



Supporting REDD+ safeguards:

Towards a common approach of
German Technical Cooperation
in Southeast Asia and the Pacific

Discussion Paper of the REDD+ Working Group of the
GIZ Sector Network Natural Resources
and Rural Development (SNRD) Asia

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The REDD+ Safeguards Discussion Paper is a joint product of the REDD+ Working Group of the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH Sector Network Natural Resources and Rural Development (SNRD) Asia.

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Annex 1. List of programs working on REDD+ in the SE Asia and Pacific regions

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Summary

As a result of the international negotiations under the United Nations Framework Convention on Climate Change (UNFCCC), the concept of Reducing Emissions from Deforestation and Forest Degradation (REDD+) emerged. The "+" of REDD+ includes the role of conservation, sustainable management of forests and enhancement of forest carbon stocks. However, during the design of a REDD+ mechanism, Parties recognized that REDD+ measures will not likely be sustainable unless local livelihoods and ecological aspects are taken into consideration. Moreover, some stakeholders voiced concerns about possible negative social and environmental impacts of REDD+ activities. Hence, at the Conference of Parties (COP) 16 in 2010, the Parties to the UNFCCC agreed on a set of broad "safeguards" principles being designed to guide REDD+ implementation. The "COP 16 Safeguards" are principles or conditions to be promoted and supported so that people and the environment are not harmed but actually benefit from REDD+ activities. In the Southeast (SE) Asia and Pacific Region, the German Development Cooperation is supporting a number of countries with the design and piloting of a REDD+ mechanism. This discussion paper aims at developing a common approach among the technical cooperation modules of these programs with regard to supporting REDD+ safeguards implementation.

First of all, the paper briefly describes relevant policy documents that serve as a basis for developing a common approach such as the UNFCCC agreements, guidance provided by three global REDD+-related initiatives as well as relevant strategy papers of the German Ministry for Economic Cooperation and Development (BMZ). For example, the BMZ Forest Sector Concept calls for social and environmental safeguards related to project planning and implementation such as participation of all stakeholders as well as biodiversity conservation. According to the BMZ Human Rights Policy, it is required for program and project implementation to ensure that no adverse impacts occur. The principle of Free, Prior and Informed Consent (FPIC) must be adhered to in the planning of measures that affect Indigenous Peoples and local communities. Finally, national forest programs (NFPs), as agreed in intergovernmental negotiations on forests, provide a guiding framework also for REDD+ programs or projects.

Second, based on an overview of REDD+ implementation activities supported by the German Development Cooperation in Indonesia, Lao PDR, the Philippines, Papua New Guinea and the Pacific Islands, the discussion paper highlights the full spectrum of approaches and activities on REDD+ and especially safeguards implementation.

Finally, the discussion paper outlines a number of statements that constitute the common approach of German Technical Cooperation programs in the SE Asia and Pacific Region. These include that the seven safeguards of the Cancun Agreements build the basis on how the German Technical Cooperation supports partner countries in SE Asia and the Pacific in terms of REDD+ implementation. Apart from information on how the safeguards are being addressed and respected, partner countries are also encouraged to monitor impacts of REDD+ measures. The establishment of safeguards and safeguards information systems (SIS) should be built on existing instruments in a bottom-up approach. Instruments for a rights-based approach should be explored, such as FPIC, and finally, partner countries are advised to implement safeguards and develop SIS in a simple and cost-efficient way, so as to avoid overburdening REDD+.

1

Our common basis for supporting REDD+ safeguards

a) UNFCCC decisions

In the deliberations about developing a REDD+ mechanism under the United Nations Framework Convention on Climate Change (UNFCCC), safeguards have been identified as an important element of effective REDD+ implementation. REDD+ safeguards aim to ensure that REDD+ actions avoid or minimize negative social or environmental impacts, and even enhance social and environmental benefits (so-called "co-benefits").

