



MULTI-STAKEHOLDER SAFEGUARDS CONSULTATION WORKSHOP

31 March – 1 April 2012, Bohol, Philippines

End of Activity Report

PROJECT

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I. EXECUTIVE SUMMARY

This report provides a summary of the proceedings, results, and proposed next steps for the recently concluded Multi-stakeholder Safeguards Consultation Workshop held 31 March to 1 April 2012 at the Bohol Bee Farm in Panglao, Bohol in the Philippines. This activity was conducted by the Ateneo School of Government (ASoG) in partnership with HELVETAS Swiss Intercooperation (HSI).

The general objectives of the workshop were:

- Sharing on-the-ground experiences and lessons learned in governance and biodiversity safeguards implementation in REDD-Plus;
- Facilitating a discussion on the future of REDD-Plus safeguards under the UNFCCC and CBD processes; and
- Generating recommendations for ways forward.

The two-day activity was attended by a total of thirty (30) participants, who are practitioners and experts in the implementation of governance and biodiversity safeguards, from four (4) continents representing various civil society organizations (CSOs), academic institutions, and the public and private sector.

Key findings of the workshop are the following:

- Governance and biodiversity safeguards implementation should be directed towards poverty reduction and ensure community empowerment towards full and effective participation of indigenous peoples (IPs) and local communities;
- A multi-sectoral and multi-level approach to monitoring and assessing safeguards implementation, coordination, and harmonization of national and multilateral reporting systems should be adopted, and effective community participation in the safeguards system and its monitoring should be ensured;
- A national-level framework for social and environmental (SE) safeguards should be developed that must include equitable benefit-sharing mechanisms and the promotion of positive incentives to reward exemplary implementation of SE safeguards; and



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REDD-Plus can assist the Convention on Biological Diversity (CBD) to meet its targets, and cooperation on implementation of safeguards can further strengthen the interface between the United Nations Framework Convention on Climate Change (UNFCCC) and the CBD and realize synergies between the conventions.

The results and findings of the workshop will be used as key input in the development of a future collaborative project between ASoG and HSI on capacity development intervention in the areas of biodiversity and governance safeguards implementation and monitoring.

II. BACKGROUND

Phase 1 of the Swiss-Philippine Initiative has shown that governance and biodiversity safeguards are important elements that need further consideration to be able to set up a functioning governance framework for REDD-Plus financing. Among the results of Phase 1 on the proposed governance structure for REDD-Plus financing is the key message that REDD-Plus payments should cover implementation and monitoring of environmental, social, and governance safeguards. This means that funding for addressing safeguards has to happen prior to and separately from when countries receive market-based finance for emissions reductions.

Currently, the policy level guidance regarding how safeguards are to be addressed is rather general and relatively ambitious. However, there are existing field-level examples of how it is possible, and this specific, practical experience must be brought into the CBD and UNFCCC conventions. Thus, with the remaining funds from Phase 1, the Initiative targeted governance and biodiversity safeguards as key elements of a functioning governance framework for REDD-Plus financing. The follow-up activity to Phase 1, a Multi-Stakeholder Safeguards Consultation Workshop, has laid the preliminary groundwork for more focused work on safeguards in a potential Phase 2 of the Swiss-Philippine Initiative.

The following were the objectives of the activity:

- Bring together experts and practitioners with on-the-ground



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experience in governance and biodiversity and related practice areas;

- Identify existing knowledge, initiatives and capacities among stakeholders, the potential for partnerships, and the gaps to be filled; and
- Strengthen existing networks – such as the Association of Southeast Asian Nations (ASEAN) for Asia, African Forest Forum (AFF) for Africa, and Coordination of Indigenous Organizations of the Amazon Basin (COICA) for Latin America – and give institutional backing to safeguards champions.

Participants comprised an international group of experts and practitioners, from the public and private sectors, CSOs, and IPs with on-the-ground experience in addressing, implementing, or monitoring governance and biodiversity safeguards and related areas such as financing, conflict resolution, and benefit-sharing mechanisms.

It is to be noted that ASoG is currently implementing a complementary project in partnership with the Ford Foundation that aims to lay the groundwork for a robust REDD+ safeguards information system (SIS) through a capacity building program for southern CSOs and negotiators. ASoG's work under the grant includes the development of a north-south group of core "safeguards champions" (an SIS working group or SWG) engaging in international level advocacy starting in 2012, and the preparation for training on the SIS at the national level in succeeding years. Specific goals of the SWG are to:

- Achieve practical and comprehensive guidance on the SIS from the UNFCCC that serves national and international stakeholders, ensures safeguards are addressed and respected, and is linked to finance;
- Improve cooperation between northern and southern CSOs and engage southern CSOs consistently in the international process to strengthen it and link national and international level advocacy; and
- Lay the foundation for building a multi-stakeholder community of practice and learning to support the development and implementation of an effective SIS.



