

# UN-REDD PROGRAMME



## UN-REDD framework for supporting the development of country approaches to safeguards

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# UN-REDD framework for supporting the development of country approaches to safeguards

*Conceptual framework developed by the UN-REDD Programme's Interagency Safeguards Group*

## 1 Objective

This document provides a description of UN-REDD's conceptual framework for supporting countries on building country approaches to safeguards. It is intended as a framework upon which to:

- Improve the quality of UN-REDD support for REDD+ implementation in countries (e.g. in National Programmes or Targeted Support)
- Guide the development of UN-REDD Programme knowledge products related to safeguards to ensure these are consistent
- Enhance interagency coordination

## 2 Conceptual Framework for support on country approaches to safeguards

The framework proposed by UN-REDD builds on what is in UNFCCC decisions and is intended to provide help to countries in determining how to respond to these agreements. The framework first helps to define what a country approach to REDD+ safeguards might look like (i.e. the main components) which, in the UN-REDD Programme view, can be helpful for countries to better understand the outcomes they might be aiming for. The second part of the framework helps to define the main considerations and steps in developing a country approach to safeguards. At the end, we also indicate the components and steps where particular UN-REDD tools may be considered most relevant and map to the framework.

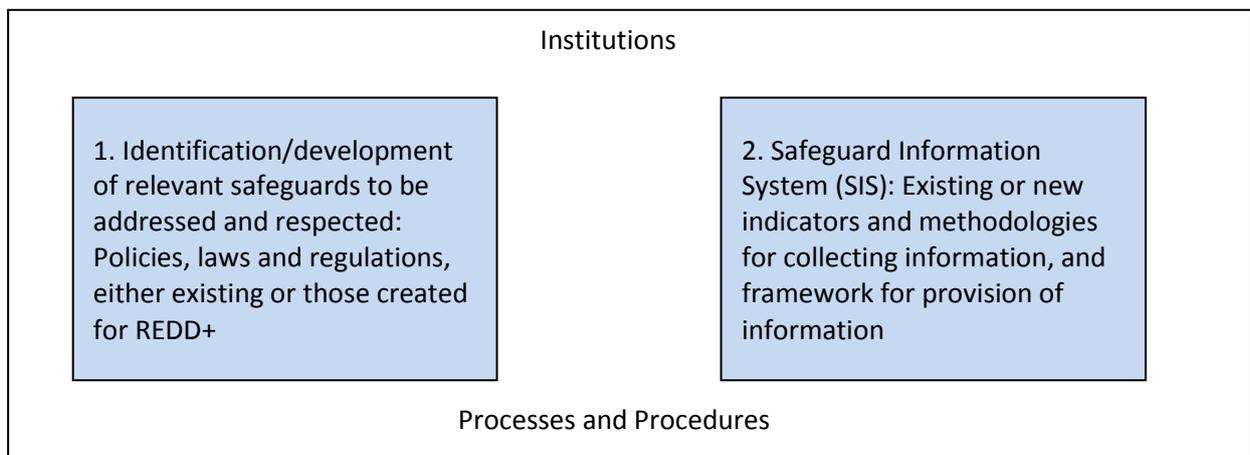
### 2.1 Components of a country approach to safeguards

This section describes the main components of a country approach to safeguards. This is primarily based on the UNFCCC requirements for the 'functions' that a country's approach needs to fulfil. Though listed as discrete components, we see these as closely inter-linked.

A country approach to safeguards can be thought of as having two core components that ensure social and environmental risks from REDD+ are reduced and that benefits are enhanced:

1. Addressing and respecting safeguards through the implementation of relevant policies, laws and regulations (PLRs): These PLRs establish the ‘content’ of the safeguards – in other words, what needs to be adhered to in the implementation of REDD+ activities.
2. Safeguard Information System (SIS): A safeguard information system (SIS) is defined here as the collection and provision of information on how REDD+ safeguards are being addressed and respected throughout implementation of REDD+ activities.

Along with these two core components - and supporting them - are the various formal and informal institutions and processes and procedures needed in order to design and implement effective approaches to safeguards. Institutions, for example, will play a role in ensuring the fair and effective design of the REDD+ safeguards approach, the implementation of PLRs, and the operation of the SIS. Processes and procedures include aspects that may not be captured in formal PLRs, such as consultation processes, strategic assessments and information dissemination and communication. This also will include, for example, data collection and analysis that may be needed to address and respect the safeguards (e.g., defining and mapping the natural forests). Another example of a process that may be a potentially integral component of national approaches to safeguards is a national-level grievance mechanism.