UNFCCC Decision 1/CP.16 (2010) taken at the 16th Conference of the Parties (COP) in Cancun in 2010 first raised the issue of REDD+ safeguards, requesting parties to "promote and support" safeguards when implementing REDD+ activities. The decision also identified seven specific safeguards covering a range of issues, including transparency of national forest governance structures, effective participation of stakeholders, respect for the knowledge and rights of Indigenous Peoples and local communities, conservation of natural forests and biodiversity, and avoidance of both "leakage" and "reversals" of emissions reductions.

Moreover, the COP 16 decision requests developing country parties to develop – with technical and financial assistance from developed countries – "a system for providing information on how the safeguards are being addressed and respected." Effective systems to share information on REDD+ safeguards are intended to help promote transparency, guard against unintended social and environmental consequences, and provide information on the impact of REDD+ actions. At its 17th session in Durban in 2011, the COP to the UNFCCC agreed on broad provisions for guidance, including that national safeguards information systems should "build upon existing systems, as appropriate."

The COP 16 Safeguards

- a) 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;
- 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) Actions are consistent with the conservation of natural forests and biological diversity, ensuring that the actions referred to in paragraph 70 of the 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.

b) Three global REDD+ safeguards initiatives

Although the Cancun Safeguards define broad criteria and guidance, it lies within the responsibility of the implementing countries to convert the Cancun Safeguards into national safeguards frameworks. At present, three safeguards initiatives support countries in this process by means of concrete guidelines and steps for operationalizing their safeguards.

Forest Carbon Partnership Facility

The Forest Carbon Partnership Facility (FCPF), a World Bank-administered global partnership, consists of a Readiness Fund and a Carbon Fund to support REDD+ countries. The implementation of safeguards is part of both instruments. During REDD+ readiness activities, supported countries are required to undertake a *Strategic Environmental and Social Assessment (SESA)* and then develop an *Environmental and Social Management Framework (ESFM)*. Moreover, the FCPF (2012) developed a *Common Approach to Environmental and Social Safeguards for Multiple Delivery Partners*, which provides a common platform for risk management and quality assurance, and a uniform set of safeguard standards that are to be applied by the FCPF's delivery partners, World Bank, Inter-American Development Bank, UNDP and FAO when disbursing FCPF funds during the readiness phase. The World Bank safeguard policies, consisting of its operational policies and the associated bank procedures, form the basis of this common approach. Also, an assessment framework for REDD+ readiness – containing safeguards criteria, amongst other issues – was created to give REDD+ countries more guidance towards full REDD+ implementation. The Carbon Fund works on a performance base; funded emission reduction programs have to satisfy certain criteria lined out in the Fund's "Methodological Framework," which contains, among others, indicators for safeguards. As of August 2013, the methodological framework is in the process of finalization.

UN-REDD Social and Environmental Principles and Criteria

The UN-REDD Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation supports countries in undertaking their REDD+ readiness activities. To provide a guiding framework for addressing social and environmental issues, the UN-REDD Programme developed, geared to the human rights-based approach (see box), the Social and Environmental Principles and Criteria (SEPC). These safeguards in the form of 7 principles and 24 criteria, accompanied by a tool for indicator development, were developed to provide voluntary guidance for countries that develop national approaches to REDD+ safeguards. To further assist countries in implementing the SEPC, a series of tools are provided, including a *Benefits and Risks Tool (BeRT)* and guidance on developing Safeguards Information Systems (SIS). Further, Guidelines on Stakeholder Engagement (jointly with FCPF) and on Seeking Free Prior and Informed Consent (UN-REDD FPIC Guidelines), as well as a tool on Participatory Governance Assessment are available to the REDD+ implementers.

REDD+ Social and Environmental Standards

The REDD+ Social and Environmental Standards (REDD+ SES) were developed through an inclusive multi-stakeholder process to provide guidance for governments that are developing and implementing national REDD+ systems. REDD+ SES complies with standards developed under the UNFCCC and provides clear and easy to follow recommendations for governments and private project developers alike. It provides an adaptive framework of safeguards, which comprises 7 principles and 28 criteria applicable to all countries as well as a set of indicators (policy, process and outcome indicators) that

What is a human rights-based approach?

