is registered and that records of such are maintained.

Bhutan is in the process of preparing a roadmap for safeguards and multiple benefits which builds on the UN-REDD's guidance on safeguards. Bhutan's Roadmap defines safeguard goals and links these to the UNFCCC's Cancun Agreements safeguards, to the World Bank's SESA and ESMF, and to additional safeguards which are relevant to Bhutan (potentially linking to Gross National Happiness domains and its recent National Biodiversity Strategy and Action Plan). Under the assessment of risks and benefits, the various policies and measures, and the UN-REDD Benefits and Risks Tools have been tested and adopted. However, these are subject to revision once the strategic options informed by the pilot studies have been completed. The completed PLR analysis indicates that the existing systems adequately address safeguards, but further work is needed to additionally check whether the Cancun Agreement safeguards were all taken into consideration. The presentation is given in Annex J.

Bhutan: Questions/Discussion
How can safeguard measures such as those for human-wild life conflict, and climate change be integrated into CBD and REDD+ strategies at the country level?   • The challenge for developing the country's safeguard system is designing principles and criteria. In addition, countries have to report to too many different protocols. If the CBD and UNFCCC elements could be merged, it would simplify reporting.   • Good forest governance in the region needs to be seen in a transboundary context, and as such, it needs to encompass the human-wildlife conflict and to find suitable safeguards for this also.   • In developing safeguards, Bhutan can learn from other countries in the region, especially from Nepal.

A South-South Learning Platform

A key to the success of any project depends on: i) a clear and plausible strategic orientation; ii) a clear understanding of who will be cooperating and how; iii) a good operational steering structure; iv) a clear understanding of the key strategic process; and v) measures to develop and consolidate learning capacities. It is widely acknowledged that the process of knowledge transfer relies for the most part on learning platforms. For the free flow of information among the REDD+ partners on the issue of safeguards (and other relevant issues) the countries involved will need to find the best way to capture the diverse information being shared.

In order to facilitate information sharing REDD+ Himalaya is establishing a South-South learning platform. The need for such a platform became apparent when it was realized that each of the countries is working bilaterally with UN-REDD and the World Bank but that there is no sharing of REDD+ ideas among HKH countries. Since the four partner countries are at different stages of REDD readiness each will have ample opportunity to learn from its neighbours in the region. It is envisioned that ICIMOD's South-South Learning Platform will help countries to learn and share experiences about successful initiatives which will help them to replicate and scale up successful models and cases in their own countries. Practitioners from participating countries will exchange best practices and in so doing obtain new perspectives and new approaches. For example, this platform should be very helpful to countries like India who have not yet fully taken on the challenge of developing safeguards. The platform can also be a place to share experiences pertinent to the region on what approaches work and which do not in the context of the HKH region. Countries can work together to standardize datasets for the four components of REDD+ (monitoring, reporting and verification; national forest monitoring systems; safeguards; and forest reference levels) given that much of the context and national circumstances in the HKH are similar. In the context of the ICIMOD regional learning platform, knowledge exchange can take place in the form of workshops, thematic conferences or symposia, one-on-one exchanges of information (i.e. by phone, Skype, and email), shared websites (where research findings are posted and key documents are shared), and the like. The presentation on ICIMOD's regional learning platform is given in Annex K.

Day Two: Group Work Presentations on the Key Questions

The second day of the workshop focused on the planning process; during the course of the discussions it was possible to define the scope, point out the strengths and work out many of the procedural details involved with setting up the learning platform. Group work was key in working on the four steps: answering the key questions, identifying and safeguarding relevant knowledge, assessing the learning capacity of the group, and setting up and operationalizing the platform.

With a vision to enabling a 'centre of excellence for people's climate and mountain stronghold' the assembled desired to establish a 'regional learning platform for demystifying safeguards through enhanced cooperation, increased understanding, and knowledge sharing'. The South-South Learning Platform is a centre of excellence which is being established with the objective of:

• Generating knowledge on the environment–poverty interface in the mountains;

• Increasing access to knowledge for all audiences; and

• Developing capacity through exchange programmes.

A homogenous group consisting of members from all four countries (Bhutan, Myanmar, India, and Nepal) and ICIMOD worked in groups on: the strategies, steering structure, cooperation, process and learning. The ideas generated through the group work are presented here below.

Bhutan: Strategies Which Way Do We Want to Go?

Bhutan headed the group discussion on strategies for creating a learning platform.

Table 1 Strategies for Creating a Learning Platform					
Does learning happen at the moment? How does it happen?	What joint objective can we agree on? What technical as-pects of the REDD+ process can be in-cluded in the learning platform?	What strategic options (ways to achieve ob-jectives) are there?	How do we select one? What are the criteria for our choice?	Are the activities and outputs of all partners mutually harmonized?	How will learning be integrated into the strategy?

Table 1 Strategies for Creating a Learning Platform					
There is a good knowledge base that exists mostly in publications, reports, and the media. Unfortunately, these remains mostly shelved and are unused.	Those relevant to safeguards: national forest monitoring systems; strategic monitoring and environmental assessments; ESMF, community risk assessment, scientific expert group, and so on.	ICIMOD, SAARC Forestry Centre, bilateral programmes, and others Find out who needs to learn and how will they learn Create ways to foster new ideas and innovation Develop a structured process whereby knowledge can be generated, disseminated, and used Evidence-based learning and policy development Learn from other sectors, particularly the corporate sector Create a learning culture Make the most of virtual modes as they are inexpensive but keep in mind that they are not always the most effective	As an institution ICIMOD has the reputation, experience, and connectivity that we can build on. To the extent possible, work with existing institutions and do not create new ones since this can be expensive and bureaucratic and can duplicate existing efforts.	There is a need to negotiate and to work with multiple stakeholders in a spirit of compromise.	By following basic principles

Myanmar: Steering Structure

The group discussed how to develop a steering structure. Figures 3 and 4 were used as a basis for discussion. The group focused on the following questions that needed to be addressed to come up with an optimal solution:

- How do we decide, how do we steer the pro`cess?
- Do structures already exist or do we have to set them up?
- Are there any measurable variables to base the steering on?
- Are there any monitoring systems that can be used to inform the steering process?
- What does the plan of operations for implementing the strategy look like?

Figure 3: Illustration of the steering structure and functions
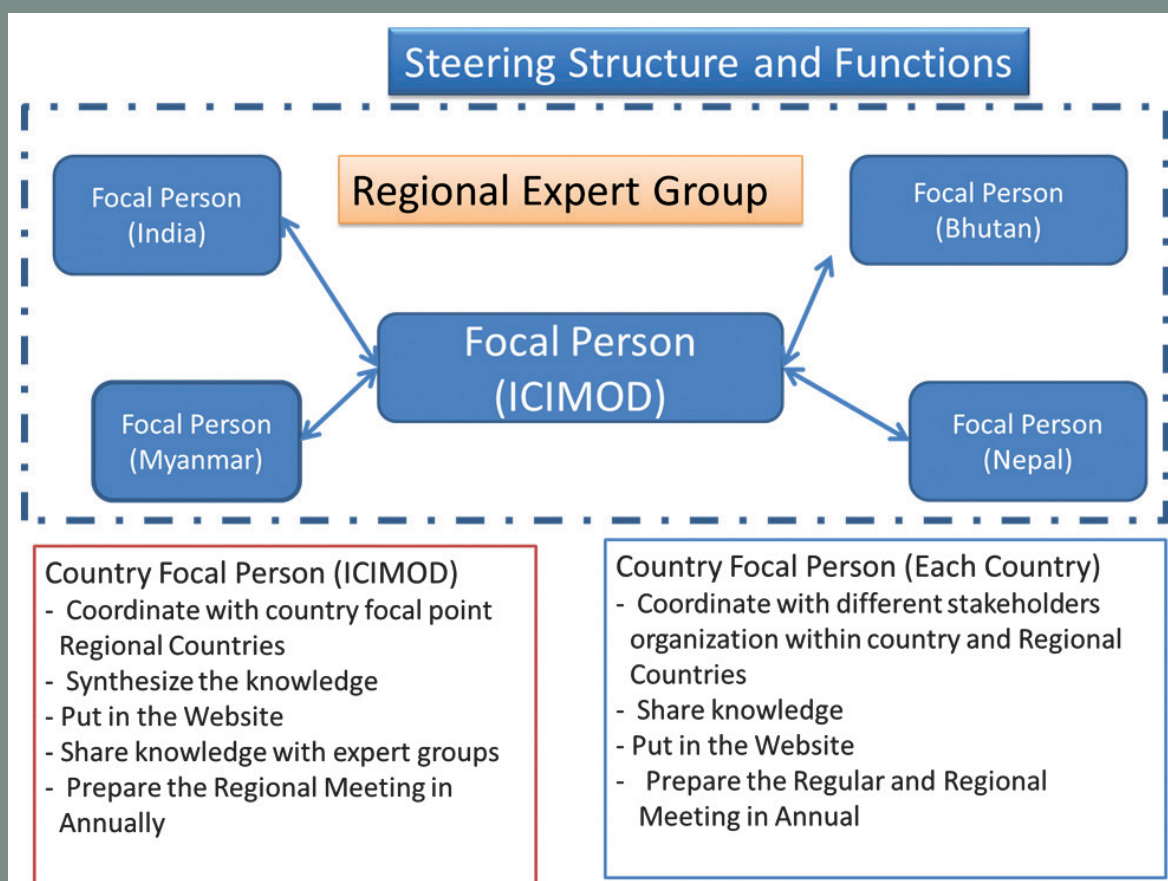
Figure 4: Flow diagram for the steering process
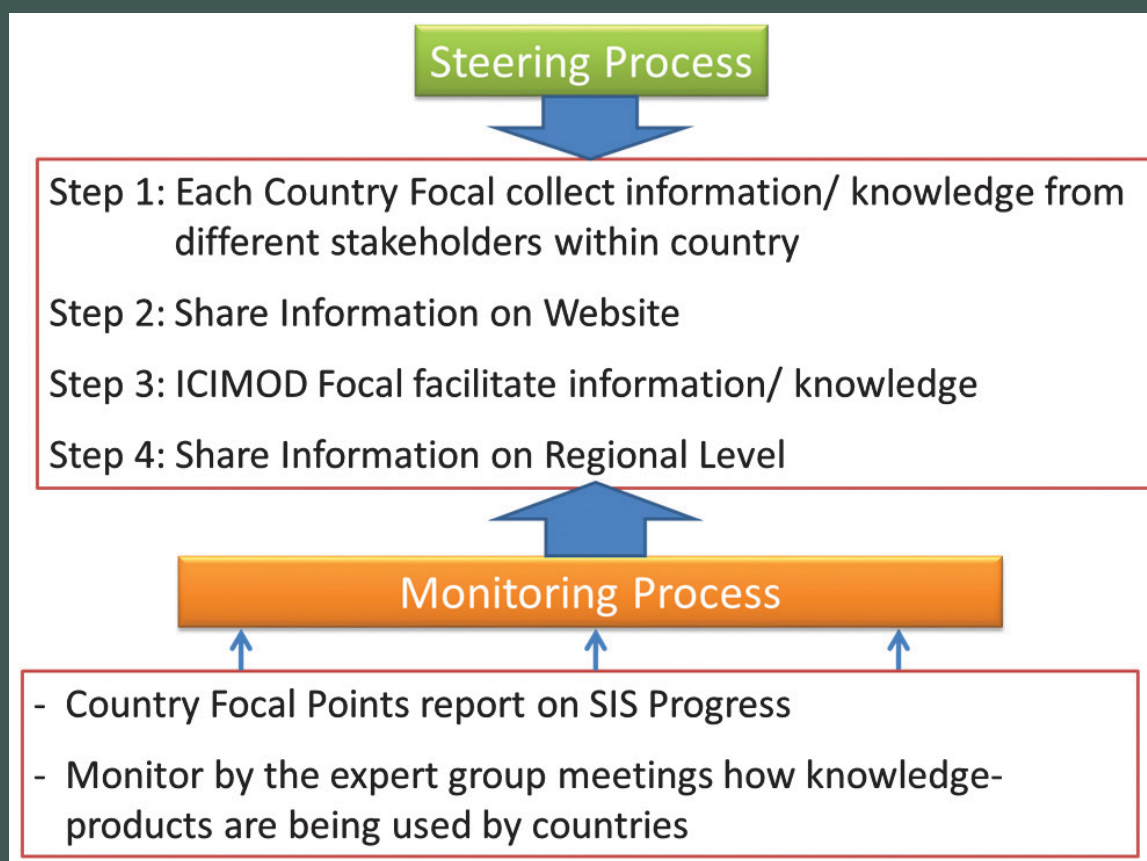
India: Cooperation

The group discussed cooperation and who should be able to participate as member of the learning platform.

Table 2 Cooperation and members of the learning platform						
Relevant actors	What mandates, roles, and interests does each one of them have?	Any diverging interests?	Other actors involved in helping to achieve objectives	Appropriate format of cooperation	Would stra-tegically important outside re-sources be helpful?	What comparative advantages make for an attractive coop-eration partner?

Nepal: Learning and Innovation

The Nepal group lead the discussion on learning and innovation.

Table 3 Learning and Innovation for the Platform				
What learning goals does the project have?	What are the learning needs on the three levels (individual, institutional, and systemic) of capacity development?	What capacities do we have in our group for de-veloping strategies, mak-ing cooperation effective, and managing the pro-cesses?	How will the learning be supported and mainstreamed within the pro-ject?	How do we analyse and docu-ment existing knowledge and lessons learned to support the learning capacities within the group?
To share country-level experiences To learn from international practices and guidelines To develop a common understanding among different stakeholders	Learning needs: technical knowledge; policy and legal framework; and knowledge transfer and management	Sector representatives are of diverse backgrounds and bring a wide range of experience on topics from programme implementation to policy processes Good understanding of the complexities of the issue Spirit of good cooperation Knowledge transfer system	Clearing house mechanism established and operational Knowledge management information system operational Documentation Sharing with stakeholders through different means (presentations, displays, and so on) Media/social media Field-level sharing at farmers' schools, eco-clubs, and users' networks) Strengthening networks of professional organizations Linking with academic and training institutions	Continuous reflection and feedback mechanisms Gap analysis through comparative studies Knowledge archiving Sharing at national and regional platforms

ICIMOD: Processes that can be used to Create REDD+ Champions in the Region

ICIMOD led the discussion on how to create REDD+ champions.

Table 4 Processes to Create REDD+ Champions in the HKH Region through a Learning Platform				
Output processes (to reach the objective)	Cooperation processes (to coordinate our efforts)	Learning processes	Support processes	How can the processes serve as an innovative model for our own organizations and beyond?
Find commonality and differences in the HKH Support the establishment of a safeguard information system in the region Produce knowledge products, such as publications and web-based information Encourage each country's ownership and promote the use of output (i.e. outcome level)	Work on the same theme in the region Establish a lobbying point at international negotiations where HKH countries can find a common rallying point Develop an internal communication strategy	Organize meetings for partners and lead authors Identify contributors Cooperate on drafting and sharing the outline and meet to review the draft report Work jointly Exchange experts such as visiting scholars Routinely exchange information via Skype, meetings, emails, and so on.	Involve donors, NGOs, academics, and experts in the platform Seek advice from experts Identify lead institution and partners Facilitate and coordinate the entire process by lead partners and institutions Identify and support the needed technical backstopping	By showing that it is possible to have a country-driven South-South learning platform that is functional and useful for all members

Country Approaches: Applying the UNFCCC's REDD+ Safeguard Tools and Approaches

The safeguards discussed in the Cancun Agreements are general statements of principle that individual countries need to apply to their own national circumstances. Over the past three years or so, the UN-REDD Programmeme together with other initiatives such as REDD+ SES, FCPF and related agencies has endeavoured to capture the experiences of different country approaches to safeguards. In so doing they have been able to identify emerging common steps that can be used to develop and refine a generic country approach to safeguards. Country approaches to safeguards allow a country to respond to international safeguard frameworks by building on existing governance arrangements that, combined with national policy goals, can be used to operationalize the Cancun Agreements safeguards. The 'governance arrangements' targeted by country approaches typically comprise three core elements which together ensure that the social and environmental risks from REDD+ are reduced and that benefits are enhanced; these include:

- Policies, laws and regulations which define what needs to be done in order to support REDD+ action implementation in a manner consistent with the Cancun Agreements and other safeguards;
- Institutional arrangements (and their mandates, procedures and capacities) which ensure that the relevant policies, laws and regulations are actually implemented in practice; and
- Information systems which collect and make available information on how REDD+ safeguards are being addressed and respected throughout the REDD+ implementation process.

(Aside: Note that some countries, particularly in Latin America and in the Caribbean, also include GRMs and law enforcement mechanisms in their 'governance arrangements' for addressing and respecting safeguards.)

There is no blueprint for a universal approach to safeguards; each country's approach to safeguards will be different and will reflect the specificities of national contexts as well as their overall goals and scope of safeguards

application. However, previous experience can help to identify some generic steps which may be useful for countries planning to develop their own approach to safeguards; these are illustrated in the Figure 5 below. Countries may decide to undertake all or just some of the steps (in any sequence) depending on their own specific context. (For more information, please see "REDD+ Academy Learning Journal 8: REDD+ Safeguards under the UNFCCC" by the UN-REDD Programme).

The UN-REDD Programme has developed tools that can support the development of country approaches to safeguards using the Country Approach to Safeguard Tool and the Benefit and Risk Tool:

Country Approach to Safeguard Tool (CAST)

CAST is an Excel-based, flexible and process-oriented tool. Please see: http://www.un-redd.org/tabid/133448/Default.aspx. CAST is designed to support countries to:

• Make an informed assessment of and plan for development and application of their country approach to safeguards;

• Identify, prioritize and sequence relevant REDD+ safeguards and SIS activities;

• Identify available information resources; and

• Clarify how the processes under various safeguards initiatives correspond.