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The goals of the SWG and a possible second Phase of the Swiss-Philippine initiative are similar and highly complementary. Both contain stocktaking, advocacy, and capacity building components centered on the development of safeguards implementation and monitoring.

The first activity of the SWG for the year was a strategic planning meeting held last March 29 to 30, 2012 in Bohol, Philippines. The purpose of the meeting was to (1) gain a common understanding of the safeguards and SIS among northern and southern CSOs who are part of the working group; (2) develop a strategy and plan advocacy actions to influence the development of UNFCCC guidance on the SIS this year; and (3) identify potential SIS champions among negotiators.

The conduct of back-to-back exchanges between the SWG and the Multi-Stakeholder Consultation Workshop was a prime opportunity to maximize the presence of northern and southern CSOs in one location, and to facilitate the linking of information and strategies between the two initiatives in a timely manner to prepare for the May climate meeting in Bonn. Participation and input of SWG CSOs to the Swiss-Philippine safeguards consultation workshop contributed to the emphasis of Phase 2 on a grounded bottom-up approach in identifying important elements for the governance and biodiversity discussion.

III. SUMMARY OF PRESENTATIONS

Day 1: 31 March 2012, Saturday

Dr. Antonio G.M. La Vina, Dean of ASoG, gave opening remarks for the safeguards workshop. He welcomed the participants to Bohol and expressed his hopes that the activity will be productive and will enrich the knowledge and insight of everyone involved.

Mr. Lawrence Ang, REDD-Plus Knowledge Leader for ASoG, was the moderator for the activity. He explained the rationale for the workshop as well as its objectives. Mr. Ang also discussed what the participants could expect from the workshop and the schedule for the two-day activity (see Annex A for the programme of activities).



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Mr. Ang also gave a presentation on the results of Phase 1 of the Swiss-Philippine Initiative, “Towards Building a Governance Framework REDD-Plus Financing,” which states that the current available financing for REDD-Plus activities is insufficient and highlights the key role that private investment will play in financing REDD-Plus implementation and the role of safeguards (see Annex B for a copy of the presentation).

Atty. Alaya de Leon, Senior Legal Specialist of the ASoG Environment Cluster and Deputy Project Director of the SIS Working Group (SWG) initiative, updated the participants on the results of the SWG’s recently concluded Strategic Planning Meeting and informed the participants of the working group’s goals (see Annex B for copy of presentation).

Dr. Rosalind Reeve, REDD-Plus Senior Consultant for ASoG, briefed the participants on the current status of the UNFCCC and CBD negotiations at the international level, and how the current circumstances relate to the work being done on governance and biodiversity safeguards (see Annex B for copy of presentation).

A number of participants were requested beforehand to give short presentations on their respective organizations’ experiences with biodiversity and governance safeguards to facilitate the knowledge-sharing between the different organizations. Dr. Hwan Ok Ma from the International Tropical Timber Organization (ITTO), Dr. Emelyne Cheney of the Food and Agriculture Organization (FAO), Ms. Lucy Goodman of the United Nations Environmental Program – World Conservation Monitoring Centre (UNEP – WCMC), Dr. Yonas Yemshaw Ketema from the African Forest Forum (AFF), Mr. Anthony Foronda from the ASEAN Centre for Biodiversity (ACB), Dr. Tek Maraseni from the University of Southern Queensland (USQ), Dr. Bharat Pokharel from the Nepal-Swiss Community Project of HSI, and Ms. Marlea Munez from CoDE-REDD (a Philippine NGO network concerned with REDD-Plus) all gave brief presentations outlining the work that their organizations are doing with regards to governance and biodiversity safeguards development, implementation, and/or monitoring (see Annex B for copies of presentations).



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Day 2: 1 April 2012, Sunday

Mr. Lawrence Ang, acting as workshop moderator, gave a brief recapitulation of the topics discussed during Day 1 and provided the participants with an outline of the activities scheduled for Day 2. Mr. Ang then proceeded to discuss the workshop mechanics and suggested approach for group work (see Annex A for workshop mechanics), and also facilitated the grouping of participants according to the governance and biodiversity safeguard-related topic they found most relevant and interesting. The workshop and presentation of outputs (see Part IV) took up the rest of the morning and the afternoon session.

After the presentation of workshop outputs, Mr. Patrick Sieber from HSI provided a brief synthesis of the topics and issues discussed during the workshop (See Annex B for a copy of the presentation). This marked the formal conclusion of the safeguards consultation workshop.

IV. WORKSHOP RESULTS

Below is a summary of the workshop outputs of the Multi-stakeholder Safeguards Consultation Workshop.

Group 1

Moderated by: Yonas Yemshaw

Participants discussed their organizations' experiences in the implementation of biodiversity and governance safeguards, the opportunities and threats that safeguards implementation presents, and the role that safeguards play in the REDD-Plus implementation process.