A human rights-based approach is the systematic integration of human rights obligations, standards, interpretations and principles into development policy and programs. It entails a shift of perspective: Partner states' institutions are now "duty-bearers" who must be enabled to fulfill their human rights obligations, whereas previous "target groups" become "rights-holders" who must be empowered to claim their rights effectively.

need to be further tailored to the particular context of a REDD+ country. The usage of the REDD+ SES is organized through a 10-step process with elements on governance, interpretation and assessment. The Climate, Community & Biodiversity Alliance (CCBA) and CARE International, two non-governmental organizations, serve as the REDD+ SES secretariat. REDD+ SES are currently being field tested in several countries and provinces around the world (Climate Focus, 2013).

c) BMZ Sector Concept Forest

The Environment and Sustainable Use of Natural Resources Division of the German Ministry for Economic

Cooperation and Development (BMZ) is expected to finalize the drafting process for a new Sector Concept Forest before the end of 2013. It will replace the Sector Concept Forest of 2002 (BMZ 2002), which has been in need of revision and updating to accommodate developments in the forest and climate policy discussion and international cooperation over the recent years. The 2002 concept contained some basic principles and ecological and social "minimum standards" or "safeguards," which were intended to ensure the coherence of the German Development Cooperation in the forest sector (or in sectors affecting forests) with its own objectives and with international agreements and processes.

Among the basic principles, the following were listed: implementation of international forest policy and agreements, participation of all relevant stakeholders in forest development, sharing of benefits from forests with local communities, gender-differentiated approach, support to holistic and ecosystem-based approaches, orientation towards criteria of sustainable forest management, etc. The ecological and social "safeguards" were formulated as BMZ requirements towards project planning and implementation. They covered, among others, the informed and effective participation of traditional forest communities, support of institution building that enables such participation, protection of traditional land and use rights, biodiversity conservation as primary management objective in high conservation value forests, afforestation and reforestation adapted to site conditions, clarification of land and use rights, Environmental Impact Assessment (EIA) and management plans for any commercial use of forests.

A stakeholder workshop, in the early stage of the drafting process of the new concept, has confirmed the usefulness of minimum ecological and social standards for the planning and implementation of projects and programs related to forests. It can therefore be expected that the new concept will contain an updated version of such basic principles and minimum standards.

d) BMZ Human Rights Policy

In 2011, the BMZ published a policy on human rights in German development cooperation (BMZ 2011). It affirms the central role of human rights in German development policy. To mainstream a human rights-based approach in all sectors and priority areas of cooperation is part of this strategy. The strategy contains binding requirements that the agencies tasked with implementing official development assistance must adhere to. Under the heading "Promoting inclusive development," the policy sets out requirements with regard to specific target groups – among them Indigenous Peoples – prone to discrimination and human rights abuse. Of particular relevance to the issue of REDD+ safeguards is

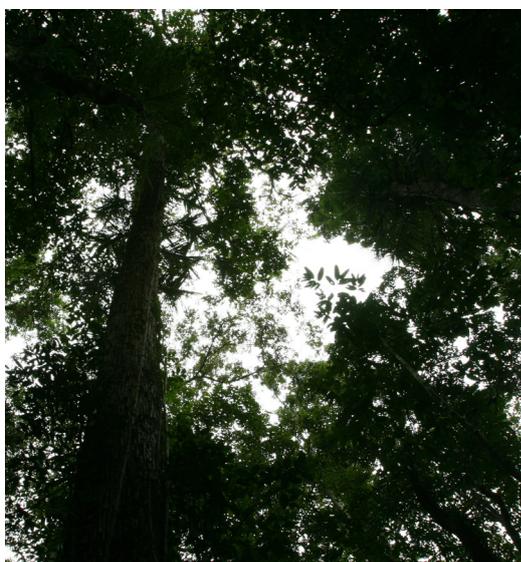
the requirement for programs and projects to ensure that they have no adverse impacts on Indigenous Peoples. The principle of Free, Prior and Informed Consent (FPIC) must be adhered to in the planning of measures that affect Indigenous Peoples and local communities. To support German implementing agencies, such as the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, in assessing human rights-related risks and impacts during the phase of project conceptualization, BMZ, in 2013, issued the “Guidelines for considering human rights standards and principles, including on gender, in the preparation of programme proposals in the German technical and financial cooperation” (BMZ 2013).