Benefit and Risk Tool (BeRT)

BeRT is designed to support countries to Assess benefits and risks. Please see: http://www.un-redd.org/multiple_benefits/sepc_bert/tabid/991/default.aspx. In particular, BeRT can:

• Identify benefits and risks associated with REDD+ actions, in the context of the Cancun Agreements safeguards;

• Determine how the country's existing policies, laws and regulations already address the risks or promote the benefits identified;

• Identify gaps in the PLR framework that may need to be filled in order to address and respect the Cancun Agreements safeguards during REDD+ implementation;

Figure 5: Flow diagram showing some generic steps that can be useful in planning approaches to safeguards
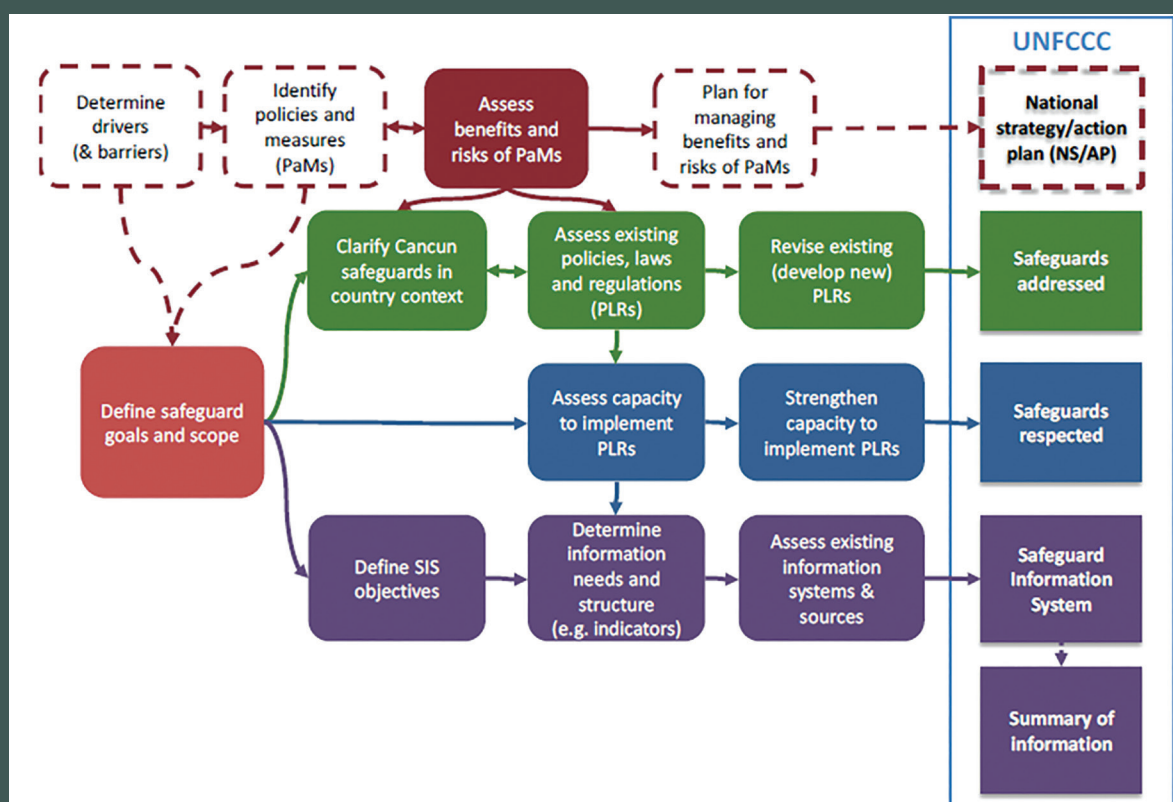
- Utilize information on the benefits and risks of specific REDD+ actions to inform decisions on which actions to include in the REDD+ national strategy or action plan; and
- Provide content for use in the summary of information on how countries are addressing and respecting the safeguards through existing policies, laws and regulations.

In addition to assisting country approaches to safeguards, other safeguard-related support offered by the UN-REDD Programme includes participatory governance assessments (PGA), piloted in Indonesia and Viet Nam; the development of guidelines on free, prior, informed consent (FPIC), and spatial mapping exercises for biodiversity conservation. The presentation on 'Applying the UNFCCC's REDD+ Safeguards Tools and Approaches' is given in Annex L. (For more information, please see: http://www.unredd.net/index.php?option=com_content&view=article&id=2292:redd-safeguards-resources-unfccc-cop21&catid=98:general&Itemid=749)

Discussion/Question:
Is Viet Nam's pilot PGA part of a National REDD+ Action programme activity? • Since a PGA is tailored to meet a country's particular needs, it is tailored to their specific context. Keeping this in mind, the results from the PGA can be utilized differently. In Viet Nam, the PGA has informed the development of the Provincial REDD+ Action plans and, as such, can contribute information as to how the Cancun Agreements safeguards can be applied to forest governance. Viet Nam's SIS is based on data collected from three provinces. • PGAs can be conducted in other countries also.

Group Work: Identifying Each Country's Strengths and Weaknesses

The participants discussed what each country's strengths and weaknesses were and how they could help each other.

Table 5 Individual Good Practices and Gaps in the Current Safeguard Progress and Approach				
	Strengths	Weaknesses/ limitations	How can one country support another (linking strength and weaknesses)	Discus-sion/question
Bhutan	A roadmap is being developed PLRs reviewed and analysis completed and addressed Ideas for additional safeguards are being developed around customary practices. While the seven Cancun Agreements safe-guards are mandatory under the UNFCCC de-cisions, countries may opt for additional safeguards, if relevant and not covered under those seven. Bhutan is discussing the im-portance of safeguarding customary practic-es related to forestry – these might go under one of the seven safeguards or it might be possible to propose an additional eighth as part of CAST.	• Low capacity and information such as difficulty in linking different reporting requirements for various REDD+ initiatives • The requirement for PLR safeguards does not ask whether those PLRs which are in place (addressed) are effectively implemented (respected)	Customary practices from Bhutan can be copied and used. These guidelines can be used as a references by other countries but they may be difficult to adopt as is since they are site-specific	

Table 5 Individual Good Practices and Gaps in the Current Safeguard Progress and Approach				
Myanmar	Safeguards for pilot areas at the district level FPIC guidelines have been developed at the pilot level and somewhat addressed in the PLRs	• Need implementation, need pilot-ing • Communication strategy lacking • It will be a challenge to deploy these at the national level	Safeguards need to be tested on the ground. We need support from other countries. We see that Indonesia and Malaysia are way ahead in developing a system for safeguards	Q. FPIC guidelines are now available in Myanmar Language, are you using it? A. We are planning to pilot the guide
India	Biodiversity safeguards include: biodiversity acts and roles, access and benefit sharing (ABS) mechanism in place; national biodiversity authority, boards, biodiversity management committees, people's biodiversity register, and no conversion of natural forests Social safeguards include: stakeholders participation in forest management; joint forest management; Van Panchayats; community forest groups, forest resource assessments; documentation of and respect for traditional knowledge Forest governance includes: national legislations on forests, PLRs; conservation-oriented forest policies; judicial and environment activism	Safeguards: • Safeguard elements exist but development of a SIS has not yet started • Tenure issues not resolved in some parts of North-East India • Weak implementation of PLRs in North-East parts of the country Biodiversity Issues: • Illegal trade in flora and fauna • Limited biodiversity management committees and ABS in the North-East • Shifting cultivation and conversion of land • Biodiversity loss in some regions of the North-East Social Issues: • Little scope for livelihood options besides forestry	Strong at the national level but at the state level they can be limited (especially in the North-East)	Q. Are these points valid at the national level? A: Most of the weakness are at the provincial level where there can be an imbalance in capacity and other aspects. We can share and learn from others.

Table 5 Individual Good Practices and Gaps in the Current Safeguard Progress and Approach				
Nepal	Piloted REDD SES Capacity building of indigenous groups and other stakeholders regarding FPIC A study on grievance redress mechanism has been developed SESA and ESMF developed with support of the World Bank National-level criteria and indicators on REDD+ safeguards developed under SES District REDD+ implementation plan piloted Web-based SIS initiated: framework development is a work-in-progress	• Additional stakeholders' capacity development needed • SIS mapping • Interpretation of Cancun Agreements safeguards in country context • Safeguard information collection guideline • PLR analysis related to safeguards yet to be conducted • Implementation of the grievance redress mechanism (Nepal requires fully functional grievance redress mechanism) • Country safeguard approach requires fully functional institutional set-up, but this is not yet in place	Action plan for one district (Chitwan) will be in place, complete with a TOT manual. Other countries welcomed to adopt it. The plan is to have it ready by Spring 2016.	Q. A strong leadership from government is required to come up with benefit sharing: how did it address safeguards? A. Benefits to be received by different groups by social arrangements. Incentives work but there are conditions. How incentives address and utilize the needs of a large population can be through a community livelihoods approach. Without addressing livelihoods, it is difficult for REDD to work.

Day Three:Strategies on the Working Modalities

Working Modality of the Expert Group

The formation of working groups in a knowledge sharing platform is conducted to promote discussion. The topics which were covered are overarching and included: creating a learning culture, learning from other sectors as knowledge exchange, linking with academic and training institutions and thinking beyond the group (outside the box). The participants formed five different groups and worked to list the tasks and break down the activities involved to a high level of detail. The results are shown in Table 6.

Table 6 Working Groups and Working Modality	
Groups	Activities needed
Group 1: Knowledge sharing strategy, internal and external communication strategy	• Three key activities: organizing institutional structure, making internal and external knowledge sharing arrangements, monitoring • Strong focus on coordination and support through ICIMOD and designation and role of focal persons • Internal communication: develop and promote website, in-country knowledge sharing meetings (at the ministry, department, and field level) • External communication: develop and promote websites, organize expert group meetings, conduct cross-country learning visits, link to international conventions and meetings
Group 2: Global REDD+ learning platforms, field-level learnings and schools	• Focus on farmers' learning centres and at the local level use the Excel ac-tivity • Promote farmers' schools and communicative learning centres • Conceptualize and define what the community learning centre is. (It should be at the local level but still need to decide what the geographic coverage is.) • Collect information and ideas on the framework or strategy for the farmers' schools (focus on: coordination, implementation, and financial support)
Group 3: Mentoring, ex-change of experts/scholars	• "REDD+ is more like an art than a science…" • Consider that the connotation of the term 'mentoring' is sometimes nega-tive because it implies hierarchies (mentor more experienced than the mentee). Nevertheless, mentoring can take place peer-to-peer or organiza-tion-to-organization; suggest replacing the term 'mentor' with "mutual learn-ing". • Closely linked to opening up (open minds), creating a stronger learning culture

Table 6 Working Groups and Working Modality	
Group 4: HKH REDD+ advocacy	• Create a forum of REDD+ experts in the region (experts may also come from outside the region, depending on the topic being addressed) • Aim to work at the regional level, so all activities take place at the regional level. Target international conventions and regional meetings/workshops. • Knowledge management: for meetings and agendas to prepare for COPs, to identify experts and maintain a roster of experts, to answer calls, to analyse REDD+ safeguards • Comment: UNEP recently published a sourcebook on synergies, a lot can be learned from this
Group 5: Knowledge products (publications, presentations, and so on)	• How can knowledge management and communication generated in the HKH region be disseminated internally and externally? • Two levels were identified (local and regional) • Three strategies: set deadlines (information submitted too late will not be included), screen/filter information, make joint submissions to UNFCCC/SBSTA • Comment: could also consider non-print channels of communication (internet/social media) since these are alternative and very powerful means of distributing information • Comment: feedback is included in the review of information submitted by countries

Activities and Logframes for Knowledge Sharing, Learning, Mentoring, Advocacy, and Knowledge Management

The participants worked in a focused manner to come up with strategies on the working modality. The strategies, together with their activities and sub-activities include a description and potential responsible coordinating institution for each group. The five steps to be considered for knowledge sharing are summarized in Table 7a. Please see Tables 7-11 for the follow-up work.

Table 7a Knowledge Sharing Strategy
Step 1: Define the focus of your selected knowledge product

• Identify stakeholders for each activity: target groups can include member countries of REDD+ Himalaya
 	
• Effective and targeted sharing of knowledge by:
 	
  • Focusing on the distinctiveness and profile of the product to improve communication: 'Outputs and Means';
 	
  • Promoting innovations which enhance the distinctiveness and profile of the product; and
 	
  • Ensuring that shared documents are flexible and adaptable.

Step 2: Describe your knowledge product in more detail
• A Himalayan REDD+ safeguard knowledge sharing strategy • Theme and context: to guide sharing of knowledge products among stakeholder • Consider what an interested individual may need to know about the context: for Himalayan countries, about safeguards
Step 3: Description of content
• Consider what issue the product addresses. Identify the needs and gaps related to safeguards. • Consider how you will proceed and with whom. Decide on roles and responsibilities. • Discuss what will be especially helpful in the given context and how to make it successful as well as relevant, transparent, interactive, and helpful in promoting national ownership. • Consider what obstacles can be encountered and how to overcome these. Remember that it is possible to get help from leaders, facilitators, and ICIMOD on implementation and other aspects. • Weigh the risks and remember to include the time commitment needed to develop and implement the strategy, as well as the capacity needed. • Consider what minimum requirements must be met and what plan is needed for monitoring the implementation. • Designate focal points from countries and ICIMOD. • Think about in what other contexts the product may be suitable, such as other initiatives in environmental conservation, natural resources management, and so on.

Table 7a Knowledge Sharing Strategy
Step 4: Benefits and results
• Consider who will find the knowledge product useful, such as safeguards experts, communications experts, and the like.
• Consider what are the intended results for the knowledge product. Is it for effective knowledge sharing such as training, mentoring, publications and so on?
• Consider what is innovative, new and unfamiliar about these result and how it is relevant to Himalaya countries.
• Consider the estimated cost of the application and decide how much effort will be involved depending on the details.
Step 5: Contact and support
• Consider who is available to provide further information; is it the ICIMOD Knowledge Management and Communication department?
• Consider who will be available to support the users; is it ICIMOD, focal points, or others?

Table 7b Knowledge Sharing Activities Logframe

#	Activity		Sub-activities	Detailed description	Where	Coordination	Participants (countries, organizations, and others)	Deliverables	2016 I	2016 II	2016 III	2016 IV	2017 I	2017 II	2017 III	2017 IV	2018 I	2018 II	2018 III	2018 IV	2019 I	2019 II	2019 III	2019 IV	Required support (optional)
A	Organize institutional structure	A1	Formation of focal group for knowledge sharing	One representative from each country and an initiative coordinator	Countries/ICIMOD	ICIMOD	Partner countries/ICIMOD	Focal groups	■																
		A2	Appointment of country and ICIMOD focal points	REDD+ country partners/ministries/departments ICIMOD to appoint focal points	Countries/ICIMOD	Countries/ICIMOD	Partner countries/ICIMOD	Focal points	■																
		A3	Preparation of TOR for focal points	ICIMOD to propose the draft TOR for focal points and finalize with input from countries	Countries/ICIMOD	Countries/ICIMOD	Partner countries/ICIMOD	Focal points	■																
B	Set up internal knowledge sharing	B1	Setting up website (country + ICIMOD)	Each country to set up individual website and link with ICIMOD's website; technical agreement for website hosting and management	Countries/ICIMOD	Countries/ICIMOD	Partner countries/ICIMOD	Websites	■	■															IT expert support
		B2	Hosting in-country knowledge sharing meetings	Focal points in each country organize knowledge sharing with various stakeholders at different levels (e.g. field, departments, ministry, and so on)	Countries	Focal points	Various stakeholders	Meetings		■		■	■			■		■		■		■		■	
		B3	Selection of topics and materials	Country focal points gather knowledge products and upload to the website	Countries	Focal points	Focal points and stakeholders	Knowledge products			■	■	■			■		■		■		■		■	Support of stakeholders outside the project; support of IT professionals
		B4	Promote websites	Country focal points and ICIMOD promote the use of the website												■	■								
C	Set up external knowledge sharing arrangement	C1	Organize expert group meeting	Select and form expert groups on different thematic area for safeguards; rotate meeting venue among the countries; encourage countries to designate experts on different themes; ICIMOD to coordinate meetings	Different countries	ICIMOD	Expert groups and focal points	Meeting				■				■				■				■	
		C2	Cross-country learning visits	Partner countries to decide what to share and ICIMOD to organize cross country visits with support from countries	Different countries	ICIMOD	Countries and expert group	Visit			■				■				■				■		
		C3	Organize knowledge sharing meeting	Partner countries coordinate with ICIMOD for knowledge sharing on different themes	Different countries	ICIMOD	Partner countries/ICIMOD	Meeting				■		■				■				■			
		C4	Link to international meeting/convention	countries and ICIMOD to decide what to share in international events	Any country	Partner countries/ICIMOD	Partner countries/ICIMOD	Meeting				■				■				■				■	
D	Monitoring	D1	Monitor the flow of knowledge between projects both regionally and internationally	Ensure the knowledge generated is shared effectively among different stakeholders	Countries/ICIMOD	Partner countries/ICIMOD	Partner countries/ICIMOD	Monitoring reports		■						■		■						■	

Table 8 Global REDD+ Learning Platforms, Field-Level School Learning Strategies
What are the possible benefits of a knowledge sharing format, learning academy, community learning centre and so on?
• Learning from the knowledge and experience of other countries/parties (e. g. lessons learned, progress sharing, and so on)   • Sharing others' experiences as a feedback for policy makers and implementers   • Developing a common understanding   • Clarifying/simplifying or speed up the procedures/processes by learning from the experiences of others   • Improving or raise awareness   • Building capacity
What are possible target groups for the learning platforms?:
• Stakeholders at different levels, from decision makers to those involved at the grassroots level who are concerned with climate change and REDD+   • Parliamentarians and policy makers   • Ministries, departments, institutions, networks, and working groups   • Academia and researchers   • Forest user groups   • Media   • Private sector and investors
What is distinctive about it and what is the profile of the product (i.e. its desirable characteristics)?
• Easy access   • Clear communication mechanisms   • Regularly updated and upgraded information/knowledge   • Common operating guidelines   • Interactive two-ways communication system
How to introduce a degree of innovation?
• Create a learning platform targeted at different levels from regional to grassroots   • Provide user-friendly formats can include: digital, audio, video, pamphlet, poster, photograph, and the like as well as access in local languages
What is the scope for supporting users (i.e. target groups and user groups)?
• Providing principles and methodology guidelines for researchers, working groups, and academia   • Providing the media with clear information   • Making relevant knowledge bases readily available to policy makers and implementers   • Preparing simple training materials to facilitate interaction with users at the local level

Table 9a. Mentoring Activities for Knowledge Sharing
What are the possible benefits of a mentoring platform for REDD+ safeguards for South Asia?
• Can help users to develop an appropriate approach and better understanding since many feel that 'REDD+ safeguards are 'more of an art than a science'   • Can help users who may have limited experience to navigate this complex, interdisciplinary, and contested field   • Can help users to adapt quickly and develop new competencies and needed capacity at all levels   • Can help users to address gaps and challenges
Where have mentoring activities been applied?
• The corporate sector where they have been successfully applied with good results and best practices   • Examples include: induction courses, culture change, career progression, leadership and management development, developing new projects   • The environmental sector, e.g the Cambridge Conservation Initiative has adopted mentoring across its partner conservation institutions

Table 9a. Mentoring Activities for Knowledge Sharing
Who can mentor?
• Peer to peer
• Organization to organization
• Country to country
• Within a group or team
• Formal or informal
• REDD+ Academy and field based learning
• Needs to be two-way process
How to create a mentoring framework?
• Analyse the regional needs for mentoring
• Review existing frameworks
• Identify different types of mentoring

Table 9b Mentoring Framework, Safeguard Champions, and Mentor-Mentee Relationship Activities Logframe

#	Activity		Sub-activities	Detailed description	Where	Coordination	Participants (countries, organizations)	Deliverables	2016 I	2016 II	2016 III	2016 IV	2017 I	2017 II	2017 III	2017 IV	2018 I	2018 II	2018 III	2018 IV	2019 I	2019 II	2019 III	2019 IV	Required support (optional)	Remarks
A	Create a mentoring framework	A1	Analyse the regional needs for mentoring	Analysis to cover knowledge and capacity gaps, mentoring needs and issues related to safeguards	Regional	ICIMOD	All countries	Reports	█																	
		A2	Review of existing frameworks	Review within corporate and environmental sector to include various mentoring processes adopted there	Regional	ICIMOD	All countries	Documents		█																
		A3	Identify types of mentoring	Different types of mentoring including formal and informal to suit needs	Regional	ICIMOD	All countries	Documents				█														
B	Identify mentors and mentees	B1	Select various mentors including scholars and experts	Identify and nominate mentors at the individual, organizational, and country level	Countries	ICIMOD	All countries	Reports			█															
		B2	Identify safeguards champions and create a network of mentors	Locate safeguards champions in the areas of: SIS, SESA, ESMF, and FPIC	Countries	ICIMOD	All countries	Reports			█															
		B3	Identify various mentees	Identify mentees at the individual, organizational, and country levels	Countries	ICIMOD	All countries				█															
		B4	Match mentors and mentees	Match potential mentors/scholars with mentees based on their expertise and requirements	ICIMOD	ICIMOD	All countries					█														
C	Implement mentoring and share best practices	C1	Initiate and organize implementation	Create mentoring activities at different levels such as: peer-peer, organization-organization, country-country, group and team, REDD+ Academy, field based learning and the like	Regional	ICIMOD	All countries	Workshop/training/reports including SWOT (strengths, weaknesses, opportunities, and threats) analysis					█	█	█	█	█	█	█	█	█					
		C2	Monitoring and evaluation	Monitor the effectiveness of the programme and of and peer-peer interactions	Regional	ICIMOD	All countries	Monitoring and evaluation reports and best practices reports					█	█	█	█	█	█	█	█	█					
		C3	Replicate results	Replicate good results (that have been achieved through awareness in the project) throughout the region	Regional	ICIMOD	All countries													█			█	█		
		C4	Share best practices	Share best practices that have been learned by disseminating beyond the region by using media and publications, international events, and side events	Regional	ICIMOD	All countries													█			█	█		Linked to ICIMOD Knowledge Management group

Table 10a HKH REDD+ Advocacy
How can you define the focus of HKH REDD+ advocacy?
• This is a forum of REDD+ experts and institutions in the region for promoting and safeguarding REDD+ activities in the HKH region.
What are its activities?
• Hold regular meetings for REDD negotiators and experts, by setting up a panels of experts forum that has regular meetings and exchanges emails • Maintain a roster of REDD experts who are in the region • Assist in the development of common views on REDD+ safeguards and other topics (supported by submissions) • Share HKH views by holding joint events at global, regional, and multilateral forums • Analyse REDD+ safeguards (policies, laws and regulations, and measures)
Who is the target audience?
• International conventions and regional forums
What can be done to prepare the related knowledge products?
• Promote the submission of presentations by HKH countries to international events such as meetings of UNFCCC, SBSTA, CBD, and UNCCD and to regional forums • Document REDD+ policy approaches and their development • Stay in contact with ICIMOD and partner countries in the REDD+ Himalaya programmeme. Invite outside experts when necessary.

