

UN-REDD Programme Social & Environmental Principles and Criteria, version 1

UN-REDD PROGRAMME SIXTH POLICY
BOARD MEETING

21-23 March 2011

Da Lat, Viet Nam



The Update on Social and Environmental Principles (UNREDD/PB5/2010/12) presented to the UN-REDD Programme Policy Board in November 2010 indicated that Environmental Principles would be integrated into the existing framework during December to January. This document presents version 1 of the combined Social and Environmental Principles and associated Criteria.

This set of Principles and Criteria was developed as the UN-REDD Programme's response to the safeguards for REDD+ agreed at UNFCCC COP 16 in Cancun¹.

Purpose:

The Principles and Criteria will:

- Provide the UN-REDD Programme with a framework to ensure that its activities promote social & environmental benefits and reduce risks from REDD+
- Assist reviewers of national programmes to evaluate their potential social and environmental impacts
- Support countries in operationalising the Cancun agreement's guidance and safeguards for REDD+
- Over the next twelve months, contribute to the UNFCCC-led process to develop guidance on systems to provide information on how safeguards are addressed and respected

Process:

These principles and criteria have been developed in collaboration between UNDP and UNEP, under the UN-REDD Programme. The social principles have undergone initial external review, and the full set is currently being circulated to selected experts. Wider review will be sought through presentation to the UN-REDD Policy Board in March 2011, and subsequently. **Policy Board members are invited to comment by 7 April 2011.** An interim report on the development of these Principles & Criteria will be submitted to Policy Board in October 2011, and the framework will be finalised subsequent to UNFCCC COP 17 (28 November – 9 December 2011) in Durban. The goal is to establish UN-REDD operational guidance for the application of the Principles for all future National Programmes.

In the interim period, the UN-REDD Programme will work with individual countries to test and refine the Principles and support their operationalisation of the Cancun guidance & safeguards. This will include further development of the [Risk Identification and Mitigation Tool](#) presented to PB5 in November 2010.

Principles and Criteria:

The draft Principles include two on social issues, one on social and environmental policy coherence, and three on environmental issues. These Principles and associated Criteria are shown in Table 1. In Annex 1, the Principles are related to the relevant LCA text.

The Social and Environmental Principles emerge from our understanding of the major potential opportunities and risks from REDD+, together with commitments that have been made in the context of MEAs, and other REDD+-relevant standards. The Cancun agreement helps us to understand the extent to which Parties to UNFCCC are committed to safeguarding and enhancing the multiple benefits of REDD+: they agree to 'promote and support' the safeguards listed and to provide information on how the safeguards are being 'addressed and respected' throughout the implementation of REDD+ activities.

¹ Cancun Agreement: Outcome of the work of the Ad Hoc Working Group on long-term Cooperative Action under the Convention, Annex I (http://unfccc.int/meetings/cop_16/items/5571.php)

Table 1: Proposed Social and Environmental Principles and Criteria (update to Exhibit 3 of UNREDD/PB5/2010/12)

Principle 1 – Democratic governance: The programme complies with standards of democratic governance	
<i>Criterion</i>	<i>Elaboration</i>
Criterion 1 – Ensure the integrity of fiduciary and fund management systems	The programme has assessed and addressed fiduciary and fund management risks
Criterion 2 – Implement activities in a transparent and accountable manner	Programme administration and REDD+ readiness activities are carried out in an accountable and transparent manner.
Criterion 3 – Ensure broad stakeholder participation	a) All relevant stakeholder groups are identified and enabled to participate in a meaningful and effective manner; b) Special attention is given to most vulnerable groups and the free, prior and informed consent of indigenous peoples.
Principle 2 – Stakeholder livelihoods: The programme carefully assesses potential adverse impacts on stakeholders' long-term livelihoods and mitigates effects where appropriate.	
<i>Criterion</i>	<i>Elaboration</i>
Criterion 4 – Promote gender equality	Programme planning and REDD+ readiness activities are carried out with attention to different gender roles and women's empowerment.
Criterion 5 – Avoid involuntary resettlement	The programme is not involved and not complicit in involuntary resettlement.
Criterion 6 – Respect traditional knowledge	The programme is not involved and not complicit in alteration, damage or removal of any critical cultural heritage or the erosion of traditional knowledge.
Criterion 7 – Develop equitable benefit distribution systems	Benefits (including revenues) are shared equitably.
Principle 3 – Policy coherence: The programme contributes to a low-carbon, climate-resilient and environmentally sound development policy, consistent with commitments under international conventions and agreements.	
<i>Criterion</i>	<i>Elaboration</i>
Criterion 8 – Ensure consistency with climate policy objectives	The programme is compatible with overall national mitigation and adaptation strategies (e.g. concerning land requirements). The programme is designed to be climate resilient according to current knowledge.