e) National Forest Programs (NFPs)

Following the forest policy dialogue initiated as a result of the United Nations Conference on Environment and Development (UNCED 1992) and the work of the Intergovernmental Panel on Forest (IPF)/Intergovernmental Forum on Forests (IFF), the concept of national forest programs (NFPs) has been commonly agreed internationally as a framework to foster sustainable forest management. The term “national forest program” is a generic expression that designates a wide range of approaches towards the process of planning, programming and implementing national and sub-national forest and forest policy activities based on a set of guiding principles in a participatory manner. These guiding principles include:

- appropriate participatory mechanisms to involve all interested parties;
- decentralization, where applicable, and empowerment of regional and local government structures
- recognition and respect for traditional and customary rights of Indigenous Peoples, local communities, forest dwellers and forest owners;
- secure land tenure arrangements; and
- establishment of effective coordination mechanisms and conflict resolution schemes.

It has been commonly agreed that countries should develop their own individual NFP in order to lead and steer forest policy and implementation processes through the integration of different sectors and programs, such as socio-economic development and poverty reduction. Hence, a country-specific NFP serves as a workable social and political framework for the comprehensive development of the forest sector, including all relevant stakeholders (Perlis, 2006).



2

Our current activities and interventions in the SE Asia and the Pacific regions

a) Methodological and conceptual inputs

Even though environmental and social safeguards by themselves are not new to the forest sector in most countries in the region, their implementation has been limited to a few voluntary initiatives (e.g. forest certification), or, in the case of mandatory instruments such as EIA, implementation has often been proven ineffective. Moreover, REDD+ requires some additional safeguards such as avoiding leakage and reversals. By assessing the suitability of existing instruments for REDD+ and also their feasibility for specific country contexts, GIZ programs can provide useful contributions to the development of REDD+ safeguards. Programs have also developed methods for field-level surveys in order to establish socio-economic and/or biodiversity surveys or environmental impact assessments (see also under c) Provision/generation of basic information).

Climate Protection through Avoided Deforestation (CliPAD) Project (Laos)

CliPAD in Laos has commissioned a legal analysis to assess the feasibility of implementing a process of consultation with the aim of obtaining the Free, Prior and Informed Consent (FPIC) for REDD+ implementation in Lao PDR.



Coping with Climate Change (CCCPIR) and Climate Protection through Forest Conservation in the Pacific Island Region (Pacific Region)

The Coping with Climate Change program supported the development of a methodology for ensuring the implementation and monitoring of safeguards at the sub-national level in Fiji. The project "Climate Protection through Forest Conservation in Pacific Island Countries" (Regional REDD+ Project, Pacific Region) supported the development of a Regional REDD+ Policy Framework with provisions for safeguards and co-benefits, which have been endorsed by the Ministers of Agriculture and Forestry Services of the 22 countries of the Pacific Region. In Vanuatu, the project helped the government to develop the Readiness Preparation Proposal (R-PP), which has been accepted by the Forest Carbon Partnership Facility (FCPF) for funding. Safeguards for REDD+ have been factored into all chapters of the document, especially on the issues of governance, participation, land tenure and coherence with national and international legislation and agreements. Finally, a study on national carbon rights and law reform has been conducted in all four Melanesian countries and will be followed up by the project and its partners.

The Forests and Climate Change (FORCLIME) Programme (Indonesia)

FORCLIME in Indonesia has commissioned an analysis of existing safeguards instruments in use in the forest sector with regard to their relevance and suitability for REDD+. Building on this analysis, FORCLIME supported a process of extracting the most relevant elements from the existing instruments (e.g. EIAs, FPIC, Strategic Environmental Assessment, Social and Environmental Strategic Assessment, Forest Stewardship Council, Sustainable Forest Management, etc.) as material for the development of principles, criteria and indicators (PCI) for measuring the implementation of REDD+ safeguards. The result is a set of principles, criteria and indicators structured along the COP 16 list of safeguards and referenced to the existing instruments.