Table 10b HKH REDD+ Advocacy Logframe

#	Activity		Sub-activities	Detailed description	Where	Coordination	Participants (countries, organizations)	Deliverables	2016				Required support (optional)	Remarks
									I	II	III	IV		
A	Hold meetings of REDD+ negotiators, experts, and panel of experts. Make sure that this forum holds meetings and regularly exchanges emails.	A1	Pre-COP meetings	Meeting to consult and share common views on items for the agenda of the COP meetings	One of the countries	ICIMOD with support from partners	B,I,M,N	Common views developed for COP; finalize side event details						
B	Maintain a roster of REDD+ experts in the region.	B1	Ask partner countries to identify experts in the region and submit names to ICIMOD	ICIMOD develops a database template (based on CBD, UNFCCC and Forest Research Institute Malaysia) and shares with partner countries. This template to cover all three conventions.	HKH countries	ICIMOD		Update roster of experts with information from three conventions			[green]			
C	Assist in the development of common views on REDD+ safeguards and other topics (supported by submissions)	C1	UNFCCC/ SBSTA	Respond to call by March 2016 and adhere with focal points		ICFRE, ICIMOD	B,I,M,N	Make submissions to UNFCCC and SBSTA						To be planned annually - respond to the calls from UNFCC and SBSTA
		C2	CBD	Look for calls and respond to calls in 2016, 2017		Nepal	B,I,M,N	Make a submission to SBSTA						
		C3	UNCCD	Prepare a position paper 2017 on land-degradation neutral	Meeting can be in Bhutan June/ Myanmar Oct 2016	ICFRE	B,I,M,N	Have a meeting to develop a position paper on land-degradation neutral						
		C4	SAARC+ Myanmar											
	Having joint events at global, regional, and other multilateral forums to share HKH views	D1	Global UNFCCC/ SBSTA	Side event, information display, regional meetings related to REDD+		ICIMOD and ICFRE								

	ID	Name	Activity	Responsible	Responsible	Countries	Timeline	
D								
	D2	CBD	Side event, information display, regional meetings on biodiversity safeguards in REDD+	TBD	ICMOD and countries			
	D3	UNCCD	ICFRE to share information		LDN: go for voluntary targets. Criteria land cover, land use and soil organic carbon. REDD+ is a good activity for addressing the three. CRIC (Committee for the Review of the Implementation of the Convention) and CST meeting in 2017 we can host an event.			
	D4	SAARC plus Myanmar	Explore it					
E — Analysis of REDD safeguard (PLR, PAMs)	E1	Make an outline and share with partners countries who can identify contributors	ICIMOD will make first draft to share with countries. Countries will provide feedback.	ICIMOD	ICIMOD	B,I,M,N	Jan. '16 first circulation; 1 Feb countries provide feedback	
	E2	Partner countries submit country chapters	Countries submit to ICIMOD	Countries	Countries	B,I,M,N	1Feb to 30 April countries draft	
	E3	Regional analysis	ICIMOD	ICIMOD	ICIMOD	B,I,M,N	1 May to 30June	
		Meeting of authors	Countries and ICIMOD decide the venue	TBD	ICIMOD	B,I,M,N	15Jul	ICIMOD
				ICIMOD	ICIMOD	B,I,M,N		
	E4	Layout and publication	ICIMOD	ICIMOD	ICIMOD	B,I,M,N	Published analytical report Aug 15 final document sent to press	ICIMOD

Table 11a Knowledge Management and Communication
Developing a knowledge management and communications strategy for REDD+ safeguard activities in the HKH
Brief description: (logical, simple, comprehensible, practical)
Theme and context
What is the product for?   • Disseminating information (data, and reports) ; soliciting feedback; and sharing suggestions and comments
Description of content
What issue does the product address?   • Knowledge products shared: internal and external communications are more effective.   How did you proceed? With whom?   • Local (country specific)   • Regional (among REDD+ partners) and the global community   What was especially helpful in that context? What was the secret of its success?   • Dissemination via email, website, Facebook, and social media   • Relevant information reached stakeholders   What stumbling blocks or obstacles did you encounter? How did you overcome these?   • Untimely shared or partly shared information (due to various bureaucratic hurdles)   • Feedback not received on time   • Language barrier, interpreter needed   • Deadlines not adequately decided beforehand   • No regular follow-up   • Poor or no filtering or summarising (when there is too much information)   What risks should people look out for?   • The information provided is only partial   • Too much information is shared   • Data can be distorted or misinterpreted   What minimum requirements must be met?   • Reports should be content or theme specific   • Target specific groups or audiences   • Be innovative, promote conceptual thinking and be relevant to others   • Be concise   In which other contexts would the product be suitable?   • Research and development   • Policy making   • Planning REDD+ in other areas   • For NGOs, CSOs, INGOs and the like
Benefits and results

Table 11a Knowledge Management and Communication
Who will find the knowledge product useful? • Project partners • Academicians • Researchers • Donors and investors • Forest managers • CSOs, NGOs, INGOs and the like What are the intended results of the knowledge product? • Dissemination of information • REDD+ readiness • Making joint submission to SBSTA/UNFCCC and other forums What was innovative, new, and unfamiliar about these results? • They are transboundary in nature • They link to REDD focal point websites in different countries What is the estimated cost of the application? How much effort will be involved? • Considerable time is needed for data collection, compilation and sharing
Contact and support
Who is available to provide further information? • The focal points within each country and ICIMOD Who will support the users? • REDD+ partners

Table 11b Knowledge Management and Communication Activities Logframe

#	Activity	Sub-activities		Detailed description	Where	Coordination	Participants (countries, organizations)	Deliverables	2016 I	2016 II	2016 III	2016 IV	Required support (optional)	Remarks
A	Knowledge management (assuming REDD+ safeguard related publications are in place)	List of the publication	A1	Technical papers specific to the safeguards theme are collected by the country focal point. Examples include the SIS for the Uttarakhand project and the District REDD+ Action Plan in Nepal	Country focal points	National level	All countries	Summary of the publication (1-2 page)	■	■				
		Screening of materials	A2	Theme/context relevant publications/reports/ dissertations/peer reviewed papers will be screened	Country focal points +ICIMOD	National and regional level	All countries + ICIMOD	Summary of the publication (1-2 page)		■				
		Joint/regional submissions to UNFCCC/ SBSTA	A3	A joint submission of information on safeguard or summary will be submitted to the UNFCCC. The submission will be based on the main message from four country report. ICIMOD will coordinate with country focal points and prepare 1-2 pages to be submitted to SBSTA.	Regional focal point (ICIMOD)	National and regional focal point and ICIMOD	All countries + ICIMOD	Information prepared on the SBSTA submission format	■					
		Regular review of information sought by stakeholders	A4											
B	Communication (in-country and regional)	Acquiring the relevant publications and data	B1	Collate reports from project partners for each country	Country focal point	National and regional focal point and ICIMOD	All countries + ICIMOD	List of publications and databases on the content and theme	■					
		Identification of publication to be shared in-country	B2	Share the reports in-house and in-country; incorporate feedback and finalize the report	Country focal point	National	All Countries	Full paper/ report shared in-house	■					
		Identify theme-related publications that can be shared externally	B3	Share the final reports with ICIMOD and get feedback. Each country incorporates feedback, addresses concerns, and finalizes their report.	Country focal point	National and ICIMOD	All countries and ICIMOD	Info sheet to be submitted to SBSTA/ UNFCCC. Safeguard related report/ papers	■	■	■			
C	Global communication	Target communication through social media	C1											
		Involve the youth	C2											
D	Monitoring	Monitoring on an annual basis	D1											

Questions/Discussion
What is a 'clearing house mechanism'?   • It is an information sharing web portal where it is possible to pose questions that can be answered by other users.   What is the Global REDD+ Academy?   • It is a learning platform that incorporates 12 modules for a week. This online learning module is available free of charge and is open to the public. It can be used to investigate methods for safeguards and good governance.   What are some ways to create a common lobbying point on safeguards?   • Field-level learning schools   • At farmers' schools, farmers meet in an informal setting and exchange their knowledge about farming. As an innovation of knowledge sharing and learning, a similar setting can be provided for REDD+ and forest management.   • Internal/external communication strategy   • Exchange experts/scholars on topics such as technical mentoring, exchange on procedures and methods, and so on

Resolutions of the South-South Learning Workshop and Activities for 2016

Fostering South-South learning is a major regional level activity which will be coordinated by ICIMOD. This was the first workshop to bring the regional countries together to discuss REDD+ safeguards. The participants of this workshop have agreed to form a regional-level learning group that can promote learning and sharing experiences. The workshop participants representing the four countries have agreed to take part in the following activities during 2016.

1) Gap assessment for safeguard implementation:

• Develop a template and shared with partner countries (30 January)

• Agree on the nomination of focal points (5 February). Countries each nominates two focal persons and submit the names to ICIMOD.

• Draft country inputs (March and April). Each country completes the template and submits it to ICIMOD.

• Hold an authors' meeting to finalize the report; to be held in Kathmandu (20 May). One focal person from each country will attend the authors' meeting to finalize the report.

• Produce a report (August). The ICIMOD focal person will finalize the report and see that it is published.

• Disseminate the report at international events. Partners present the report (November).

2) Roster of regional REDD+ safeguard experts developed and hosted on the ICIMOD webpage (20 February). Partners are requested to provide the names and designations of people considered experts on REDD+ safeguards. This roster will be used to inform the public on REDD+ safeguards in the region.

3) South-South mentoring: Experts from Nepal visit Myanmar to share knowledge/experience on safeguards, the principles put forth in the Cancun Agreements, carbon ownership, institutional development and cost and benefit sharing (1 August).

4) Exchange mentoring: Meeting in Pokhara (Nepal) for Bhutan and India on REDD+ Strategy and on the interpretation of the Cancun Agreements safeguards (30 September).

Closing Session

In the closing session, all agreed that this regional learning and sharing platform workshop had been a success as it had been able to bring together four REDD+ partner countries to learn more about the strategy. In concluding, the group reflected on what they had learned from the workshop and summarised the main learning outcomes as follows:

• Participants gained an improved insight on safeguards both at the theoretical level and through the sharing of practical country experiences (e.g. Nepal's CAS and Myanmar's FPIC);

- Participants now have a better understanding of how countries can benefit from a learning and sharing platform by using it to share common problems and challenges in the area of safeguards approaches; and

- Participants have a better appreciation of how it is possible to build on the commonalities between countries on topics such as how safeguards can be built upon existing systems (as discussed under strengths and weaknesses in the country group exercises).

The countries represented at this workshop are all heading towards the REDD+ readiness phase (albeit at different levels). Until this workshop there had been no common platform for knowledge learning and sharing and here they were able to explore ways and approaches that can be used to take them forward. This workshop served to bring countries together to begin the dialogue which will help them more readily and successfully implement REDD+ safeguards.

REDD+ Himalaya foresees a vibrant year for working on national-level activities together. ICIMOD can facilitate, support, and coordinate but this is a country-driven project and its success will depend on everyone joining hands and participating. In the days to come, the regional learning platform will be functional with everyone's support and with everyone's active participation it will be possible to hand in the submissions required under UNFCCC's prerequisite components for REDD+. ICIMOD will oversee this platform and will be happy to assist should any modifications be required.

Days Four and Five

Glimpses of the Field trip

After brain storming on the REDD+ safeguards in Kolkata "City of Joy", the participants visited one of the largest mangrove forests and UNESCO heritage sites in West Bengal. The mangrove forest lies in the Sundarban and shares 65% of its area with Bangladesh; the Sundarban is famous as a habitat for Bengal tigers.

Annexes

Annex A. Cancun Agreements 1/CP.16 – Decision 1 Paragraphs Relevant to Safeguards

Paragraph 68. Encourages all Parties to find effective ways to reduce the human pressure on forests that results in greenhouse gas emissions, including actions to address drivers of deforestation;

Paragraph 69. Affirms that the implementation of the activities referred to in paragraph 70 below should be carried out in accordance with Appendix I to this decision, and that the safeguards referred to in paragraph 2 of Appendix I to this decision should be promoted and supported;

Paragraph 70. Encourages developing country Parties to contribute to mitigation actions in the forest sector by undertaking the following activities, as deemed appropriate by each Party and in accordance with their respective capabilities and national circumstances:

(a) Reducing emissions from deforestation;

(b) Reducing emissions from forest degradation;

(c) Conservation of forest carbon stocks;

(d) Sustainable management of forest;

(e) Enhancement of forest carbon stocks;

Paragraph 71. Requests developing country Parties aiming to undertake activities referred to in paragraph 70 above, in the context of the provision of adequate and predictable support, including financial resources and technical and technological support to developing country Parties, in accordance with national circumstances and respective capabilities, to develop the following elements:

(a) A national strategy or action plan;

(b) A national forest reference emission level and/or forest reference level or, if appropriate, as an interim measure, subnational forest reference emission levels and/or forest reference levels, in accordance with national circumstances, and with provisions contained in decision 4/CP.15, and with any further elaboration of those provisions adopted by the Conference of the Parties;

(c) A robust and transparent national forest monitoring system for the monitoring and reporting of the activities referred to in paragraph 70 above, with, if appropriate, subnational monitoring and reporting as an interim measure, in accordance with national circumstances, and with the provisions contained in decision 4/CP.15, and with any further elaboration of those provisions agreed by the Conference of the Parties;

(d) A system for providing information on how the safeguards referred to in annex I to this decision are being addressed and respected throughout the implementation of the activities referred to in paragraph 70, while respecting sovereignty;

Appendix 1 to Decision 1 the Cancun Agreements (Paragraphs 1 and 2)

Guidance and safeguards for policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries.

1. Activities referred to in paragraph 70 of this decision should:

(a) Contribute to the achievement of the objective set out in Article 2 of the Convention;

(b) Contribute to the fulfilment of the commitments set out in Article 4, paragraph 3, of the Convention;

(c) Be country-driven and be considered options available to Parties;

(d) Be consistent with the objective of environmental integrity and take into account the multiple functions of forests and other ecosystems;

(e) Be undertaken in accordance with national development priorities, objectives and circumstances and capabilities and should respect sovereignty;

(f) Be consistent with Parties' national sustainable development needs and goals;

(g) Be implemented in the context of sustainable development and reducing poverty, while responding to climate change;

(h) Be consistent with the adaptation needs of the country;

(i) Be supported by adequate and predictable financial and technology support, including support for capacity building;

(j) Be results-based;

(k) Promote sustainable management of forests;

2. When undertaking activities referred to in paragraph 70 of this decision, the following safeguards should be promoted and supported:

(a) Actions complement or are consistent with the objectives of national forest programmemes and relevant international conventions and agreements;

(b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;

(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;

(d) The full and effective participation of relevant stakeholders, in particular, indigenous peoples and local communities, in actions referred to in paragraphs 70 and 72 of this decision;

(e) Actions are consistent with the conservation of natural forests and biological diversity, ensuring that actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;

(f) Actions to address the risks of reversals;

(g) Actions to reduce displacement of emissions.

Annex B. Warsaw Framework CP.19 Decisions 9-15 Relevant to REDD+

COP 19, held in November 2013 in Warsaw, Poland, adopted seven decisions of the Warsaw Framework for REDD+. The Warsaw Framework for REDD+ build upon earlier decisions adopted by the COP.