Key topics discussed were the following:

- Lessons from past experiences are vital;
- Donors mostly require highly “technical” outputs that communities seldom appreciate;
- REDD-Plus is forcing governments to rethink and include local governments in the process;



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- The need for political will to strengthen tenure security (carbon, land, forest, ecosystem services);
- Safeguards need to be country-driven and communication issues within different countries should be addressed;
- Promote communication tools that are relevant, simple, culturally appropriate, consistent, and transparent;
- There should be national/community ownership of safeguards and safeguards implementation which should not be donor-driven;
- There should be policy reforms (that are consistent with international standards) to come up with stronger legislation;
- Avoid indirect land use change; do not pressure low carbon systems;
- Reduce drivers of deforestation through good governance, large-scale land based investments, and addressing land-grabbing; and
- Avoid conflict within the country (national vs. local government; government vs. community).

Recommendations:

- Governance and biodiversity safeguards implementation should be directed towards poverty reduction and should ensure community empowerment towards full and effective participation of Indigenous Peoples (IPs) and local communities.

Group 2

Moderated by: Emelyne Cheney

Participants discussed their experiences with monitoring, reporting, and assessing safeguard implementation; the requirements for proper functioning of monitoring, reporting, and assessment; how these are related to Measurement, Reporting, and Verification (MRV) of carbon; the difficulties expected or that have been experienced to date; and ways to ensure cost effectiveness.

Key topics discussed were the following:

- Difficulty in dealing with multiple sectors and different levels of government relevant to REDD-Plus Monitoring and Assessment (M&A);
- High cost of M&A;
- The need to conduct an initial assessment and time limits;



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- Limited coordination of reporting to multilateral REDD-Plus processes (international and national level);
- Numerous overlapping safeguard tools;
- Lack of coordination of national institutions in the collection of REDD-Plus relevant data;
- Lack of coordination between levels of governance (lack of a national registry);
- Limited capacity to develop and implement safeguard system (national level);
- The need for community participation in safeguards implementation and the cost effectiveness of participatory community monitoring;
- Contradictory and overlapping national laws; and
- Problems of systemic fraud.

Recommendations:

- Allow adequate time and resources for M&A;
- Adopt a multi-sectoral and multi-level approach to M&A;
- Set up an inter-agency coordination platform;
- Harmonize reporting to UNFCCC and CBD on biodiversity safeguards;
- Develop a common REDD-Plus template/format for coordinated reporting on safeguards for multilateral processes;
- Create a national database (i.e. biodiversity, etc.);
- Ensure effective community participation in safeguards system (i.e. community-based monitoring underpins information system, etc.)
- Develop national and international grievance mechanism to assist in M&A; and
- Conduct a multi-stakeholder review of M&A reports.

Group 3

Moderated by: Marlea Muñoz

Participants discussed who is paying what, when, how, and for what; what are the incentives for paying; are there indications about what that means in financial terms; which are the fields and/or countries in which there is some experience; and where would additional piloting be required.



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Key topics discussed were the following:

- The nature of safeguards implementation (voluntary, market-driven or legally binding);
- The nature of the funds set aside for safeguards (set aside, mainstreamed, additional);
- The scope of safeguards (biodiversity, governance, social);
- Key issues in safeguards finance (tenure, livelihood, and governance);
- Best examples in financing safeguards; and
- Gaps and challenges in financing safeguards.

Recommendations:

- Development of equitable and transparent benefit-sharing mechanisms and guidelines (national);
- Infusion of funds to Free, Prior and Informed Consent (FPIC) activities and into safeguards;
- Promote positive incentives (premium) to reward good implementation of social and environmental (SE) safeguards;
- Promote public-private partnerships (PPPs) on safeguards implementation;
- Mapping of available financial resources that can be potentially used to operationalize social and environmental safeguards, and promote the benefits that safeguards provide to the different stakeholders to make it more attractive to investors; and
- Assessment of current REDD-Plus readiness activities for presence of safeguards and determine how these are being funded.

V. SYNTHESIS

The presentation of each group showcased the rich on-the-ground experience in developing, implementing, monitoring, and assessing safeguards at the international, regional, national, project, and community levels. However, experience in financing safeguards is only just beginning to emerge.

There is now an urgent need to crystallize the experiences into concrete



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lessons/guidelines for the UNFCCC and UNCBD, and beyond. There is general consensus that in safeguards implementation, monitoring, assessment, and financing, the following are key considerations:

- Securing forest tenure;
- Coordination and institutionalization at the international (e.g. UN), national, and community levels (especially on monitoring and reporting); and
- Defining “performance” in performance-based payments (including safeguards as part of the whole REDD-Plus package).

VI. NEXT STEPS

Building from the key insights gleaned and to further sustain the linkages developed during the consultation workshop, the following are proposed next steps:

- Build a Safeguards Community of Practitioners who will work towards further improving and enhancing governance and biodiversity safeguards, and to establish their importance in making REDD-Plus work through on-the-ground demonstrations/experiences.
- Assist in the establishment of an interface between the UNFCCC and the CBD, and develop links towards enhancing biodiversity safeguards and complementing efforts to achieve the Aichi targets.