## 2.2 Developing country approaches to safeguards

There are generic steps that can be undertaken in order to develop country approaches to safeguards, focusing on the two key components described above. There is no fixed, linear approach to developing a safeguards approach, which will depend significantly on what is already in place in the country, as well as what governments define as the overall goals of the system. However, drawing on insights from countries and the steps defined in existing safeguards schemes, some generic steps can be identified which may be useful for countries planning such an approach.

A participatory process will be essential in developing accountable, transparent and effective safeguards approaches. The UN-REDD/FCPF Stakeholder Engagement Guidelines are a useful guide for ensuring participation.

### **2.2.1 *Defining the goals of the safeguards approach***

A first and crucial step in developing a REDD+ safeguards approach is to clearly define what the approach is supposed to do, i.e. 'why' is it being established? This will require:

- Interpreting what is contained in the UNFCCC decisions from the country perspective
- Consideration of the specific social and environmental risks as well as benefits that might be associated with REDD+ in the country.

All countries are likely to be interested in developing a system that enables them, in priority, to respond to the UNFCCC decisions. However, it will be important for countries to carefully consider whether in addition to ensuring that the approach responds to the Cancun safeguards, it needs to be designed to respond to other objectives. For example, the types of social and environmental information collected will likely be useful to the country for its own domestic policy-making processes. In addition, donor or investor policies may contain additional requirements.

The UN-REDD Social and Environmental Principles and Criteria (SEPC) can help to add detail to the broad principles set out in the Cancun Agreements, so they could be used by countries as a guide during discussions about the goals of national approaches to safeguards.

### **2.2.2 *Developing Policies, Laws and Regulations Relevant to REDD+ Safeguards***

#### *Gap analysis of existing country policies, laws and regulations*

Having identified what the nationally relevant REDD+ goals are, countries can then review existing environmental and social policies, laws and regulations (PLR), and identify those that address risks and enhance benefits from REDD+. For example, some countries may already have laws which protect land tenure of vulnerable peoples, or natural forest from conversion to plantations. In such cases, countries may opt to build upon existing PLRs, as is the case with Vietnam. Even if there are existing PLRs, there may be gaps which need to be identified, addressed and filled. For example, existing forest codes, in most cases, will not have provisions for carbon rights.

Existing tools can be useful in assessing gaps. The UN-REDD Benefits and Risks Tool (BeRT) sets out key questions for assessing gaps across a broad range of areas; other UN-REDD tools provide more detailed assessment frameworks on specific issues, such as the Participatory Governance Assessments (PGAs) on governance issues and the "Guidance on Conducting REDD+ Corruption Risk Assessment".

### *Creation of new PLRs and procedures*

The gap analysis may indicate that existing PLRs do not cover all of the safeguards that have been established as goals for the country. Therefore new PLRs may need to be created in order to ensure that the goals are met. It may be the case that a legal framework is not necessary and some or all of the safeguards may be addressed through other means, such as national-level guidelines, but this will be dependent on the particular national context.

### *Defining REDD+ safeguard policies*

The outcome of this process could be captured in a safeguard policy framework, which outlines the set of country REDD+ safeguards PLRs that has been developed or defined and how these provide the foundation for the country's response to UNFCCC and potentially additional objectives. Such a framework is not a requirement, but it could provide clarity for those involved in REDD+ activities, and particularly those providing funding.

### **2.2.3 Developing a safeguard information system (SIS)**

Decision 12/CP.17 of the UNFCCC Durban Outcome states that a SIS should provide information on how all Cancun safeguards are addressed and respected. SIS should be country-driven, implemented at a national level, and built on existing systems, as appropriate. It was also agreed that the provision of summary information on how safeguards are being addressed and respected would take place periodically in National Communications to the UNFCCC. Countries further agreed that as SIS are developed, relevant international obligations and agreements should be recognized and gender considerations respected.

### *Gap analysis of existing country SIS*

A crucial first step for developing the SIS will likely involve conducting a national assessment of existing information sources and systems that are relevant to the safeguards. Key things to look at might include existing:

- Information sources and systems related to each of the social and environmental safeguards
- Social and environmental indicators, and data sources
- Data collection and measurement approaches
- Other systems for providing information, such as those used under other international conventions

The analysis will also need to look at the quality of these sources and systems. The objective of the gap analysis is to try to determine whether existing systems are able to adequately provide information in

order to achieve the safeguard goals that have been established. Based on this, an assessment can be made regarding what types of new information sources and systems need to be developed.