Decision 9/CP.19: Work programmeme on results-based finance to progress the full implementation of the activities referred to in decision 1/CP.16, paragraph 70

The COP in this decision, inter alia:

- Reaffirms that results-based finance may come from a wide variety of sources, public and private, bilateral and multilateral, including alternative sources

- Encourages financing entities, including the Green Climate Fund in a key role, to channel adequate and predictable results-based finance in a fair and balanced manner, and to work with a view to increasing the number of countries that are in a position to obtain and receive payments for results-based actions

- Decides to establish an information hub on the REDD Web Platform, to publish information on the results and corresponding results-based payments

- Requests the Standing Committee on Finance to consider the issue of financing for forests in its work on coherence and coordination

- Recognizes the importance of incentivizing non-carbon benefits for the long-term sustainability of the implementation of the activities referred to in decision 1/CP.16, paragraph 70

Decision 10/CP.19: Coordination of support for the implementation of activities in relation to mitigation actions in the forest sector by developing countries, including institutional arrangements

The COP in this decision, inter alia:

- Invites interested Parties to designate a national entity or focal point to serve as liaison with the secretariat and bodies under the Convention, on coordination of support, and may also be nominated to receive and obtain results-based payments

- Recognizes that in order to address issues related to the coordination of support, a number of needs and functions were identified

- Encourages national entities/focal points, Parties and relevant entities financing REDD-plus to meet, on a voluntary basis, to discuss the needs and functions identified to address issues relating to coordination of support; with the first meeting to be held in conjunction with SBI 41 (December 2014)

- Requests the Subsidiary Body for Implementation, at the latest, at its forty-seventh session (November-December 2017) to review the outcomes of these meetings

Decision 11/CP.19: Modalities for national forest monitoring systems

The COP in this decision, inter alia:

- Affirms that the activities referred to in this decision are undertaken in the context of the provision of adequate and predictable support to developing country Parties

- Decides national forest monitoring systems should be guided by the most recent IPCC guidance and guidelines, as adopted or encouraged by the COP

- Also decides that national forest monitoring systems should provide data and information that are transparent, consistent over time, suitable for MRV, and build upon existing systems while being flexible and allowing for improvement

Decision 12/CP.19: The timing and the frequency of presentations of the summary of information on how all the safeguards referred to in decision 1/CP.16, Appendix I, are being addressed and respected

The COP in this decision, inter alia:

- Agrees that the summary of information on how all of the safeguards referred to in decision 1/CP.16, appendix I, are being addressed and respected throughout the implementation of the activities referred to in decision 1/CP.16, paragraph 70, could also be provided, on a voluntary basis, via the REDD Web Platform

- Decides that developing country Parties should start providing the summary of information after the start of the implementation of activities referred to in decision 1/CP.16, paragraph 70

- Also decides that the frequency for subsequent presentations of the summary of information should be consistent with the provisions for submissions of national communications and, on a voluntary basis, via the REDD Web Platform

Decision 13/CP.19: Guidelines and procedures for the technical assessment of submissions from Parties on proposed forest reference emission levels and/or forest reference levels

The COP in this decision, inter alia:

- Decides that each submission of forest reference emission levels and/or forest reference levels shall be subject to a technical assessment

- Invites Parties and relevant international organizations to support capacity-building for development and assessment of forest reference emission levels and/or forest reference levels

- Adopts the guidelines and procedures for the technical assessment, as contained in the annex to this decision

Decision 14/CP.19: Modalities for measuring, reporting and verifying

The COP in this decision, inter alia:

- Decides that measuring, reporting and verifying anthropogenic forest-related emissions by sources and removals by sinks, forest carbon stocks, and forest carbon stock and forest-area changes is to be consistent with the methodological guidance provided in decision 4/CP.15, and any guidance on the measurement, reporting and verification of nationally appropriate mitigation actions by developing country Parties as agreed by the COP

- Decides that data and information should be provided through a technical annex to the biennial update reports, underlining that the submission of the technical annex is voluntary and in the context of results-based payments

- Further decides to include two additional Land use, land-use change and forestry (LULUCF) experts in the technical team of experts for the international consultation and analysis of results-based actions reported in a technical annex to the biennial update reports, and agrees that these LULUCF experts will develop a technical report on their analysis of the technical annex and identified areas for technical improvement

- Also agrees that results-based actions that may be eligible to appropriate market-based approaches that could be developed by the COP may be subject to any further specific modalities for verification

Decision 15/CP.19: Addressing the drivers of deforestation and forest degradation

The COP in this decision, inter alia:

- Encourages Parties, organizations and the private sector to take action to reduce the drivers

- Also encourages to continue work to address drivers, and to share information

- Further encourages developing country Parties to take note of the information shared

Annex C. Programme Schedule for the Workshop

Day 1, Monday 2 Nov		
Session 1: Introduction to REDD+ Safeguards		
Registration		
	Presenter	
Welcome Remarks	Rajan Kotru, ICIMOD	
Country's expectation from this workshop	Four countries	
Objective of the workshop	Bhaskar S Karky, ICIMOD	
Introduction to REDD+ safeguards • Briefing on the 7 Cancún safeguards • Other safeguards types	Mohan Poudel, REDD Implementa-tion Centre (RIC), Nepal	Theoretical background is pre-sented covering safeguards why, what, for whom, key in-ternational decisions, and the progress made on safeguards so far.
Session 2: Understanding Safeguard framework and principles		

A Country Safeguard Approach- potential element of country safeguard approach • Policies, laws and regulations (PLR), Safeguard Information System, Grievances redress mechanism • Main Steps for Development of a country safeguard approach	Nepal	Nepal's understanding on framework and principles of SES and SESA are explained.
Nepal's Safeguard approach • Strategic environmental and social assessments (SESAs) • Environmental and social management frameworks (ESMFs) • REDD+SES		
Q&A Session		
Country-led approaches in REDD+ safeguard designing, definition and methodology • Establishing a multi-stakeholder safeguards body • Setting goals and scope • Identifying and assessing frameworks • Articulating and designing the country-led safeguard approach (CSA)	Jochen and ICIMOD	Presentation by countries on country-led Safeguard Approach. It covers different as-pects of Safeguards and high-light the status and progress of safeguard approach in the re-spective countries (PLR, SIS, GRM) etc.
Examples of Country-led Safeguard Approach (CSA) • Bhutan • India • Myanmar • Nepal		
Q&A session		
South-South regional learning platform	Jochen	
Session 3: Self-assessment and learning		
Group Work: Countries will assess good practices and gaps in their current safeguard progress and approach • Countries will draw lessons from other countries and exchange experiences about different approaches adopted to develop safeguards	ICIMOD and Jochen	Group exercise in each coun-try groups followed by presen-tation in plenary
Day 2, Tuesday 3 Nov		
Group Work: Presentation by each group from Day 1	Four country presentation	

Definition of safeguards in UNREDD context • Forest governance, indigenous peoples and local communities, biological diversity • Overview of the Country Approach to Safeguards • Tools and support (CAST and BeRT) Case studies from Indonesia and Vietnam	Keiko Nomura, UN-REDD	The main components of safeguards in UNREDD is explained supported by examples from Indonesia and Vietnam.
Session 4: Creating Regional Expert Group on Safeguards		
Group Work: Creating Regional Expert Group on Safeguards • How should the Expert Group work i.e. TOR and Action plan • What sort of knowledge and communication products the Expert Group may produce	ICIMOD and Jochen	Group exercise in each country groups followed by presentation in plenary
Day 3, Wednesday 4 Nov		
Session 5: Beginning of country assignment		
Assessment of existing PLRs against Cancún safeguards as a take home assignment Country experiences • Bhutan • India • Myanmar • Nepal	ICIMOD and Jochen	The groups will start planning on the take home assignment.
Session 6: Closing Session		
Wrap up and way forward	ICIMOD	
Vote of thanks	ICIMOD	
Day 4, Thursday 5 Nov		
Field trip		
Day 5, Friday 6 Nov		
Return from field trip and catch evening return flight		

Annex D. List of the Participants

	List of the Participants	S.N	List of the Participants
Bhutan			
1	**Mr. Younten Phuntsho** Sr. Forestry Officer Forest Resources Management Division Department of Forests and Park Services Ministry of Agriculture and Forests Tel: +975-2-327723 (office); +97517982720 (Cell) Email: yphuntsho@moaf.gov.bt	2	**Ms. Dimple Thapa** Dy. Chief Forestry Officer Forest Resources Management Division Department of Forests and Park Services Ministry of Agriculture and Forests
3	**Mr. Ngawang Gyeltshen** Dy. Chief Forestry Officer Forest Resources Management Division Department of Forests and Park Services Ministry of Agriculture and Forests	4	**Ms. Namgay Bidha** Senior Forester Forest Resources Management Division, Department of Forests and Park Services, Ministry of Agriculture and Forests
India			

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7	Shree R.S.C. Jayaraj Director, RFRI Jorhat North East Email: rsc.jayaraj@gmail.com ; dir_rfri@icfre.org		

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13	Mr. Kiran Dongol Under Secretary Department of Forest Ministry of Forest Soil Conservation Email: kiran1965@gmail.com	14	Mr. Dadhi Lal Kandel Under Secretary Department of Forest Ministry of Forest Soil Conservation
15	Mr. Sagar Kumar Rimal Under Secretary Ministry of Forest and Soil Conservation Government of Nepal Cell No. 977- 9841338030 Email: rimalsagar@yahoo.com	16	Mr. Bashudev Dhungana Member, Buffer Zone Management Community Chitwan National Park Email: bashu2007@gmail.com

UNREDD, Thailand

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23	Mr. Karma Phuntsho Sr. NRM Specialist Email: Karma.Phutsho@icimod.org	24	Ms. Seema Karki NRM & REDD+ Research Associate Email: Seema.Karki@icimod.org

25	**Ms. Prerna Thapa** Event Management Officer Email: Prerna.Thapa@icimod.org	26	**Ms. Rekha Rasaily** Programmeme Associate Email: Rekha.Rasaily@icimod.org

Annex E. Quotes from the Participants

"A learning platform for REDD+ safeguards for the Himalayas is a notion of interdisciplinary knowledge which is now to begin with."

Dy. Chief Forestry Officer
Forest Resources Management Division, Department of Forests and Park Services, Ministry of Agriculture and Forests, Bhutan

"REDD+ cannot be implemented without safeguards."

Karma Phuntsho
NRM Specialist, ICIMOD

"Himalayan REDD+ Safeguards" are an opportunity to establish South-South Learning and Knowledge Sharing Platform"

Kiran Dangol
Under Secretary, Department of Forest, Ministry of Forest Soil Conservation, Nepal

"REDD+ safeguards should respect eco-tourism opportunity."

Bashudev Dhungana
Member, Buffer Zone Management Community, Chitwan National Park, Nepal

"We need many efforts in REDD+ process and implementation because the success of REDD+ activities are largely based on the engagement of multi-stakeholders."

Myat Su Mon
Assistant Director, Planning and Statistics Division, Forest Department, Myanmar

"REDD+ Safeguards helps to improve long-term livelihood security of indigenous local communities that helps to maintain enhanced biodiversity and ecosystem services."

Kyaw Thu Han
Range Officer Training and Research Development Division, Forest Department, Myanmar

"Safeguards for local people to maintain the forest; save indigenous people, respect their rights and rights to resources; save Himalaya with sustained development that is environmentally sound."

Sein Moe
Staff Officer, Extension Division, Forest Department, Myanmar

"REDD+ safeguard is to safeguarding the interest of each individuals."

Namgay Bidha
Senior Forester, Forest Resources Management Division, Department of Forests and Park Services, Ministry of Agriculture and Forests, Bhutan

" REDD+ safeguards for better REDD+ implementation."

Youngten Phuntsho
Sr. Forestry Officer, Forest Resources Management Division, Department of Forests and Park Services, Ministry of Agriculture and Forests, Bhutan

"Indeed REDD+ safeguard is a timely initiative for Himalaya region."

Dimple Thapa
Dy. Chief Forestry Officer, Forest Resources Management Division, Department of Forests and Park Services, Ministry of Agriculture and Forests, Bhutan

"Various elements of REDD+ safeguards are there in place, only we need to put them together under UNFCCC Guidelines."

Shree VRS Rawat
Scientist 'F', Biodiversity and Climate Change, Indian Council of Forestry Research and Education Dehradun, Uttarakhand, India

"Safeguards are necessary for a safe and effective REDD+ RSC."

Shree RSC Jayaraj
Director, RFRI Jorhat, North East, India

"In REDD+ We learn as we go. Let's go together."

Jochen Statz
UNIQUE forestry and land use, GmbH, Germany

"The key to successful knowledge management is an open mind, a clear sharing of information and frequent communication."

Barbara Pforte
UNIQUE forestry and land use, GmbH, Germany

"Ensuring social and environmental safeguards shall result in successful implementation of REDD+ in the Himalayas."

TP Singh
Assistant Director-General, Biodiversity and Climate Change, Indian Council of Forestry Research and Education, Dehradun, Uttarakhand, India

"Better together: REDD+ and safeguards."

Keiko Nomura
UN-REDD Programme Officer, United Nations Environment Programme, Regional Office for Asia and the Pacific

"Success of REDD+ policy will depend on the amount of non-carbon benefit it can generate, and this will be determined on how effectively social and environmental safeguards are addressed. Therefore safeguards are as important if not more, than the Certified Emission Reduction (CER)."

Bhaskar S Karky
REDD+ Initiative Coordinator, ICIMOD

"While countries are preparing their National Safeguard System, this regional platform will help countries to learn and share from each other that how REDD+ safeguard is being addressed and countries be able to generate carbon benefits."

Seema Karki
REDD+ Research Associate, ICIMOD

An Introduction to REDD+ Safeguards

Narendra Chand, PhD
Mohan Poudel, PhD
REDD Implementation Centre
Ministry of Forests and Soil Conservation
Nepal
November 2, 2015

This session will

- Give an overview of REDD safeguards

- COP decisions regarding safeguards

- Some ideas about other safeguard initiatives

- Country safeguard approach

Safeguards

Dictionary Meaning of the word " Safeguard"

"a measure taken to protect someone or something or to prevent something undesirable"

"a precautionary measure"

What is REDD+ safeguards?

- Measures to prevent and mitigate undue harm from REDD+ Implementation

- There are many such risks of REDD+

- Safeguards ensure the REDD+ process is inclusive, transparent with respect to indigenous people and local communities and protection of biodiversity

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COP decisions related to Safeguards

COP 16, Cancun, 2010	• Developed seven REDD+ safeguards principles
COP17, Durban, 2011	• Decided to develop REDD+ SIS
COP 19, Warsaw, 2013	• Progress made on safeguards timing and frequency of parties reporting on safeguards compliance
COP 20, Lima, 2014	* No remarkable decision * REDD was blocked in Peru as Norway wanted to give guidance on safeguards

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Safeguard: One of the key REDD+ elements

The Cancun Agreement and Warsaw Decision

- Scope and Scale of REDD+ activities
- A national strategy or action plan to address DD
- A national Forest Reference Emission Level/ FRL
- A national forest monitoring system
- A system to report on safeguards
- The selection of a focal point to communicate with UNFCCC
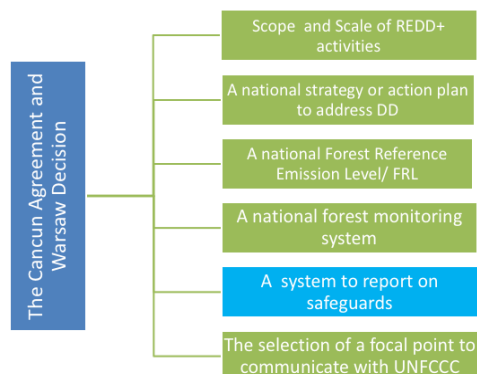
Key rules of REDD+ safeguards

- Parties implementing REDD+ activities should promote and support the safeguards

- The safeguards should support national REDD strategy and should be included in all phases of implementation

- Parties implementing REDD+ should develop a system for providing information on how safeguards are being addressed (PLRs) and respected (SIS)

- Developing countries should provide summary of information how all of the safeguards are being addressed and respected

Reporting on Safeguards

- At COP17 in Durban in 2011 agreed that a Safeguards Information System (SIS) should be established to ensure the "transparency, consistency, effectiveness and comprehensiveness"

- Countries should provide a "summary of information" on implementing REDD-plus safeguards through a formal reporting channel

- They could also voluntarily submit information through the UNFCCC website

The Cancun safeguard Principles

"When undertaking the activities referred to in paragraph 70 of this decision, the following safeguards should be promoted and supported"

(a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;

(b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;

(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;

The Cancun safeguard Principles

(d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;

(e) That actions are consistent with the conservation of natural forests and biological diversity, and to enhance other social and environmental benefits;

(f) Actions to address the risks of reversals;

(g) Actions to reduce displacement of emissions.

Some other initiatives

REDD+ SES	REDD+ Social and Environmental Standards • Facilitated by CCBA and CARE international • REDD+SES consist of principles, criteria and indicators
UN-REDD	UN REDD program • developed set principles, criteria and associated tools and guidance • Six key principles
FOREST CARBON PARTNERSHIP	Strategic and Environmental and Social Assessment- SESA and ESMF • Developed a set of safeguards • A set of ten policies of SESA allows for incorporation of social and environmental concerns • For REDD Five policies are relevant such as natural habitat and forest
CCB Standards	Project level indicators
VCS VERIFIED CARBON STANDARD	Project level standards

Highlights of Safeguards

Agencies	Safeguards	Remarks
UNFCCC	Cancun Safeguards (7 principles)	Mandatory
FCPF - World Bank	(1) Strategic Environmental and Social Assessment (SESA) • Environmental Assessment (OP 4.01) • Natural Habitats (OP 4.04) • Forests (OP 4.36) • Indigenous Peoples (OP 4.10), and • Involuntary Resettlement (OP 4.12) (2) Environmental and Social Management Framework (ESMF)	Mandatory
UN-REDD programme	1. Social and Environmental Principles and Criteria (SEPC) 2. Guidelines on Stakeholder Engagement and Free, Prior and Informed Consent (FPIC) • Benefit and Risks Tool (BeRT) • Participatory Governance Assessment	Support countries in developing safeguards in line with the UNFCCC
REDD+SES	7 principles (Country-led Voluntary Guidance)	Voluntary

REDD+SES

- It is multi-stakeholder initiative facilitate by the CCBA and the CARE international

- Developed to support the design and Implementation of government led REDD implementation

- It consist of seven principles that defines high social and environmental performance of REDD program

- At principle and criteria level, the standards are intended to be generic

- A country has to develop its own indicators based on the national circumstances

SESA and ESMF

- FCPF safeguard consist of SESA and ESMF

- Out of ten policies related the World Bank safeguards seven are relevant to REDD+

- Specific output of SESA is ESMF

- A SESA indicates possible social and environmental impact due to the implementation of REDD strategy or Action Plan

- A ESMF is a framework which explains management of future projects, policies and activities

The WB safeguard policies relevant to REDD+

Environmental safeguards	• Environmental assessment OP 4.01 • Natural habitats OP 4.04 • Forest OP 4.36 • ………………3 more
Social safeguards	• Indigenous People OP 4.10 • Involuntary settlement OP 4.12
Legal safeguards	• ….. Two policies

Commonality between Cancun and REDD+SES

Cancun Safeguards	REDD+ SES
(a) Consistency with objectives of national forest programmes and relevant international conventions and agreements	Principle 7: The REDD+ program complies with applicable local and national laws and international treaties, conventions and other instruments.
(b) Transparent and effective national forest governance structures	Principle 4: The REDD+ program contributes to good governance, to broader sustainable development and to social justice
(c) Respect for the knowledge and rights of indigenous peoples and members of local communities	Principle 1: Rights to lands, territories and resources are recognized and respected by the REDD+ program
(d) Full and effective participation of relevant stakeholders	Principle 6: All relevant rights holders and stakeholders participate fully and effectively in the REDD+ program
(e) Conservation of natural forests and biological diversity • not used for conversion of natural forests • protection and conservation of natural forests and their ecosystem services, • enhance other social and environmental benefits	Principle 3: The REDD+ program improves long-term livelihood security and well-being of Indigenous Peoples and local communities with special attention to women and the most vulnerable people Principle 5: The REDD+ program maintains and enhances biodiversity and ecosystem services
	Principle 2: The benefits of the REDD+ program are shared equitably among all relevant rights holders and stakeholders