Through its partnership with ICRAF (World Agroforestry Center) in Indonesia, FORCLIME is initiating an approach towards social safeguards, integrating it into the broader land use planning dynamics. ICRAF uses the sub-national level and the political and administrative context of land use planning to experiment and implement this approach involving a broad range of stakeholders in a real-time strategic negotiation that respects the rights and voices of local communities, Indigenous Peoples and all local stakeholders sharing a defined landscape. ICRAF has recognized principles and criteria to safeguard social attributes along the land use planning process and will identify further indicators in engaging with local stakeholders through a participative dialogue in the province of Papua. Key civil society groups in Papua will be supported to develop the capacity to participate and monitor the planning cycle of low emissions development in the land-based sector and guarantee that social safeguards have been respected.

Climate-relevant Modernization of Forest Policy and Piloting of REDD Project and National REDD+ System Project (Philippines)

The National REDD+ System project in the Philippines supports the development of a safeguards framework and the elaboration of safeguards guidelines. It builds on the work of the predecessor Climate-relevant Modernization of Forest Policy and Piloting of REDD Project and of UN-REDD. Under the Forest Policy and Piloting of REDD Project, GIZ supported an independent, evidence-based assessment of FPIC implementation, which is regulated in the Philippines under the Indigenous Peoples' Rights Act (IPRA) and based on a set of guidelines issued by the National Commission on Indigenous Peoples (NCIP). The country-wide assessment included 34 case studies of FPIC implementation in a wide range of settings, including projects in mining, energy, forestry and tourism. The results were used

by NCIP to amend the FPIC Guidelines in 2012 and to facilitate a revision of policies and processes, also with regard to REDD+. Moreover, a study on carbon ownership in the Philippines was conducted to clarify carbon rights within the legislative framework and to provide guidance on benefit sharing arrangements. The results are being used to develop an official regulatory framework for forest carbon rights and their trade.

b) Field-level piloting of methodological approaches

In line with the rationale of “REDD+ Demonstration Activities” as called for in the UNFCCC Bali Action Plan (2007) to test methodologies and “try out REDD+,” field-level piloting of methodological approaches forms the central part of most of the programs working on REDD+ in the region, particularly GIZ-KFW cooperation programs. This is not only true for methodologies on carbon accounting and emission baseline development, but also for methods on how to avoid negative social and environmental impacts, mitigate risks and enhance “co-benefits.”

Coping with Climate Change and Climate Protection through Forest Conservation in the Pacific Island Region (Pacific Region)

The methodology for ensuring the implementation and monitoring of safeguards at the sub-national level mentioned above was piloted in Fiji by CCCPIR. Moreover, the FPIC principle was also tested in Fiji. In Papua New Guinea, Solomon Islands and Vanuatu, the regional REDD+ project conducted pre-feasibility studies, which can be seen as a tool to assess potential pilot sites and at the same time enter into the FPIC process on carbon project preparation on the community level.

The Forests and Climate Change (FORCLIME) Programme (Indonesia)

In Indonesia, FORCLIME supports the Indonesian Ministry of Forestry (MoFor) in developing a concept for a REDD+ Safeguards Information System (SIS) on the provincial level in East Kalimantan. In a second step, the concept will be tested with the provincial REDD+ Working Group and lessons learned will be shared on the national and international levels.

Climate Protection through Avoided Deforestation (CliPAD) Project (Laos)

The FPIC principle was piloted in several villages in the former CliPAD project area. However, as CliPAD shifted from a REDD+ project-based approach to a REDD+ jurisdictional approach, these local FPIC processes have not been completed. Hence, CliPAD is establishing pilot activities for the implementation and monitoring of safeguards at the sub-national level. CliPAD intends to use the Verified Carbon Standard’s (VCS) Jurisdictional and Nested REDD+ approach (JNR) for its target areas. Hence, the implementation of FPIC will be further developed towards the new JNR approach. Within the VCS JNR approach, CliPAD (Laos) will orient towards REDD+ SES in terms of principles, criteria and indicators to ensure environmental and social safeguards. In addition, CliPAD will establish performance-based conservation contracts with local communities in the target districts.