#### *Development of indicators*

Some form of indicators will need to be developed to demonstrate the implementation of national safeguards-relevant PLRs. If relevant indicators already exist, it may just be a case of defining these within the REDD+ strategy. Otherwise, new indicators will need to be developed and should be developed through a participatory approach.

The UN-REDD PGAs provide an example of a robust approach that can help countries to develop governance indicators relevant for REDD+ activities.

#### *Development of data collection methodologies*

Information/data collection methodologies and approaches should define:

- Data to be collected (e.g. income data)
- Methodologies to be used (e.g. household surveys; participatory approaches, such as participatory biodiversity monitoring)
- Who is to collect the data
- Frequency of data collection
- The scale at which data is collected (e.g. at the country, local or project level)

The approaches and methodologies applied for collection of information should aim to ensure completeness and consistency of the information over time and space.

UN-REDD has a number of tools that can support the development of data collection and measurement for REDD+ safeguards. For example, it has developed draft guidelines as well as a draft annotated guide to “useful resources for monitoring the impacts of REDD+ on biodiversity and ecosystem services”.

#### *Development of approaches for providing information*

Approaches for provision of information should define the forms of the information and the channels through which it should be shared both internationally and at the national level. Summary information will need to be provided to the UNFCCC, but is also likely to be used at the country level and disseminated among key stakeholders. Domestic level dissemination of information may need to be in alternative formats (e.g., posters in local languages instead of web-based information), depending on national circumstances. Again, approaches for providing information through different channels and for different purposes, may already exist. These will need to be evaluated in relation to

whether they adequately meet the country-defined goals of the safeguards approach. If they are not adequate, then new approaches may need to be developed.

### 3 How UN-REDD tools support the development of country safeguard approaches

As indicated by the examples in section 2, a number of existing UN-REDD tools help to support countries in developing approaches to safeguards. Each of these contributes to different aspects of national approaches to safeguards. The table below “maps” the main tools to the steps described above.

Although these tools do not comprehensively cover every step and all safeguards at any given step, the suite of tools can help countries as they operationalize their approaches. Some new tools are also in development, which will help to fill some of the gaps.

Step	Detailed activities	UN-REDD tools/ guidelines/ methodologies	Explanation of how the tools can contribute to the activity
1. Defining goals	Defining goals of the country safeguards approach	<ul style="list-style-type: none"> <li>• <a href="#">SEPC</a></li> </ul>	Provides more detailed criteria that can be used to ‘unpack’ the Cancun safeguards
		<ul style="list-style-type: none"> <li>• <a href="#">UN-REDD/FCPE Stakeholder Engagement Guidelines</a><sup>1</sup></li> </ul>	Provides guidance on how participation of stakeholders can be ensured in UN-REDD activities; could be used by countries in the development of REDD+ PLRs and adapted to national context if necessary
		<ul style="list-style-type: none"> <li>• <a href="#">UN-REDD FPIC Guidelines</a><sup>2</sup></li> </ul>	Provides a framework for applying the principle of FPIC at community and national levels; primarily designed for UN-REDD activities but could be adopted in REDD+ PLRs and adapted to national context
2. Defining or developing safeguard policies, laws and regulations	Gap analysis of existing PLRs	<ul style="list-style-type: none"> <li>• <a href="#">BeRT</a></li> </ul>	Provides a list of questions across a broad range of issues in order to assess existing PLRs
		<ul style="list-style-type: none"> <li>• <a href="#">PGA</a></li> </ul>	Provides a process for participatory evaluation of governance systems relevant to REDD+
		<ul style="list-style-type: none"> <li>• <a href="#">Guidance on Conducting REDD+ Corruption Risk Assessment</a></li> </ul>	Provides a more detailed framework (compared to BeRT) for assessing corruption risks in REDD+

<sup>1</sup> These Guidelines are most useful when applied from the beginning and throughout all stages in the development of country approaches to safeguards.

<sup>2</sup> These Guidelines are most useful when applied from the beginning and throughout all stages in the development of country approaches to safeguards.