## Illustration of safeguards with REDD+ phases
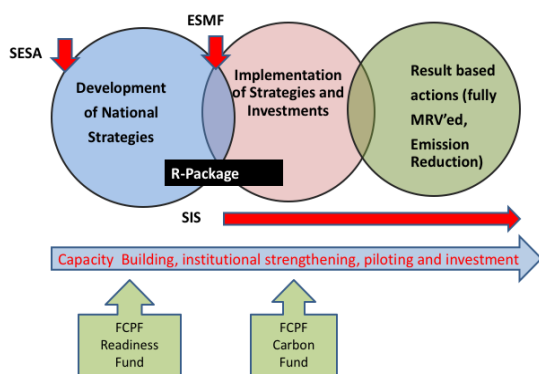
## Key challenges in implementing REDD safeguards

- Awareness of the safeguards system at different levels is low. Capacity building is essential and needs huge resources,

- Implementation, Monitoring and Reporting of safeguards

- Diverse safeguard requirements of funding agencies

- Harmonization of multiple safeguards and adopting an important and practical mechanism

National Safeguard Approach and Safeguard Information System

Elements of Country Safeguard Approach
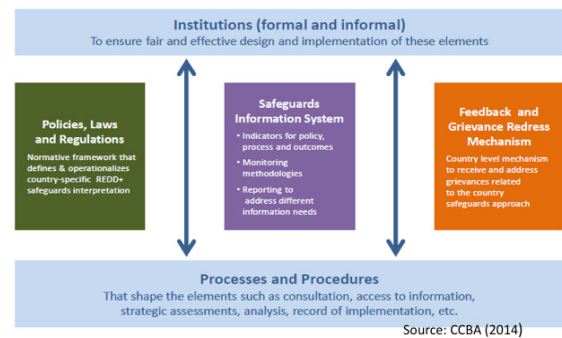
Source: CCBA (2014)

## Main Steps for Development of a Country Safeguard Approach
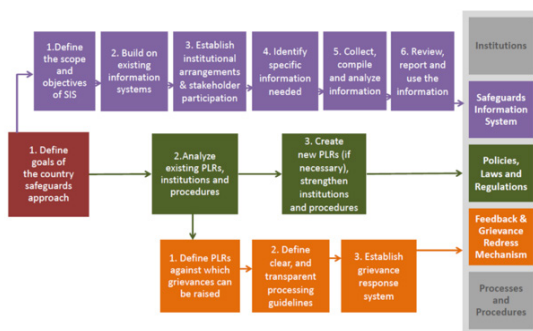
Source: CCBA (2014)

## How SIS helps countries Implementing REDD +?

- SIS can help overall REDD+ Implementation
  - Provides information on what is working and what is not
  - Help to identify problem early on before they result in failure

- SIS build confidence in REDD+ at national and international levels
  - Inclusive stakeholders consultation process to collect and review information

- SIS facilitates the flow of finance
  - Provides confidence to the REDD funding agencies that environmental and social benefits generated

SIS Objectives and Sources
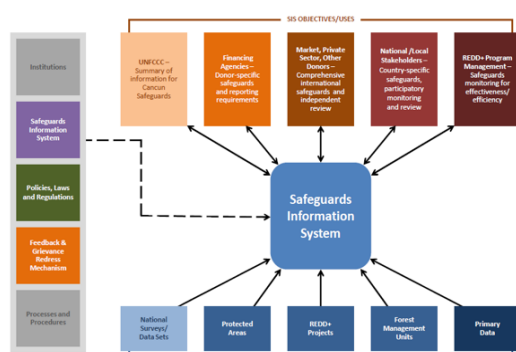
Source: CCBA (2014)

Process for design and implementation of SIS
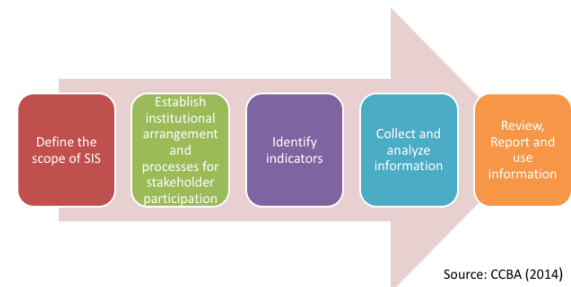
Source: CCBA (2014)

key challenges for developing a NSS for REDD+

- Awareness of the safeguards system

- Capacity building is essential

- Undefined and developing Safeguards at international level is also a challenge

- Improvement in governance system which addresses the safeguards

- Harmonization of multiple safeguards and adopting an important and practical mechanism

Annex G. Status of REDD Safeguard Information System in Nepal

Status of REDD+ safeguards in Nepal

Mohan Poudel, PhD
REDD Implementation Centre
Nepal

Demystifying REDD+ Safeguards
A South-South Learning Workshop
Kolkata India
1-7 November 2015

Presentation outline

- Objective
- Nepal background
- REDD+ in Nepal
- How do we perceive REDD safeguard
- PLRs
- Status of developing safeguards
- Opportunities
- Challanges

Objective

- Sharing Nepal's understanding of REDD+ safeguard

- Sharing status of REDD+ safeguard in Nepal

- Sharing experiences of developing REDD+ SIS in Nepal

Nepal in Glimpse

- Total area: 14.72 Million ha
- Physiographic region: 5
- States: 7
- Population: > 2.6 million
- Forest covers: 5.8 m ha (39%)
- Protected area:1.47 m ha (23%)
- CF:>25% of the total forest area
- Major forest management regimes: PA, CF, LF, CMF, GMF
- Institutions: Forest Ministry and its 5 departments: (DF, DNPWC, DSWC, DFRS, DPR)

China

India
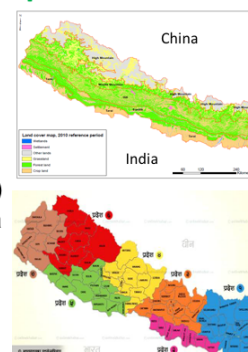
Landscape of REDD+ in Nepal
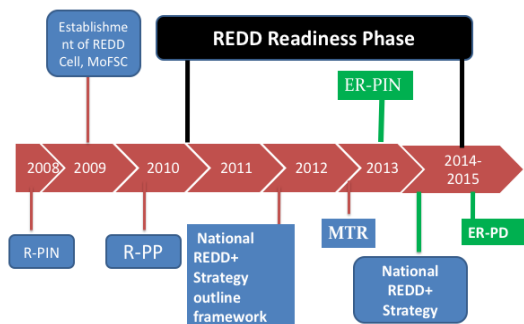
Current Status

- Readiness Program was approved till 30 June, 2015

- Total grant under REDD Readiness = US $ 3.4 million

- ER-PIN submitted and accepted from Ninth Carbon Fund Meeting – April, 2014

- Letter of Intent singed between the World Bank and Ministry of Finance – June 3, 2015

- The WB will provide fund for ERPD preparation

- Next program is ERPD preparation and signing the ERPA

- REDD+ activities have also been undertaken by several partner agencies like ICIMOD, WWF, FECOFUN

Institutional arrangement for REDD+
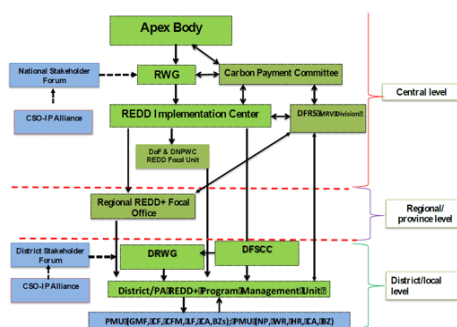
REDD+ safeguard in the context of Nepal

- Nepal perceives safeguard as:

  " procedures and approaches that can help to ensure that REDD+ activities "do no harm" to people or the environment"

- Nepal's commitment towards safeguard aims:
  – Ensuring more equitable distribution benefits and costs
  – Addressing the underlying drivers of deforestation
  – Increasing investment in REDD+
  – Meeting international safeguard requirements
  – Reducing environmental risks and enhancing multiple benefits
  – Monitoring social and environmental wellbeing and effective delivery of REDD+

Elements and approaches for designing REDD+ safeguard system

Elements:
- – Policies, Laws and Regulations (PLRs)
- – Safeguard Information System (SIS)
- – Grievances Redress Mechanism (GRM)

Approaches:
- – Participatory
- – PLRs analysis
- – Strategic Social & Environmental Assessment (SESA)
- – Environment & Social Management Framework (ESMF)
- – REDD Social and Environmental Standard (REDD SES)
- – Operationalize Grievances Redress Mechanism (GRM)

Safeguard Status

- Existing PLRs & institutions

- Traditional & customary mechanisms

- Piloting REDD+ SES

- SESA/ESMF process is finalized
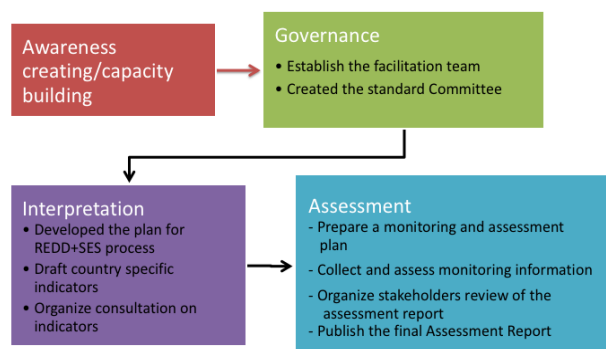
- A study on GRM completed

Process of REDD+SES in Nepal

- REDD+ SES was initiated in early 2010 through a multi-stakeholder process

- Initially, the facilitation team carried out awareness and capacity-building related activities.

- The REDD WG works as a national standards committee for REDD+
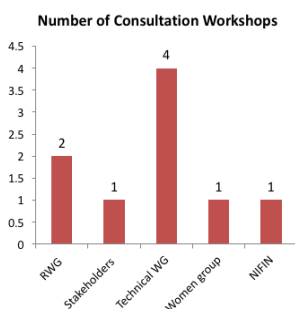
- It is country led process (indicators)

Process of REDD+SES indicators development

Awareness creating/capacity building	Governance • Establish the facilitation team • Created the standard Committee

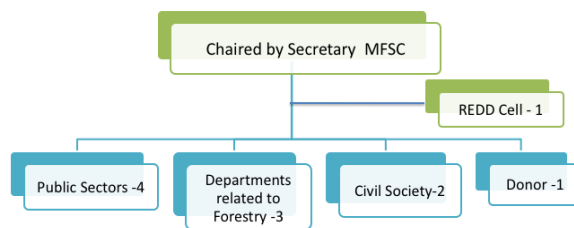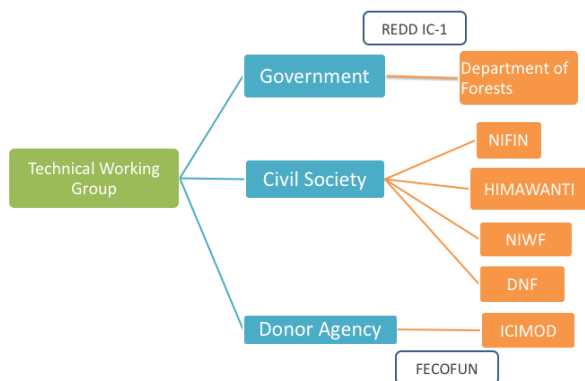| Interpretation • Developed the plan for REDD+SES process • Draft country specific indicators • Organize consultation on indicators	Assessment - Prepare a monitoring and assessment plan - Collect and assess monitoring information - Organize stakeholders review of the assessment report - Publish the final Assessment Report

Awareness Raising

- Workshops for country specific interpretation

- Consultation meeting for feedback on country specific draft indicators- interest groups

Number of Consultation Workshops

RWG	Stakeholders	Technical WG	Women group	NIFIN
2	1	4	1	1

National Standards Committee (or RWG)

Chaired by Secretary MFSC

REDD Cell - 1

- Public Sectors -4
- Departments related to Forestry -3
- Civil Society-2
- Donor -1

Technical Working Group

Technical Working Group

- Government
  - REDD IC-1
  - Department of Forests
- Civil Society
  - NIFIN
  - HIMAWANTI
  - NIWF
  - DNF
- Donor Agency
  - ICIMOD
  - FECOFUN

Interpretation Process of REDD+ SES

National Standard Committee	• Review and approves safeguard indicators and advise the TWG on the specific issues
National Facilitation Team (REDD IC-1, FECOFUN-1)	• Facilitates the overall interpretation process of the country specific indicators
TWG- 8 members (Gos-2, Other-6)	• Decision making process • Secretariat – REDD IC • Meetings- as per requirements • Decision – Consensus based • The TWG is involved in interpretation of the country specific indicators

Hierarchical Framework of Standards

| Principles | The **intent** level – clarifying objectives` |

| Criteria | The **content** level – conditions that need to be met |

| Indicators | A **quantitative or qualitative parameter**, which can be assessed in relation to a criterion. |

| Essence | Qualifiers | The information needed to demonstrate that the indicator is being met. |
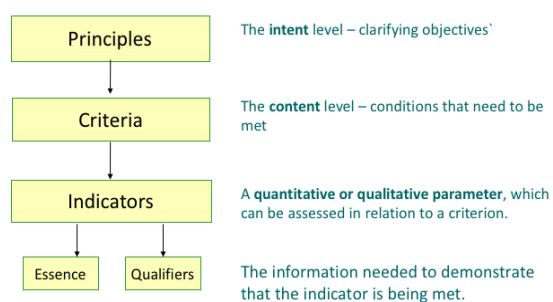
Multi-stakeholder Assessment Process

- Technical Working Group, Standard Committee involved or will be involved in:

    – Monitoring and assessment of all indicators is not relevant at this stage

    – Periodization of indicators using Indicator prioritization tool

    – Monitoring plan

    – Assessment report

Strength of REDD+ SES in Nepal

- RPP has priority to apply REDD+SES for other impacts assessment

- Consistent with the UNFCCC Cancun Safeguards , hence use of indicators in developing Safeguard Information System (SIS) is more likely

- The indicators development process is quite transparent and participatory in Nepal

- The ESMF recommends to use REDD+SES in the case when The WB safeguards process is not well developed considering REDD+

Challenges of REDD+ SES in Nepal

- Policy and process indicators seems easy to measure, but ;

- Lack of mechanism/capacity to assess outcome indicators

- Need to use proxies to measure outcomes

- Conflicting/competing interests complicate multi-stakeholder decision making process

- Too many indicators to represent diverse stakeholders and their interests (i.e.65)

- Some indicators may not be supported by PLRs

Safeguard Information System (SIS) in Nepal

- Existing practices of information management system lack safeguard provision

- REDD+ seeks safeguard provision throughout the process (designing, implementing and reporting)

- Nepal is in the process of SIS development (initial stage)

- SIS will build on considering both existing PLRs/systems/experiences and international requirements.

Approaches of SIS development in Nepal

- Following multi stakeholder process

- Communities, CSO IPs participating the process

- REDD+ information systems are building on existing systems

- REDD+ safeguards reporting system will be build on existing institutional structures

National circumstances assisting SIS in Nepal

•Experienced in related reporting system like:

- Convention on Biological Diversity (CBD)
- Global Forest Resources Assessment (FRA)
- National communication on GHG inventory
- Reporting to FCPF
- SESA , ESMF

REDD safeguard	CBD	FRA
(a) Consistency with existing laws		√
(b) Transparent governance and sovereignty		√
(c) Respect for knowledge of indigenous people, UNDRIP		
(d) Full and effective participation of stakeholders	√	
(e) Conservation, biological diversity and enhancement of benefits	√	√
(f) Address risk of reversals	√	√
(g) Reduce displacement of emissions		√

## National circumstances assisting SIS in Nepal

- Existence of information management systems to some extent

- Existing institutional strictures comply with SIS institutional requirements
    - DFOs, FECOFUN can facilitate feeding information up to a national REDD SIS
    - Communities involvement is essential for information collection
    - REDD focal point rolling up information and report internationally

Existing PLRs supporting REDD SIS

- The constitution of Nepal guarantees right to information, right against discrimination, right to inclusion, participation, women, property etc.

- Ratified the UNFCCC, Kyoto Protocol (KP) , CBD, ILO convention 169. The country has developed strategies, action plans related to these agreements have certain provisions for social and environmental safeguards

- PLRs fulfils principle (a) of the Cancun and the world Bank safeguards

- Good governance Act (2008) comply with principle (b) of the Cancun safeguard

- Social and environmental provisions in the Environmental Protection Act (1997) addresses the (e), (f), and (g) of the Cancun safeguard

- Forest Act (1993) ensures participation of rightholders and stakeholders

Other opportunities supporting SIS in Nepal

- The country-specific development of indicators and stakeholder participation model used in the SES could be used in REDD+ safeguard reporting

- The nationally appropriate assessment processes under the SES could potentially be applicable to REDD+ SIS

- Engaging subnational entities in the REDD+ process (e.g IPs & communities).

- Multistakeholder forums at different level (local to national) offer conducive environment for transparency and accessibility
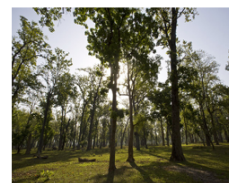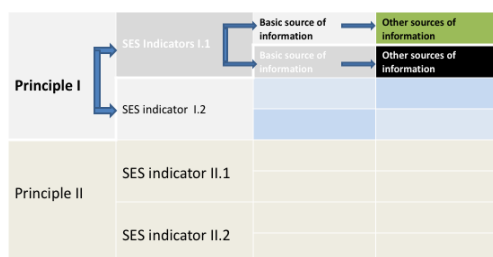
Challenges for developing REDD+ SIS in Nepal

- Despite enough PLRs in place supporting safeguards, there is limited review and revision of those PLRs as per the socio-political and global environmental dynamics

- However, compliance, monitoring and reporting system is not adequate, and many cross sectoral policies are posing challenge

- Developing SIS that complies with different safeguard systems (SESA, REDD+SES, Cancun) is challenging.

- SIS requires engagement of multiple stakeholders in all levels of governance, it is big challenge

Challenges for developing REDD+ SIS in Nepal

- Awareness of the safeguards system at different levels is low. Capacity building is essential and needs huge resources,

- Improvement in governance system which addresses the safeguards

- Harmonization of multiple safeguards and adopting an important and practical mechanism

FOREST CARBON PARTNERSHIP

REDD+ Social & Environmental Standards+

UNFCCC

Likely REDD+SIS Framework in Nepal

		Basic source of information	Other sources of information
Principle I	SES Indicators I.1	Basic source of information	Other sources of information
	SES indicator I.2		
Principle II	SES indicator II.1		
	SES indicator II.2		

Thank you very much

Annex H. Designing Effective REDD+ Safeguards Information Systems in India

**INDIA:
Designing Effective REDD+
Safeguards Information Systems**

REDD+ Safeguards in the Cancun Agreements

- Action **complements objectives of national forest programs** and relevant international agreements
- **Transparent and effective national forest governance structure** (e.g., National legislation and Sovereignty)
- **Respect for knowledge of indigenous peoples and local communities**
  (relevant international obligations, National circumstances and laws, UNGA declaration on right of IPs
- **Full and effective participation of stakeholders**
  (IPs and LCs)
- Consistent with **conservation of natural forests and biodiversity**
- Actions to deal with **permanence (Address risk of reversals)**
- Actions to deal with **leakage (Displacement of Emissions)**

REDD+ SIS Guidance in Durban Decision

- Guidance on systems for providing information on how REDD+ safeguards are addressed and respected. Safeguards Information Systems should:
  - Provide **transparent and consistent** information;
  - Provide information that is **accessible** for all relevant stakeholders (Transparent, open Right to information)
  - **Update** the information on a regular basis;
  - **Provide information on how the safeguards are addressed and respected**;
  - Be **country-driven** and implemented at the **national level**; and
  - **Build upon existing processes**, as appropriate.