Climate-relevant Modernization of Forest Policy and Piloting of REDD Project and National REDD+ System Project (Philippines)

In the Philippines, co-management arrangements and financing agreements for forest protection and conservation of biodiversity with local government, local communities and people's organizations (forest user groups) are piloted in REDD+ project sites. A prototype measurement, reporting and verification (MRV) system has been elaborated in line with VCS and CCBA standards that includes monitoring of socio-economic and biodiversity parameters (co-benefits). The National REDD+ System Project aims at the integration of ecological, social and governance standards in the implementation of REDD+ in the Philippines, including field testing and capacity building on safeguards as well as setting up a Safeguard Information System (SIS).

c) Provision/generation of basic information (baselines, etc.)

In order to be able to measure the impacts of REDD+ activities on people and the environment, socio-economic and environmental baselines have to be developed against which impacts, both positive or negative, can be measured and monitored for corrective action. All of the programs in the region with REDD+ pilot sites or demonstration activities have therefore conducted socio-economic baseline surveys as well as some biodiversity or ecosystem assessments. The challenge is to develop methods for baseline surveys and monitoring that can be used by partner agencies for widespread application. Linked to that is the challenge of how to support the establishment of complete monitoring systems so that monitoring results will be used in strategy and policy revision processes.



Coping with Climate Change and Climate Protection through Forest Conservation in the Pacific Island Region (Pacific Region)

In Fiji, the program Coping with Climate Change in the Pacific Island Region has mapped resources of potential REDD+ sites in order to identify areas of high biodiversity for conservation and has conducted ethno-botanical surveys. It supported the cultural mapping of all REDD+ pilot sites undertaken by the Ministry of Indigenous Affairs.

The regional REDD+ project supports Vanuatu in the development of a forest reference emission level for the largest island, Santo. On the same island, the project implements the new methodology for a national forest inventory that includes carbon measurements. In Fiji, the project supports a research site on sustainable forest management systems and their impact on the forest carbon content. Generally, the project facilitates outreach, information and consultation processes by the partner agencies and organizations in the countries, directed towards the local level.

Climate-relevant Modernization of Forest Policy and Piloting of REDD Project and National REDD+ System Project (Philippines)

With GIZ project support, a Forest Resources Assessment was implemented for the whole Leyte Island (Philippines) to assess the state of the forest resources, determine carbon stocks and detect land use changes. Moreover, a biodiversity as well as a socio-economic baseline assessments were conducted for the demonstration area in Southern Leyte as a basis for measuring the impacts of the REDD+ Project. The National REDD+ System Project will build on these regional experiences and scale them up to support the establishment of a MRV system on the national level.

Climate Protection through Avoided Deforestation (CliPAD) Project (Laos)

In Laos, CliPAD published a national REDD+ prioritization report for jurisdictions in Lao PDR. CliPAD technical cooperation (GIZ) and financial cooperation (KfW) jointly conducted a socio-economic baseline survey in the target district in Houaphan province. Several REDD+ technical feasibility studies produced for the first time hard facts and figures for REDD+ feasibility in Laos. A biodiversity monitoring scheme is being developed in cooperation with the Wildlife Conservation Society.

The Forests and Climate Change (FORCLIME) Programme (Indonesia)

The FORCLIME Programme (Indonesia) conducted socio-economic baseline surveys in three pilot districts and built local capacities for the methods used.



d) Supporting multi-stakeholder processes

The full and effective participation of stakeholders in REDD+ preparation and implementation has already been called for in the Copenhagen Accord in 2009 and is firmly set out as one of the seven COP 16 safeguards. Programs of the German Technical Cooperation in the region are developing their REDD+ piloting activities in a participatory way. They are also supporting governments at national or sub-national levels to set up fora or institutions to engage with stakeholders, both in dialogue and knowledge generation on REDD+, in developing REDD+ country strategies and in decision making on setting up REDD+ institutions.

Coping with Climate Change and Climate Protection through Forest Conservation in the Pacific Island Region (Pacific Region)

The Coping with Climate Change Project in Fiji supports land use planning through multi-stakeholder processes. It also supports the national REDD+ Steering Committee and the provincial outreach.