Step	Detailed activities	UN-REDD tools/ guidelines/ methodologies	Explanation of how the tools can contribute to the activity
	Development of new PLRs (if necessary)	<ul style="list-style-type: none"> <li>• <a href="#">UN-REDD FPIC Guidelines</a></li> </ul>	Provides a framework for applying the principle of FPIC at community and national levels; primarily designed for UN-REDD activities but could be adopted in REDD+ PLRs and adapted to national context
		<ul style="list-style-type: none"> <li>• <a href="#">Draft guidelines on Strengthening/ Establishing National-Level Grievance Mechanisms</a></li> </ul>	Provides guidance on how to assess and strengthen existing PLRs and institutional capacity to address REDD+ related grievances
		<ul style="list-style-type: none"> <li>• <a href="#">LEG-REDD+</a></li> </ul>	Provides a participatory law development methodology for formulating legal and policy reforms and drafting new PLRs in response to REDD+
3. SIS	Gap analysis of existing information systems	<ul style="list-style-type: none"> <li>• <a href="#">PGA</a></li> </ul>	Provides a process through which existing governance and social information systems can be evaluated using a participatory approach (although it is not specifically designed to do this)
	Indicators	<ul style="list-style-type: none"> <li>• <a href="#">PGA</a></li> </ul>	Provides a framework for developing governance indicators for REDD+ schemes through a participatory approach
		<ul style="list-style-type: none"> <li>• <a href="#">Framework for Assessing and Monitoring Forest Governance</a><sup>3</sup></li> </ul>	Provides a tool for designing robust and comprehensive sets of governance indicators
	Methodologies for collection of information	<ul style="list-style-type: none"> <li>• <a href="#">Draft Guidelines for monitoring the impacts of REDD+ on biodiversity and ecosystem services</a></li> </ul>	Provides draft guidelines that could be used by government in establishing aspects of the SIS that are relevant to biodiversity
		<ul style="list-style-type: none"> <li>• Practical guide on forest governance data collection (in development)<sup>4</sup></li> </ul>	Provides a range of practical considerations, methods and available resources for collecting governance data
Framework for provision of information			

### 3.1 Planning tool for activities on safeguards

This framework can also be used as a tool in itself, as it can inform the design a comprehensive package of activities on safeguards at the country level. For example, it could be used to develop work

<sup>3</sup> This framework was developed jointly by UN-REDD, the World Bank's Program on Forests (PROFOR), and ACP-FLEGT.

<sup>4</sup> This Practical Guide is being developed jointly by UN-REDD, the World Bank's Program on Forests (PROFOR), the EU FAO FLEGT Programme, GIZ and WRI.

plans for the sequence of activities needed to implement the safeguards sections of National Programme Documents. It can also be used as a framework to follow for discrete events within the context of National Programmes, like national exchanges or workshops on safeguards. Discussion questions for breakout groups, for example, could be based on the elements and steps detailed in the framework above. In addition to being used as a tool itself, this framework will serve as a basis to inform next steps for the development or improvement of tools to provide support to countries on national approaches to safeguards.

### **3.2 Guiding the development or improvement of UN-REDD tools**

As outlined above, existing tools do not cover all of the possible needs of countries in developing REDD+ safeguards. The framework can be used as a guide to:

*Reform existing tools so they help to better fulfill the functions described in the framework*

There are existing tools developed by the Programme prior to the creation of this framework, and such revisions to existing tools may be necessary. One example for 2013 is an analysis that is already underway to consider revisions to the BeRT. The Programme has consolidated feedback received to date on the BeRT and is taking this into account to determine how the BeRT could be modified in order to be useful for application as a tool for gap analysis of existing PLRs.

*Analyzing any duplication of tools and streamlining of tools and processes*

The UN-REDD Programme recognizes that there may be an overlap of tools in some instances which creates confusion and burden to the country. With the priority of providing effective and efficient support to countries and with this conceptual framework as guidance, the Programme will seek to streamline its tools/methodologies/guidelines to the extent possible. As one example, there are likely linkages to be made between PGAs and corruption risk assessments.

*Better understand how UN-REDD tools link to instruments used by countries or other agencies (e.g. World Bank and REDD+ SES), in order not to duplicate efforts during further development/revision of tools*

In the table above, we have taken an initial step to clarify the role of tools, guidelines, and methodologies which UN-REDD has either developed/is developing or has contributed to/is contributing to, along with other partners. A next logical step is to expand such an exercise beyond UN-REDD to provide support to countries to clarify the landscape of available tools/methodologies/guidance beyond those of UN-REDD only. The Programme intends to develop a web-based decision-tree that provides an overview of all the available tools and guidance documents and any linkages there may be. This web-based decision tree could also be utilized by countries to

support them in identifying which tools and guidance will be most helpful in their specific country context and where they are in the process to develop national approaches to safeguards.

*Develop new tools to fill gaps*

Finally, UN-REDD will consider development of new tools to fill any evident gaps. This will be based not only on UN-REDD tools but instead will take account the more comprehensive assessment of all relevant tools, guidance, processes of other Programmes and initiatives, like those of FCPF and REDD+ SES to determine if and which tools are needed by countries.