Building SIS for REDD+

- A set of institutions and processes through which information is collected, verified, assessed, published and fed back to relevant institutions."
- The systems need be developed in a way that strikes a balance between:
  Flexible and country-driven approaches:
  Useful and effective for stakeholders at the country level, respecting sovereignty, but also compatible with international standards

  Financial viability:
  May not place additional financial burden or transaction costs on the country/project developer.

Approach for Developing SIS

Compare existing processes against each of the seven safeguard principles for REDD+

(As agreed in Cancun 1/CP.16 Annex 1)

Need focus on reporting and verification of these elements

Building on Existing Systems

(i) Country driven systems (national legislations etc.)
 or
(ii) Systems existing with other international organisations

Building on Existing Systems (contd…)
(i) Country driven systems (national legislations etc.)

- Countries May like to build on national process with applicability REDD+ SIS, such as:
  - **International Conventions and Agreements**
  (e.g., CBD)
  - **National Legislation, Policies and Approaches**
  (e.g., Acts legislations etc. Environmental Assessment Procedures)
  - **Bilateral and Multilateral Agreements**
  - **Project-level approaches** (i.e., donor safeguard requirements, and/or pilot approaches)

Building on Existing Systems (Contd…)

(ii) Systems existing with other international organisations

- The Forest Carbon Partnership Facility's (**FCPF**) Strategic Environmental and Social Assessment (**SESA**) and common approach;
- **UN-REDD** Programme's Social and Environmental Principles and Criteria (**P&C**); and
- Climate, Community and Biodiversity Alliance (**CCBA**)'s REDD+ Social and Environmental Standards (**REDD+ SES**).

Key Elements of REDD+ and UNFCCC Decisions

1/CoP.16
15/CoP.19 — **National Strategy or Action Plan**

National Forest Monitoring System (MRV) — 4/CoP.15
1/CoP.16
11/CoP.19

12/CoP.17
1/CoP.16
12/CoP.19 — **Safeguards information system**

Forest Reference level/Forest Reference emission Level — 4/CoP.15
1/CoP.16
12/CoP.17
13/CoP.19

India's draft national REDD+ policy and Strategy

Chapters: 7

1. Overall objective and intent
2. Implementation principles
3. Compatibility with UNFCCC decisions
4. National Laws
5. Coverage
6. Benefits of REDD+ implementation
7. Operationalization of REDD+ Policy:

Reference document for REDD+ in India:

Government of India (MoEF&CC) has adopted a Reference document to operationalize REDD+ in the country.

The document based on the existing knowledge on the subject and roles and responsibilities of different departments, institutions, civil society and local communities to facilitate institutionalization and implementation of REDD+ in the country.

Consists of 9 chapters on necessary guidance and framework for REDD+ implementation, covering important elements like:
- construction of national forest reference level,
- safeguards,
- governance,
- MRV mechanism,
- capacity building, and
- identification of research gaps in REDD+ in India.

Initiation of REDD plus Pilot projects in India

Umiam Sub-Watershed REDD+ Project, Meghalaya
17000.00 ha

Uttarakhand REDD Plus pilot project

Forest plus by USAID Grant US$ 4 million

Under Forest Plus, Pilot projects are proposed in following parts of the country:
- Shimoga (Karnataka)
- Harda Dist Hoshangabad (Madhya Pradesh)
- East Sikkim (Sikkim)
- Chamba/Mandi (Himachal Pradesh)

- **TERI** REDD+ pilot projects financed by Norwegian Government 6 sites in different states has been initiated: (i) Mussoorie, in Uttarakhand), (ii) Renukoot, Uttar Pradesh, (iii) Chhindwara, Madhya Pradesh, (iv) Angul, (Odisha), (v)Sundarbans (West Bengal WB) and (vi) Nagaland

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Umiam Sub-Watershed REDD+ Project, Meghalaya

- A pilot project in the East Khasi Hills in Meghalaya being run jointly by a California-based non-profit organization, Community Forestry International (CFI) and the Mawphlang community (Meghalaya).
- The total project area is 17,052 ha.
- The net CO_2 additionality per year on account of avoided Deforestation and degradation and afforestation in the project area works out as under:
   Net CO_2:   11,444 t CO_2
- The project is registered with Plan Vivo Standard.

REDD+ Himalayas: Developing and using experience in implementing REDD+ in the Himalayas (2015-2018)

The project with a regional mandate, is implemented in Bhutan, India, Myanmar and India in partnership with REDD focal points of the respective countries.
In India its focus is on NE India.

Objective:
REDD Readiness: Preparation for regional REDD readiness.
Regional learning platform': In working towards harmonisation in the region, an exchange of experience and mutual learning on good REDD implementation practices are established.
It especially deals with standards for calculating reference levels (RLs) and the design of systems for MRV, including social and environmental aspects
A REDD-plus pilot project

India and REDD+
Existing Forest Governance

A few important acts, instruments and rules governing the protection and conservation of forests

1. The Indian Forest Act, 1927
2. Forest (Conservation) Act, 1980, amended 1988
3. The National Forest Policy, 1988
4. Forest (Conservation) Rules, 2003
5. Forest (Conservation) Rules, 1981, amended 1992
6. Biological Diversity Act, 2002
7. Biological Diversity Rules, 2004
8. The Indian Wildlife (Protection) Act, 1972, amended 1993
9. The Wildlife (Protection) Rules, 1995
10. National Environment Policy, 2006
11. Judgement of the Apex Court (1996)
12. The National Green Tribunal Act, 2010

The Indian Forest Act, 1927:

Seeks to consolidate the law relating to forests, the transit of forest produce and the duty that can be levied on timber and other forest produce**.**

This Act provides definitions for forest-produce

## Paradigm shift in forest governance in India

The first Forest Policy of independent India in 1952.

The enactment of the Forest Conservation Act (FCA) 1980 Forest governance from commercialized use of forest to conservation.

The pace of diversion of forest land for non-forest purposes 1,60,000 ha /annum 1951 to 1976

Implementation of Forest (Conservation) Act, 1980, the rate of diversion of forests has come down drastically to 35,000 ha annually during 1980-2011

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5. Impact of Forest Legislation on Climate Change Mitigation

Diversion of forest lands (in million ha) before and after Forest conservation Act (1980)

	1951-1976	1980- 2011
	4.13	1.133
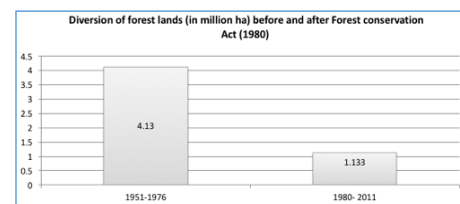
The pace of diversion of forest land for non-forest purposes was around 1,60,000 hectares per annum from 1951 to 1976.
After the implementation of Forest (Conservation) Act, 1980, come down drastically to 35000 ha annually during 1980-2011 (ICFRE, 2010)

India: Strong policy framework for conservation of natural forest

THE NATIONAL FOREST POLICY, 1988 envisages conservation and sustainable management of all types of forests

- Provisions for maintenance, conservation and enhancement of bio-diversity of forest ecosystems
- Maintenance and enhancement of forest resource productivity
- Increase in the extent of forest and tree cover

Joint Forest Management (JFM)

- Involvement of Local communities
- India implemented JFM Programme that insures participation of local communities in rehabilitation of degraded forests
- 100,000 JFM committees
- 22 Million ha of Forest area covered
- 22 Million participating members

Joint Forest Management (JFM)…..

- Concept of JFM recognizes the share of protecting communities over forest produce
- Local communities and forest department jointly plan and implement forest regeneration and development programmes
- Communities are rewarded with substantial share of forest produce in return for protection and management of forests

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National Environment Policy, 2006 concerning environmental policy of India.

It encourages imposing of more stringent local level water and air quality standards for receptors.

- The objectives of the National Environment Policy include: conservation of critical environmental resources and livelihood security for the poor,
- integration of environmental concerns in economic and social development,
- efficiency in environmental resource use and enhancement of resources for environmental conservation

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The National Green Tribunal Act, 2010 is an act of Parliament which enables creation of a special tribunal to handle the expeditious disposal of the cases pertaining to environmental issues.

It was enacted under India's constitutional provision of Article 21, which assures the citizens of India the right to a healthy environment.

The stated objective of the Central Government was to provide a specialized forum for effective and speedy disposal of cases pertaining to environment protection, **conservation of forests** and for seeking compensation for damages caused to people or property due to violation of environmental laws or conditions specified while granting permissions.
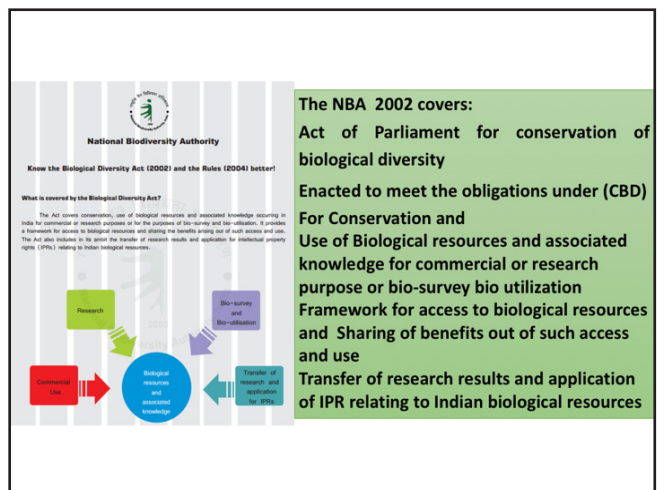

The Environment (Protection) Act, 1986 amended in 1991

came into force on November 19, 1986.. It is an act to provide for the protection and improvement of environment and for matters related to it.

The main objective of the act was to provide the protection and improvement of environment.

It specifies that the State shall protect and improve the environment and also to safeguard the forests and wildlife of the country.

Safeguarding Biodiversity

The NBA 2002 covers:

Act of Parliament for conservation of biological diversity

Enacted to meet the obligations under (CBD)

For Conservation and

Use of Biological resources and associated knowledge for commercial or research purpose or bio-survey bio utilization

Framework for access to biological resources and Sharing of benefits out of such access and use

Transfer of research results and application of IPR relating to Indian biological resources

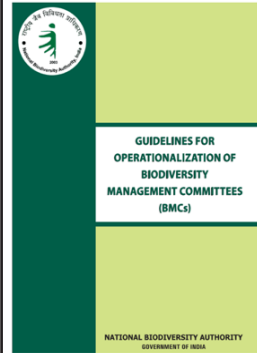**Biological Diversity Act, 2002**

is an Act of Parliament for conservation of biological diversity in India.

The Act was enacted to meet the obligations under (CBD).

It provides conservation of biological diversity, sustainable use of its components and fair and equitable sharing of the benefits arising out of the use of biological resources, knowledge and for matters connected therewith or incidental thereto.

Biological Diversity Rules, 2004 outline the procedures to be followed for access to biological resources (wild plants and animals, crops, medicinal plants, livestock, etc), their commercial utilization, transfer of rights of research, and intellectual property rights related to biodiversity.

It also explains that every local body shall constitute a **Biodiversity Management Committee (BMC)** with in its area for the purpose of promoting conservation, sustainable use and documentation of biological diversity including preservation of habitats, conservation of land races

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GUIDELINES FOR OPERATIONALIZATION OF BIODIVERSITY MANAGEMENT COMMITTEES (BMCs)

NATIONAL BIODIVERSITY AUTHORITY
GOVERNMENT OF INDIA

BMC established: 37769

What is excluded

- Normally traded commodities (so far material is used only as commodity)
- Uses by cultivators and breedes e.g. farmers, livestock keepers and bee keepers and traditional healers e.g. vaids and hakims
- Collaborative research between Indian and foreign institutions that conform to central government guidelines and has its approval, subject to following the notified guidelines by the Ministry of Environment and Forests, Government of India

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The Wild Life (Protection) Act, 1972, amended 1993

was enacted for protection of plants and animal species.

Among other reforms, the Act established schedules of protected plant and animal species; hunting or harvesting these species was largely outlawed.

The Act provides for the protection of wild animals, birds and plants; and for matters connected therewith or ancillary or incidental thereto.

Respect for knowledge of indigenous peoples and local communities

The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006

The Forest Rights Act, 2006 to secure community rights or rights over common property resources of the communities in addition to their individual rights.

The Act enjoins upon the local communities, to recognize their role in forest and biodiversity protection through sustainable management practices

The Act provides scope and historic opportunity of integrating conservation and livelihood rights of the people.

Transition from regulatory mode of forest governance to decentralized forest governance in India.

All the elements of SIS are very well built in India's National Forestry Governance Policies, Rules and Regulations (PLR)

Needs to streamline / dovetail these in accordance with UNFCCC Decisions, and other safeguards

Lessons learnt from this workshop will further guide us in developing India's SIS

Development of REDD+ SIS in Myanmar

Demystifying REDD+ Safeguards Workshop
1st - 6th November, 2015
Kolkata, India

Myat Su Mon, Sein Moe, Kyaw Thu Han
Forest Department
Ministry of Environmental Conservation and Forestry (MOECAF)

Outline

❖ Common risks of REDD+ without consideration of social and environmental impacts
❖ Definition and Objectives of safeguard
❖ Global REDD+ safeguard Initiatives
❖ Myanmar REDD+ Readiness Roadmap development process
❖ Development of Country SIS
❖ Existing measures (safeguards)
❖ Challenges & Opportunities
❖ Way forward

LESSONS LEARNT!
Poorly designing and implementation of projects can lead to social and environmental conflicts, which results in hampering and/or failure of project activities.

Common Risks from REDD+
(Moss N, Nussbaum R, Muchemi and Halverson E, 2011)

❑ The conversion of natural forests to plantations and other land use of low biodiversity value and low resilience;
❑ The loss of traditional territories resulting in displacement and relocation of indigenous peoples and forest dependent communities;
❑ The erosion or loss of rights with exclusion from lands, territories and resources;
❑ The loss of ecological knowledge;
❑ The loss of traditional and rural livelihoods;
❑ Social exclusion and elite capture in the distribution of benefits from REDD+;
❑ The loss of or reduced access to forest products important for local livelihoods;
❑ The creation of contradictory or competing national policy frameworks;
❑ The other benefits of forests are traded-off at the expense of maximizing the carbon benefits;
❑ Human-wildlife conflict as population of crop raiding animals benefit from better protected forests.

What is safeguard?

• A "safeguard" is a **mechanism, such as a policy or process, to prevent or mitigate identified risks**. (FCMC, 2012)

• Safeguards reflect the social and environmental protections offered in international law, conventions and treaties.

• For some, the term "safeguard" has a somewhat negative connotation since it fails to communicate positive social, environmental and governance outcomes now expected from REDD+.

• The UNFCCC and others, however, use safeguards to imply **not only the avoidance of risks, but also the achievement of positive benefits.**

Why Safeguards in REDD+?

• **Safeguards are necessary** to guide REDD+ planning and implementation in avoiding unintended negative impacts on people, governance systems and the environment

• **Safeguards are requirement** for receiving REDD+ financing

• **Safeguard Information Systems** (**SIS**) provide a systematic approach for collecting and providing information on how REDD+ safeguards are being addressed and respected throughout REDD+ implementation.

Safeguards objectives

- ✓ **"Do no Harm":**
  - ➤ **to avoid or mitigate risks**

- ➤ **"Do Good":**
  - ➤ **to improve social and environmental benefits**

Global REDD+ Safeguard Initiatives

- UNFCC safeguards

- UN-REDD SEPC (Social and Environmental Principles and Criteria)

- FCPF (Forest carbon partnership facility)

- REDD+ SES (Social and Environmental standards)

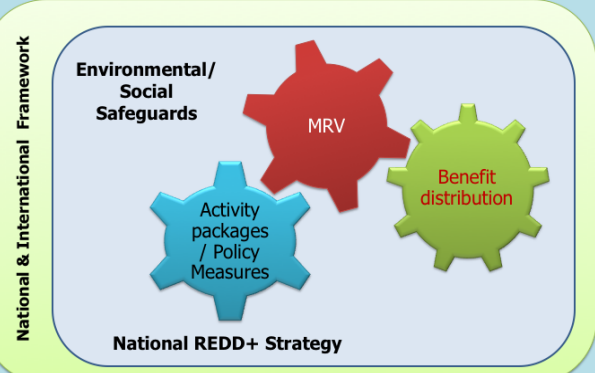## Myanmar REDD+ Readiness Roadmap Development Process

Preparation for REDD+ Readiness

- ❖ The government of Myanmar signed UNFCCC on 11 June **1992** and ratified the convention on 25 November **1994**.
- ❖ Myanmar ratified Kyoto Protocol in **2003** as a non-Annex I party.
- ❖ **First National Level Workshop** on REDD+ was held on April 2010.
- ❖ Regarding REDD+, Forest Department formed **a core unit with three working groups** to perform REDD+ related activities.
- ❖ Organizing trainings and workshops for capacity building and awareness raising.

Pilot Projects for REDD+ Demonstration

- **National Level Activities**
  - Capacity building and awareness raising
  - REDD+ roadmap and national strategies

- **Sub-national level Activities (eg. District level)**
  - Forest inventory (carbon measurement) and MRV
  - Identifying major drivers of deforestation and forest degradation
  - Stakeholder consultation process
  - Awareness and capacity building

- **Project/local level**
  - Demonstration of REDD+ (forest conservation, SFM & reforestation)
  - Extension activities (including public talks)
  - Income generation and rural development activities
  - Stakeholder consultation
  - Awareness raising and capacity building

Elements of the National REDD+ System

National & International Framework

Environmental/ Social Safeguards

MRV

Activity packages / Policy Measures

Benefit distribution

National REDD+ Strategy

REDD+ Roadmap Development

- Myanmar became a partner country of the UN-REDD Programme in December 2011.
- It quickly took steps to start implementing REDD+ readiness activities, including the development of a Roadmap.
- The Roadmap was developed between July 2012 and September 2013 with the support of Norwegian Government and UNREDD.
- The development process included two national consultation workshops (initial and final workshops) and four regional workshops.
- Three technical working groups provided the inputs for the document.

REDD+ Roadmap Development

- The Roadmap sets out how Myanmar will implement its REDD+ Readiness activities.
- It is divided into the following six components.