Criterion 9 – Address the risk of reversals: plan for long-term effectiveness of REDD+	The programme includes actions to reduce potential future risks to forest carbon stocks and other benefits, for example by addressing climate change resilience, institutional stability and/or the sustainability and long-term effectiveness of incentives.
Criterion 10 – Ensure consistency with development policy objectives	The programme is designed to be compatible with and contribute to poverty reduction strategies and other existing sustainable development goals at all levels of government. Social and economic implications of REDD+ programme are carefully assessed and adverse impacts mitigated where appropriate.
Criterion 11 – Ensure consistency with biodiversity conservation, other environmental and natural resource management policy objectives	The programme is designed to be compatible with and contribute to environmental strategies and goals such as national and subnational forest programmes, plans to implement the Convention on Biological Diversity, UN Convention to Combat Desertification and other relevant MEAs. Inconsistencies in the policy framework governing use of natural resources are addressed where possible.
Principle 4 – Protect and conserve natural forest: The programme protects natural forest from degradation or conversion to other land uses, including plantation forest	
<i>Criterion</i>	<i>Elaboration</i>
Criterion 12 – Ensure that REDD+ activities do not cause the conversion of natural forest, and do address the other causes of conversion	REDD+ activities do not convert natural forest to other land uses such as plantation forest. The programme prioritises REDD+ interventions that reduce conversion of natural forest. .
Criterion 13 – Minimise degradation of natural forest in order to maintain biodiversity and other key values	REDD+ activities, including work with other sectors, are designed to maintain (protect from degradation) biodiversity and other key values in natural forest

Principle 5 – Maintain and enhance multiple functions of forest: The programme increases benefits delivered through ecosystem services and biodiversity conservation	
<i>Criterion</i>	<i>Elaboration</i>
Criterion 14 – Set goals and plan for maintenance and enhancement of ecosystem services and biodiversity in new and existing forest	<p>The programme sets goals for delivery of ecosystem-based multiple benefits, and land use planning explicitly takes account of these. The implementation of REDD+ is informed by analysis of the potential for multiple benefits and trade-offs between different benefits (e.g. through spatial analysis)</p> <p>Management plans and activities aim to ensure that forests deliver multiple benefits that are valued locally (for example, by enabling community forest management), and to collectively meet programme goals. For example, consider impacts of species choice in new planting.</p>
Criterion 15 - Use monitoring and adaptive management to support maintenance and enhancement of biodiversity and ecosystem services	Progress towards goals and management objectives is monitored, and activities reviewed and adjusted where necessary if outcomes are negative
Principle 6 – Minimise indirect adverse impacts on ecosystem services and biodiversity	
<i>Criterion</i>	<i>Elaboration</i>
Criterion 16 – Minimise indirect land-use change impacts on carbon stocks	Action taken to reduce harmful effects on carbon stocks of forest and non-forest ecosystems resulting from displacement of land-use change
Criterion 17 – Minimise indirect land-use change in natural ecosystems and its impacts on biodiversity	Action taken to reduce displacement of land-use change into natural ecosystems (forest and non-forest) that are not targeted by REDD+ policies and measures
Criterion 18 – Minimise other indirect impacts on biodiversity	The programme assesses and mitigates other indirect impacts on biodiversity, for example as a result of intensification of agriculture or forestry

Annex 1: Relationship of Proposed Principles with UNFCCC LCA Decision (update to Exhibit 2 of UNREDD/PB5/2010/12)

Principle	Relevant section of Cancun Agreement , Annex I
Principle 1 – Democratic governance: The programme complies with standards of democratic governance	<p>2(b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty</p> <p>2(d) The full and effective participation of relevant stakeholders, in particular, indigenous peoples and local communities (...)</p>
Principle 2 – Stakeholder livelihoods: The programme carefully assesses potential adverse impacts on stakeholders long-term livelihoods and mitigates effects where appropriate	2(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 General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples
Principle 3 – Policy coherence: The programme contributes to a low-carbon, climate-resilient and environmentally sound development policy, consistent with commitments under international conventions and agreements	<p>2(a) Actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements</p> <p>2(f) Actions to address the risk of reversals</p>
Principle 4 – Protect and conserve natural forests: The programme protects natural forests from degradation or conversion to other land uses, including plantation forests	2(e) Actions are consistent with the conservation of natural forests and biological diversity, ensuring that actions (...) 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 (...)
Principle 5 – Maintain and enhance multiple functions of forest: The programme increases benefits delivered through ecosystem services and biodiversity conservation	<p>2(e) Actions (...) incentivize the protection and conservation of natural forests and their ecosystem services (...)</p> <p>2(e) Actions are (...) used to (...) enhance other social and environmental benefits</p>
Principle 6 – Minimise indirect adverse impacts on ecosystem services and biodiversity	<p>2(e) Actions that are consistent with the conservation of... biological diversity...</p> <p>2(g) Actions to reduce displacement of emissions</p>