Component 1: Management of REDD+ Readiness

Component 2: Stakeholder Consultation and Participation

Component 3: Development and selection of REDD+ Strategies

Component 4: Implementation framework and safeguards

Component 5: National Forest Reference Emission Level and/or Forest Reference Level (REL/RL)

Component 6: National Forest Monitoring System
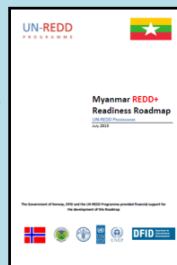
Implementation of REDD+ Readiness Roadmap

- The UN-REDD Programme has been requested to provide support in the following areas:
  - Governance
  - Stakeholder engagement
  - National REDD+ Strategy Development
  - Social and Environmental Safeguards
  - National Forest Monitoring System
  - Forest Reference Emission Levels (RELs/RLs)
- UN-REDD targeted support was granted to support the first year of the readiness process after the development of the Myanmar REDD+ Readiness Roadmap.

Proposed Structure of National REDD+ Taskforce
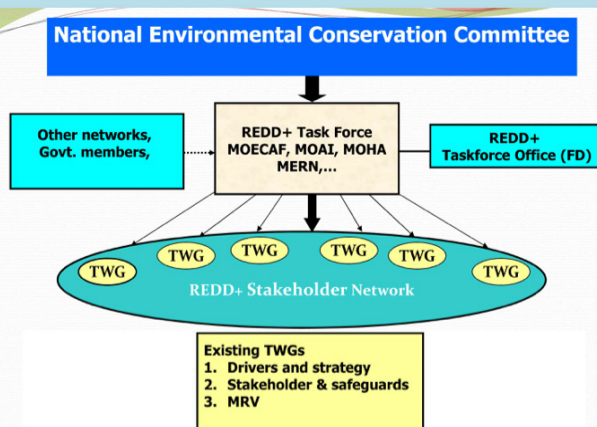
Development of Country SIS

Legal Framework for Environmental and Social Safeguards

- State Constitution (2008)
- Environmental Policy (1994)
- Myanmar Agenda 21 (1997)
- National Sustainable Development Strategy –NSDS (2009)
- Environmental Quality Standards (drafting)
- Myanmar Investment Law (2012)
- Myanmar Investment Rules (2013)
- Notifications for Investment (2013)
- Existing Social related Laws and Regulations

Legal Framework for Environmental and Social Safeguards

- Myanmar Forest Policy (1995)
- Forest Law (1992)
- Forest Rules (1995)
- Community Forestry Instructions (1995)
- Protection of Wildlife and Wild Plants and Conservation of Natural Areas Law (1994)
- Protection of Wildlife and Wild Plants and Conservation of Natural Areas Rules (2002)
- Environmental Conservation Law (2012)
- Environmental Conservation Rules (**Approved by Cabinet, 2013**)
- Environmental Impact Assessment Procedure (Draft)
- National Forest Master Plan-NFMP (2001-02 to 2030-31)
- National Biodiversity Strategies & Action Plan
- Criteria & Indicators for SFM & Legality of Timber
- Reduced Impact Logging (RIL)
- National Code of Practices for Forest Harvesting (2000)

Existing Measures (Safeguards)
Recognition of land use right

- In 2013, FD has conducted a survey on forest land encroachment inside the forest land (RF& PPF).
- Sedentary agriculture(paddy field) plus village area, religious area falling under forest land are canceled from forest land. (out of 293,000 ha, about 205,000 ha has been cancelled)
- Existing *"taungya" in forest land are* allowed under CF program, granting 30- year land lease (Bridging the gap between statutory and customary right)

Existing Measures (Safeguards)
National Land use policy development

- Myanmar has been developing its national land use policy through series of stakeholders consultation meetings/ National WS and public consultations.
- Merging feedbacks from public consultation process, now 6th Draft of National Land Use Policy has been ready (altogether 13 Parts in Draft Document).
- **Part IV of the 6th Policy Draft: Grants and Leases of Land** at the Disposal of Government
- This part highlighted to provide prior notice, receive stakeholders' feedbacks and conduct ESIA
- Described that one or more pilots need to be tested to enable implementation of social & environmental safeguards.

Elements of a National REDD+ Social and Environmental Safeguards System

- The Cancun Safeguards are addressed through the country-led development of a national REDD+ safeguards system in Myanmar.

Where we are?

- Done for Project level REDD+ SIS
- REDD+ Core Unit meetings to review available REDD+ safeguards (UN-REDD SEPC, REDD+ SES etc.
- Proposal formulation to receive fund from donor agencies and programme like UN-REDD for implementing readiness Roadmap
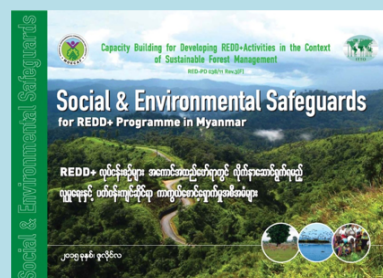- 1st Meeting of the TWG on Stakeholder Engagement & Safeguards last week

Foundations for SE in Myanmar

- National **Community Forestry** program are being implemented through participatory approaches
- Myanmar develops **a REDD+ Roadmap** in 2013
- A series of **National and Regional Consultation Workshops** were held since 2010
- Component 2 of Myanmar REDD+ Roadmap outline **guidance on stakeholder consultation and participation process**
- A **TWG** for Stakeholder Consultation and Safeguard has been formed.
- A National REDD+ **Stakeholder Network** has been developed to share information on REDD+
- **REDD+ Pilot program** is being implemented in Bago Region

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Development of Principles, Criteria and Indicators of Social and Environmental Standards for REDD+ Safeguards (Pilot Study)

- During 2014, Social and Environmental Standards which consist of principles, criteria and indicators for REDD+ Safeguards were discussed for pilot project area.
- 7 Principles, 27 Criteria and 49 indicators were developed.

Lesson Learnt

- Myanmar has not developed a REDD+ Safeguards Information System yet although there was project level safeguards guidelines.
- The followings are the obstacles to develop the SIS REDD+:
  - Limited awareness about SIS (Government staff, community, NGOs, CSO etc.)
  - Limited technical and financial supports to develop SIS
  - Limited knowledge/guidance about type of information needed for SIS
  - Limited consultation process and initiatives for developing safeguards policies, laws and regulations
  - Research needed for social and environmental objectives, assessing potential benefits and risks from REDD+

Information for REDD+ SIS

In order to develop country level REDD+ SIS, the specific guidance for the following information are needed:

Indicators: that can help determine, in this case, whether a particular policy, law or regulation is being effectively implemented. The indicators can also provide the parameters to determine what information needs to determine what information need to be collected.

Methodologies for collection of information: These outline the types of information to be collected for each indicator and how the information collection should be carried out (e.g. sample size, frequency etc.)

Framework for provision of information: This can define how information is stored and shared. Guidance to preparing a proper format for the reporting to UNFCCC as well as that of domestic-level dissemination of information.

Suggested key steps for development of a country safeguard system (Adopted from Myanmar REDD+ Roadmap, 2010)

- Determination of goals of safeguards
- Gap analysis of existing Policy, Law, Regulations (PLRs) & Procedures which can address the REDD+ environmental & social safeguards & formulation of new ones if necessary
- Establishment of grievance & redness mechanism
- Development of indicators to monitor the safeguard performance
- Development of methodology for monitoring & reporting on safeguards performance
- Identification/development of institutions for monitoring & reporting

Challenges

- Conflict area
- Diverse ethnic groups, culture and custom
- Poor socio-economic condition of forest-dependent communities
- Lack of alternative livelihood strategies
- Lack of benefit sharing system
- SE-related PLRs existed, but weakness in putting them into practice and enforcement
- Inadequate coordination among stakeholders

Opportunity

- Progress in peace-making (Draft NCA agreed)
- CFIs already existed & CFNWG formed
- Amendment of forest law underway
- Development of land use policy in progress
- Willingness of donor agencies
- Development of some PLRs related to SE safeguards is under way

Way Forward

- Strengthen multi-stakeholders network, including donors agencies
- Form safeguard TWG comprising representatives from various stakeholders (Govt., NGOs/CSOs, ethnic groups/LC and others relevant)
- Dissemination of REDD+ information through representatives to their constituencies in a culturally appropriate means
- Organize TWG meeting, National WS for reviewing existing PLRs and revise them,
- Develop SIS by defining indicators for monitoring safeguard performance for national level
- Monitoring and reporting on safeguards

Thank you very much!!!!!

Annex J. Country Led Approaches to REDD+ Safeguards: Bhutan

Country-led approaches to REDD+
Safeguards : BHUTAN
(*Preliminary thoughts*)

Demystifying REDD+ Safeguards
KOLKATA Workshop 02 Nov 2015

Kuzuzangpo

Bhutan: A REDD country by default

- Environmental leadership + Environmental stewardship
- Constitutional requirement to maintain at least 60% forest cover in perpetuity
- Declaration as a forever carbon neutral country at COP 15

Milestones – Bhutan REDD+

- 2010 – conceptualized
- 2012 – Strategy development initiated
- 2013 – R-PP replaced Strategy, inclusion into the 11th Five Year Plan
- 2014-18 – Bhutan's REDD Readiness Program

REDD+ Readiness Components

1. REDD+ Leadership Development
2. REDD+ Information Infrastructure
3. REDD+ Management

Supported by
- **FCPF**
- **UN REDD**
- **ICIMOD/GIZ**

Implementation arrangements

- Project Coordination Unit
- Policy Guidance by the National REDD+ task Force
- Technical guidance and lead by:
- Technical Working Group on NFMS and REL
- Technical Working Group on Strategy Options
- Technical Working Group on Safeguards and Governance
  - (in the process of identifying multi-stakeholder Safeguards Body, their role and capacities, and mainstreaming multiple benefits into REDD+)

Safeguards approach

- A national awareness workshop on Safeguards in 2012 – preliminary ideas
- National Workshop on Safeguards (October 2015)
- Stakeholder Engagement Guidelines & Corruption Risk Assessment completed (including Grievance Redress Mechanisms)

Grievance Redress Mechanisms

- Efficient existing country judicial system including local practices to resolve conflicts
- REDD+ implementation to include existing systems, where possible
- Alternately, the REDD+ Task Force syncing with traditional systems of law governance
- Maintain feedback registers

A roadmap for Safeguards and Multiple Benefits
(under process)

Country approach to safeguards

Goals

- UNFCCC Cancun Safeguards
- World Bank SESA and ESMF (mostly overlapping)
- Additional Safeguards relevant to Bhutan (potentially linking to GNH domains and the recent NBSAP

Scope

- (-) Drivers study yet to commence (Strategy options?)
- Initially all activities with more interests on (+) activities
- BUT beyond forestry (livestock, agriculture and other pressure activities – NBSAP inputs)

Benefits and Risks

- Preliminary scan of Benefits and Risks of PAMs
- BeRT Tool tested and being adopted
- Analyzing Risks and Benefits under Cancun Safeguards (Social and Environmental)
- BUT requires revisiting after Drivers study and Strategy Options
- Integration of SESA including institutional analysis

Country approach to safeguards

- Review of polices, laws and regulations for Safeguards in Bhutan complete (including gap analysis)
- Existing policies and legal frameworks 'addressing' & enabling Safeguards from Constitution to Local Govt. Acts
- The need to include additional PLRs
- Also to look at processes (NFE, SE Guidelines, existing grievance process etc.

Country approach to safeguards

3.1 Governance and Development ....
3.1.1 Constitution of the kingdom of Bhutan 2008 ....
3.1.2 The Local Governments' Act of Bhutan 2007 ....
3.1.3 Dzongkhag Yargay Tshogdu Chathrim 2002 ....
3.1.4 Economic Development Policy of the Kingdom of Bhutan 2010 ....
3.1.5 The Road Act of the Kingdom of Bhutan 2004 ....
3.1.6 Bhutan National Adaptation Program of Action (NAPA)-2006 ....
3.2 Forests, Biodiversity and Environment ....
3.2.1 National Forest Policy of Bhutan 2011 ....
3.2.2 Forest and Nature Conservation Act 1995 ....
3.2.3 Forest and Nature Conservation Rules 2006 ....
3.2.4 National Environmental Protection Act 2007 ....
3.2.5 Biodiversity Act of Bhutan 2003 ....
3.2.6 Waste Prevention and Management Act of Bhutan 2009 ....
3.2.7 Mines and Minerals Management Act of the Kingdom of Bhutan 1995 ......
3.2.8 Environmental Assessment Act 2000 ....
3.3 Agriculture and Nutrition ....
3.3.1 The Land Act of Bhutan 2007 ....
3.3.2 Food and Nutrition Security Policy of the Kingdom of Bhutan, 2012 .....
3.3.3 The Plant Quarantine Act of Bhutan 1993 ....
3.3.4 The Seeds Act of Bhutan 2000 ....
3.3.5 Cooperatives Act of Bhutan, 2009 ....
3.4. Water Resource ....
3.4.1 The Water Act of Bhutan 2011 ....
3.4.2 Bhutan Sustainable Hydropower Development Policy 2008 ....
3.4.3 Electricity Act of Bhutan 2001 ....

Slide 1 (top-left)

Table 1 : Policy/legislation Content Analysis Matrix for REDD+ Safeguards

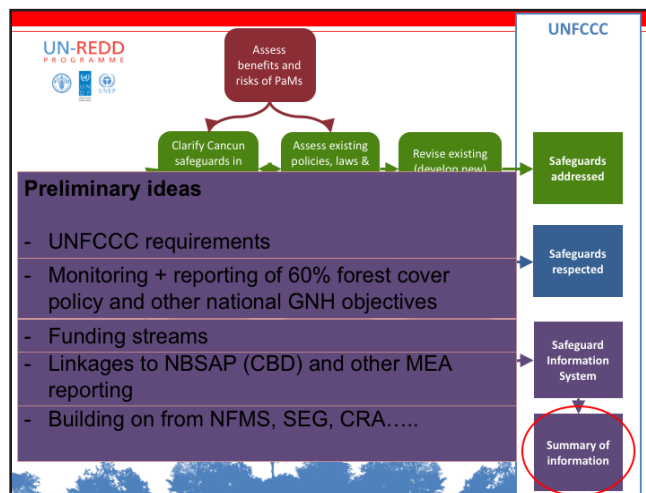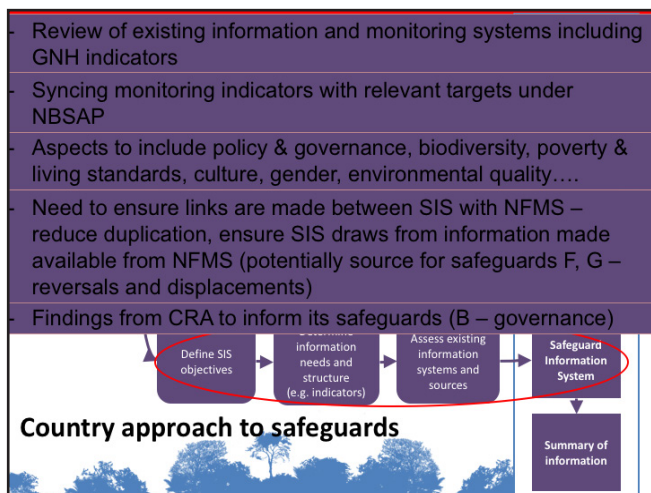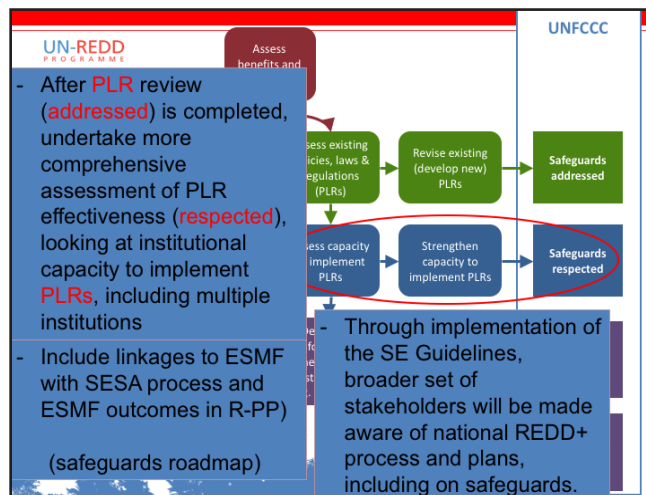| Name of PLR	Complementary clause to REDD+ safeguards	UNFCCC REDD+ Safeguards	Contradictory statements to REDD+ safeguard
Constitution of the Kingdom of Bhutan	✓ Article 5: Every Bhutanese as trustee of Kingdom's natural resources and environment, minimum 60% of the country to be maintained under forest cover (clause 3), any part of the country may be declared protected areas (clause 5).	Safeguard E	
	Article 7 on right to information	Safeguard b	
	✓ Article 8: fundamental duties of every citizens to preserve, protect and respect the environment.	Safeguard B	
	Article 22: empowers local government to facilitate the people participation in the management of their social, economic and environmental well-being.	Safeguard D	

Slide 2 (top-right)

- After **PLR** review (**addressed**) is completed, undertake more comprehensive assessment of PLR effectiveness (**respected**), looking at institutional capacity to implement **PLRs**, including multiple institutions
- Include linkages to ESMF with SESA process and ESMF outcomes in R-PP)

  (safeguards roadmap)

- Through implementation of the SE Guidelines, broader set of stakeholders will be made aware of national REDD+ process and plans, including on safeguards.

UN-REDD PROGRAMME

UNFCCC

Assess benefits and

Assess existing policies, laws & regulations (PLRs)

Revise existing (develop new) PLRs

Safeguards addressed

Assess capacity implement PLRs

Strengthen capacity to implement PLRs

Safeguards respected

Slide 3 (middle-left)

- Review of existing information and monitoring systems including GNH indicators
- Syncing monitoring indicators with relevant targets under NBSAP
- Aspects to include policy & governance, biodiversity, poverty & living standards, culture, gender, environmental quality….
- Need to ensure links are made between SIS with NFMS – reduce duplication, ensure SIS draws from information made available from NFMS (potentially source for safeguards F, G – reversals and displacements)
- Findings from CRA to inform its safeguards (B – governance)

Define SIS objectives

Determine information needs and structure (e.g. indicators)

Assess existing information systems and sources

Safeguard Information System

Summary of information

Country approach to safeguards

Slide 4 (middle-right)

UN-REDD PROGRAMME

UNFCCC

Assess benefits and risks of PaMs

Clarify Cancun safeguards in

Assess existing policies, laws &

Revise existing (develop new)

Safeguards addressed

Preliminary ideas

- UNFCCC requirements
- Monitoring + reporting of 60% forest cover policy and other national GNH objectives
- Funding streams
- Linkages to NBSAP (CBD) and other MEA reporting
- Building on from NFMS, SEG, CRA…..

Safeguards respected

Safeguard Information System

Summary of information

Slide 5 (bottom-left)

Questions, Feedbacks & Suggestions

ICIMOD Regional Learning Platform

Workshop on REDD+ Safeguards

Kolkata, 2nd – 6th November, 2015

UNIQUE
forestry and land use.

Learning Platforms – how?

The process of knowledge transfer:

- Defining the thematic focus: **Safeguards in REDD+**
- Measuring to ensure the transfer
- Applying the knowledge transferred
- Identifying the knowledge holders within the group (and beyond)
- Executing the transfer plan
- Monitoring and evaluation
- Motivating them to share
- Designing a sharing mechanism to facilitate the transfer

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Capacity WORKS

GIZ's model to manage cooperation systems

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Learning Platforms – Success Factors

1: 'Strategy' – which way do we want to go?

Some questions we'll have to answer:

- How does learning happen at the moment? Does it?
- What joint objective can we agree on? What technical aspects of the REDD+ process shall be included in the learning platform?
- What strategic options (ways to achieve our objective) are there?
- How do we select one? Which are the criteria for our choice?
- Are activities and outputs of all partners mutually harmonized?
- How will learning be integrated into the strategy?

Motto: We negotiate and agree on the strategic orientation of our platform

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Learning Platforms – Success Factors

2: 'Cooperation' – who should be a member of the learning platform?

Some questions we'll have to answer:

- Which actors are relevant?
- What mandates, roles and interests does each one of them have?
- Are there any diverging interests?
- Which other actors must be involved to achieve our objective?
- What formats of cooperation are appropriate?
- Would strategically important outside resources be helpful?
- What comparative advantages make our cooperation an attractive partner?

Motto: We connect ourselves / our organizations to facilitate change

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Learning Platforms – Success Factors

3: 'Steering structure' – who decides? and on what?

Some questions we'll have to answer:

- How do we decide, how do we steer the process?
- Do structures already exist or do we have to set them up?
- Are there any measurable variables to base the steering on? Any monitoring system that informs the steering process?
- What does the plan of operations for implementing our strategy look like?

Motto: We find the optimal structure

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Learning Platforms – Success Factors

4: 'Processes' – what are the standard operations of the platform?

Some questions we'll have to answer:
- What processes do we need to define for our cooperation:
  - Output processes (to reach the objective)?
  - Cooperation processes (to coordinate our efforts)?
  - Learning processes?
  - Support processes?
- How can the processes serve as innovative models for our own organizations and beyond?

Motto: We come to an agreement on the standard processes for our cooperation

---

Learning Platforms – Success Factors

5: 'Learning and innovation' – how does the platform get smarter and smarter over time?

Some questions we'll have to answer:
- What learning goals does the project have?
- What are the learning needs on the three levels of capacity development?
- What capacities do we have in our group for developing strategies, making cooperation effective, and managing processes?
- How will the learning be supported and mainstreamed within the project?
- How do we analyze and document existing knowledge and lessons learned to support the learning capacities within the group?

- **Motto: We put the focus on increasing our learning capacity**

Five ingredients of every successful project:
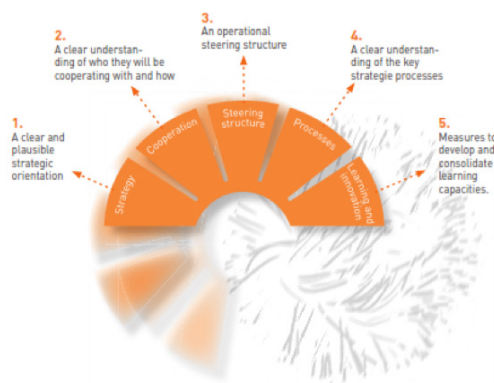
Instruments of Knowledge Exchange

There are many different ways to enhance regional cooperation through knowledge exchanges and learning…
- Practitioner/peer networks of communities of practice; a group of practitioners who work and learn together around a certain topic
  - Formal: development cooperation programs (e.g., UNDP, DFID)
  - Informal: blogs, Facebook, Wikis, other social media
- Field visits and study tours
- Summits and conferences
- Competitions and knowledge fairs
- Just-in-time knowledge exchanges
- Structured learning platforms – courses and workshops

Examples of Learning Platforms

World Bank learning tour
- Purpose is to learn from successful initiatives currently being carried out in the field
- It enables practitioners from participating countries to exchange best practices and lessons learned
- Allows for interaction with beneficiaries
- Emphasizes how critical coordination is among stakeholders (e.g., involvement of government stakeholders)
- Participants gain new perspectives and innovative ideas

Examples of Learning Platforms

ILO Social Protection Gateway
- An online collaborative platform for policy dialogue and knowledge-sharing amongst social protection practitioners
- Aims to expand the knowledge base and capacities of developing countries
- A space where practitioners can share ideas, experiences and resources
- The website is set up like a 'virtual bookcase' with a searchable database of social protection material
  - Tools
  - Case studies
  - Policy papers
  - Research

Examples of Learning Platforms

GIZ Adaptation Communities

- *AdaptationCommunity.net* addresses priorities and builds on practical experiences of adaptation decision-makers from many of the world's countries
- It systematically refers to other climate knowledge platforms to provide convenient guidance to users on the best available information
- AdaptationCommunity.net offers:
  – Knowledge: an inventory of methods for adaptation to climate change with examples of practical application in the form of method briefs and webinars
  – Community: a platform for exchange among practitioners such as decision-makers, planners and advisors on adaptation to climate change

Examples of Learning Platforms

Developing the ICIMOD Learning Platform

In the context of the ICIMOD regional learning platform, knowledge exchange can take the form of:

- Workshops
- Invitation to thematic conferences/symposiums
- One-on-one exchange of information (phone, Skype, email)
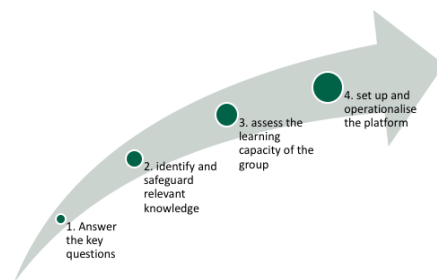- Shared websites to publish research findings, key documents, etc.

→ *Later on during the workshop we will discuss the development of a "Regional Expert Group on REDD+ Safeguards", including possible options for exchanging information*

Planning steps (days 2 and 3)

We'll go through planing process of defining the scope, the strengths and the procedural details of the learning platform in four steps:

1. Answer the key questions
2. identify and safeguard relevant knowledge
3. assess the learning capacity of the group
4. set up and operationalise the platform

Annex L. Applying the UNFCCC's REDD+ Safeguards Tools and Approaches

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Applying the UNFCCC's REDD+ Safeguards Tools and Approaches

Kolkata, India
2 November 2015

Agenda for the session

- Safeguards under UNFCCC
- Tools and approaches
- Examples of safeguard related activities
  – Forest governance
  – Indigenous peoples and local communities
  – Biological diversity

3

Key REDD+ requirements under United Nations Framework Convention on Climate Change (UNFCCC)

National Strategy/
Action Plan

Forest Reference
Emission Level /
Reference Level

Safeguards &
Safeguard
Information
System

National Forest
Monitoring
System

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4

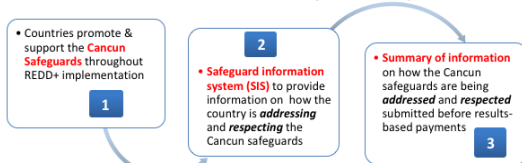## Norway's submission to SBSTA

Being able to provide information on how these safeguards are addressed and respected will increase the confidence of the international community in REDD+ and thereby help attract long-term investments and payments for performance. Providing information on safeguards could in addition have an intrinsic value for developing country Parties by informing national policy making and strengthening the credibility of REDD+ among domestic constituents.

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UNFCCC Safeguards Requirements

- Countries promote & support the **Cancun Safeguards** throughout REDD+ implementation

  1

2

- **Safeguard information system (SIS)** to provide information on how the country is **addressing** and **respecting** the Cancun safeguards

- **Summary of information** on how the Cancun safeguards are being **addressed** and **respected** submitted before results-based payments

  3

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6

What does "Address and Respect" Safeguards Mean?

"Address"

The governance arrangements - including policies, laws, regulations and the institutions, information systems, etc. – to deal with safeguards, are in place (**on paper**)

"Respect"

How these governance arrangements are being implemented and affect real and positive outcomes on the ground (**in practice**)

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7

How are Cancun Safeguards Applied?

Applied to What?	How?	When?
All REDD+ actions in the **National Strategy or Action Plan** as defined by the government	Through application of **policies, laws, regulations,** and **institutions** to implement/enforce them	Throughout **implementation of REDD+** actions

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8

Safeguard Information System (SIS)

Developing countries participating in REDD+ should set up systems for providing information on how the safeguards are being addressed and respected when implementing REDD+ activities

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Durban decision (COP17, 2011) Guidance on SIS

Agreement on guiding principles for safeguards information systems

Consistency	Be consistent with Cancun guidance
Accessibility & Periodic Reporting	Provide transparent and consistent information that is accessible by all relevant stakeholders and updated on a regular basis
Improvement over Time	Be transparent and flexible to allow for improvements over time
Comprehensiveness	Provide information on how all of Cancun safeguard elements are being addressed and respected
Country-Driven	Be country-driven and implemented at the national level
Utilizing Existing Systems	Build upon existing systems, as appropriate

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Safeguard Information System

Defining safeguard information objectives
– What are the different domestic and international information needs that the system will respond to?

Determining information needs and structure
– What information is needed to demonstrate risks are being mitigated and benefits are enhanced?
– How should this information be structured (e.g. narrative statements, indicators) to optimize accessibility and value of content?
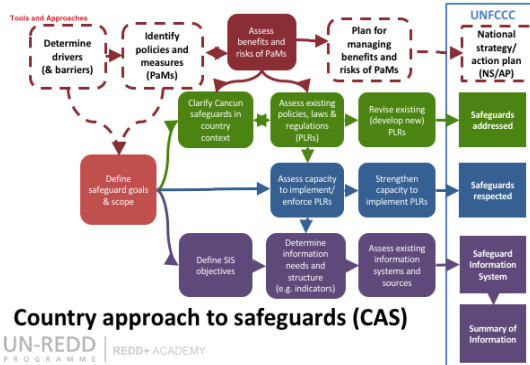
Assess existing information systems and sources
– What does a country already have in place, in terms of institutional arrangements, to meet information needs, and are there any gaps?

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11

Summary of Information

What?	Who provides?	To whom?	When?	Linked to?
How all of the Cancun safeguards are being **addressed** and **respected** throughout REDD+ implementation	National government	UNFCCC	National Communications to UNFCCC (every 4 years) and/or voluntarily, via UN___ web platform	Summary required for results-based payments

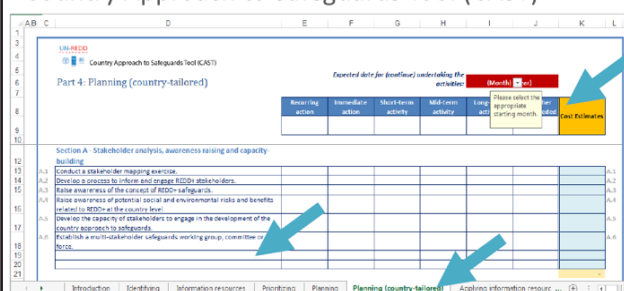SIS = national-level system!
Summary = product for
international audience!

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Decisions 12 and 9/CP.19 (Warsaw)

12

Country approach to safeguards (CAS)

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13

Country Approach to Safeguards Tool (CAST)

- CAST is an Excel-based, flexible and process-oriented tool, designed to support countries to:
  - Make an informed assessment of / plan for development and application of their country approach to safeguards;
  - Identify, prioritize and sequence these relevant REDD+ safeguards and SIS activities;
  - Identify available information resources; and
  - Clarify how the processes under various safeguards initiatives correspond.
- CAST can be used at any stage of safeguards planning

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http://www.un-redd.org/Multiple_Benefits/CAST/tabid/133448/Default.aspx

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Country Approach to Safeguards Tool (CAST)

Benefits and Risks Tool (BeRT)

BeRT is designed to support countries to:

- Identify benefits and risks associated with REDD+ actions, in the context of the Cancun safeguards;
- Determine how the country's existing policies, laws and regulations (PLRs) already address the risks or promote the benefits identified;
- Identify gaps in the PLR framework that may need to be addressed in order to address and respect the Cancun safeguards in REDD+ implementation;
- Utilize information on the benefits and risks of specific REDD+ actions/options to inform decisions on which actions to include in the REDD+ NS/AP; and
- Provide content for use in the summary of information on how countries are addressing and respecting the safeguards through existing PLRs.

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http://www.un-redd.org/multiple_benefits/sepc_bert/tabid/991/default.aspx

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Key points

- The UNFCCC requires each country to Developing countries seeking to implement national REDD+ strategies/action plans (NS/APs) under the UNFCCC should meet three fundamental safeguard-related requirements in order to be eligible for results-based payments:
  1) address and respect safeguards during REDD+ implementation;
  2) develop Safeguard Information System; and
  3) submit a Summary of Information
- There is no blueprint for a country approach; each will be different and will reflect the specificities of national contexts as well as what the country defines as the overall goals and scope of safeguards application

---

Cancun Safeguard and Forest Governance

*To provide information on **Cancun safeguard b)**, countries will need to collate knowledge on and track the status of their **"transparent and effective national forest governance structure"***

<u>One</u> way of obtaining reliable and legitimate data on the forest governance structures that can feed into a country's Safeguards Information System is the
PARTICIPATORY GOVERNANCE ASSESSMENT (PGA)

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WHAT is a Participatory Governance Assessment?

An inclusive process to produce robust and credible governance information to:

- **inform decision- and policy-making** (priorities, budget allocation, new policies and measures, revision of already existing policies and regulation, among others)
- **feed into Safeguards Information System**
- **concrete recommendations agreed by stakeholders on how to improve shortcomings**

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HOW to conduct a PGA?
4 key steps – which are **jointly** agreed by stakeholders:

Preparation	Designing and joint decision	Data collection, validation and analysis	Communication of findings & recommendations
• map stakeholders to be involved • map other governance initiatives to avoid overlap	• national and/ or local levels to be included • what governance issues are to be prioritized • agree on road map and the organizational structure to allow for stakeholders inputs throughout the process	• indicators and selection of data collection methods are agreed • raw data is validated • further analysis for the basis for recommendations	• dissemination of findings to all stakeholders • support government in making use of findings • follow up of recommendations

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Viet Nam
- key governance issues identified and agreed:

Governance issue # 1:
Level and quality of <u>participation</u> of local stakeholders in the decision-making and implementation processes related to forest contracts

- Legal basis for stakeholders' right to participate
- Capacity of stakeholders
- Effectiveness of the process

Governance issue # 2:
Level of clarity and respect related to stakeholders' <u>rights to access forest resources and benefit sharing</u>

- Legal basis for stakeholders' right to participate
- Capacity of stakeholders
- Effectiveness of the process

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Indonesia
- key governance issues identified and agreed:

Certainty of forest land/ land tenure

Equity over forest resources

Transparency and integrity of forest management

Law enforcement capacity

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HOW is the PGA data used?

Indonesia

- a management tool in supporting the government on budget allocations
- regulations have been revised to avoid loopholes
- informing civil society on which areas to emphasize and prioritize in their work and dialogue with government

Viet Nam

- informed Provincial REDD+ Action Plans (Lam Dong Province)
- will inform safeguard (b) on a transparent and effective forest governance mechanism in Vietnam's SIS

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Cancun Safeguard and Indigenous Peoples and Local Communities

Cancun safeguard c) Respect for the knowledge and rights of indigenous peoples & local communities;

Cancun safeguard d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities

Elements of above safeguards include:
- Participatory mechanisms or platforms
- Free, prior and informed consent (FPIC)
- Grievance mechanisms

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Engagement needs to move from consultation to full and effective participation

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FPIC guidelines in PNG

Supporting self-organization is critical for full and effective participation

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REDD+ Consultation Group and IP representation in Cambodia

Cancun Safeguard and Biological Diversity

Cancun safeguard e) actions are consistent with the conservation of natural forests and biological diversity…. and to enhance other social and environmental benefits

REDD+ actions can provide benefits for biodiversity conservation, if efforts to maintain natural forest are prioritized in areas of high biodiversity value and/or in their surroundings

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Biodiversity

Strengthening benefits from REDD+ for biodiversity, ecosystem services and livelihoods in Central Sulawesi, Indonesia

27

- Maps can support decision-making processes to select appropriate locations for REDD+ implementation by conveying spatial information
- A map with several data layers was developed to assess the importance of difference areas for biodiversity conservation;
  - Important Bird Areas
  - The conservation portfolio priority sites identified by The Nature Conservancy
  - Endangered forest types according to soil types and altitudinal zones
  - The nesting grounds of the endemic maleo bird
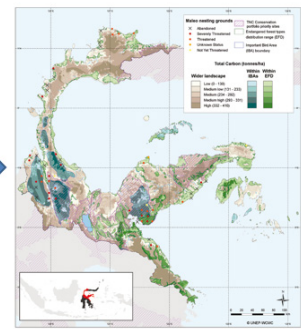
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Photo credit: SOS

Biodiversity

Important areas for biodiversity in relation to total carbon

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Map of biomass and soil carbon
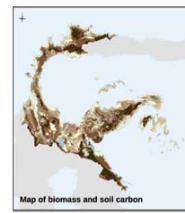
UN-REDD
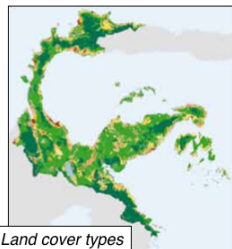P R O G R A M M E

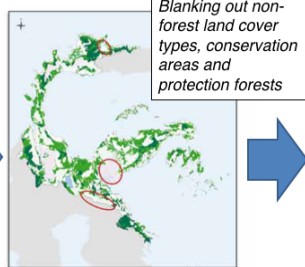**Mapping**

Example of process used identify potential areas for REDD+ actions to manage forests sustainably

29

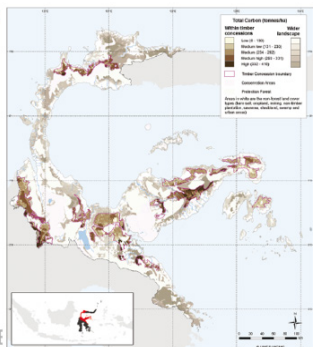*Blanking out non-forest land cover types, conservation areas and protection forests*

Land cover types

Mapping

30

Highlighting timber concessions

Map of biomass and soil carbon
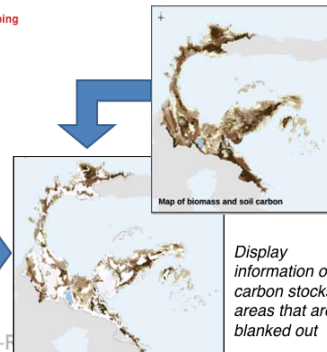
Display information on carbon stocks in areas that are not blanked out

UN-R
P R O G R A

Mapping

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This map shows total carbon stock in areas where timber extraction is currently permitted by law

Total Carbon (tonnes/ha)

Within timber concessions	Wider landscape
Low (0 - 130)	
Medium low (131 - 233)	
Medium (234 - 292)	
Medium high (293 - 331)	
High (332 - 410)	

Timber Concession boundary
Conservation Areas
Protection Forest

Areas in white are the non-forest land cover types (bare soil, cropland, mining, non-timber plantation, savanna, shrubland, swamp and urban areas)

UN-RE
P R O G R A

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Thank you!

Keiko.nomura@unep.org
www.un-redd.org
www.facebook.com/UNREDDprogramme