The regional REDD+ project supports the same processes in Vanuatu and through developing the Regional REDD+ Policy Framework also on the regional level.

Climate Protection through Avoided Deforestation (CliPAD) Project (Laos)

In Laos, GIZ supports multi-stakeholder national land use planning that takes long-term REDD+ activities into consideration. In Laos, participatory land use planning (PLUP) has been conducted in target villages, taking into account customary land tenure and cultural land systems. Integrated spatial planning (ISP) has been initiated at the provincial level; however, coordination remains a major challenge. As CliPAD will orient towards REDD+ SES, multi-stakeholder participation has to be ensured.

The Forests and Climate Change (FORCLIME) Programme (Indonesia)

The development of the REDD+ Safeguards Information System in Indonesia is undertaken in a series of multi-stakeholder focus group discussions, interspersed with national-level multi-stakeholder consultation workshops. The program supported the establishment of the provincial East Kalimantan REDD+ Working Group and contributes to its work.

Climate-relevant Modernization of Forest Policy and Piloting of REDD Project and National REDD+ System Project (Philippines)

In the Philippines, GIZ supports a multi-stakeholder approach for the implementation of the Philippine National REDD-Plus Strategy (PNRPS). The National REDD+ System Project supports the establishment and operationalization of the National Multi-Stakeholder REDD+ Council (NMRC), which was initiated under the PNRPS and conceptually supported by UN-REDD. The NMRC is planned to become the national entity that ensures safeguards and safeguard compliance together with sub-national Multi-Stakeholder REDD+ Councils that would guide REDD+ implementation at regional and provincial levels. Previously, the Forest Policy and Piloting of REDD Project helped establish a sub-national REDD+ Technical Working Group in Southern Leyte that was instrumental in coordinating pilot activities among stakeholders.

e) Institution building and institutional capacity development

The programs of technical cooperation in the region are involved in the establishment and capacity building of institutions such as specialized government agencies, working groups or fora, which are set up to develop policy and regulatory frameworks for REDD+. Invariably, these institutions also address the issue of REDD+ safeguards.

Coping with Climate Change and Climate Protection through Forest Conservation in the Pacific Island Region (Pacific Region)

The Climate Protection through Forest Conservation Program (Pacific Region) has supported the development of a Pacific Regional Policy Framework for REDD+ referenced to national and international documents and agreements with provisions for safeguards and co-benefits. In Vanuatu, it facilitates the establishment of the national REDD+ Technical Committee and its work. Through the work done on the R-PP, the planning of the governance structure for REDD+ is very concrete. One of the next steps is the establishment of provincial committees that play a crucial role in planning and outreach of broad REDD+ implementation on the ground. In Fiji, the program Coping with Climate Change in the Pacific Island Region supported the establishment of the REDD+ Committee and serves as its secretariat. The program also supported the iTaukei (indigenous) Land Trust Board to develop an organizational policy on REDD+.

The Forests and Climate Change (FORCLIME) Programme (Indonesia)

FORCLIME (Indonesia) supports the Ministry of Forestry to develop a web-based REDD+ Safeguards Information System through which information on the implementation of REDD+ safeguards will be provided to the public and UNFCCC.

Climate Protection through Avoided Deforestation (CliPAD) Project (Laos)

CliPAD (Laos) supports the establishment of a REDD+ office and technical working groups (TWG). Two out of the foreseen seven working groups will cover issues related to safeguards (benefit sharing, ethnic groups and local community participation). Furthermore, CliPAD supports the revision of the Forestry Law. A first draft of the Forestry Law has been developed in a participatory way, including a multi-sectoral consultation process.

Climate-relevant Modernization of Forest Policy and Piloting of REDD Project and National REDD+ System Project (Philippines)

GIZ Philippines supports institutional arrangements among government agencies, civil society and academe under the PNRPS with assistance and active contributions to the overall coordination and implementation structures, including capacity development of the NMRC and REDD+ Technical Working Groups. The National REDD+ System Project supports the establishment of a national REDD+ registry and related protocols and decentralized units as coordination and monitoring structure. Previously, the Forest Policy and Piloting of REDD Project supported a Provincial Technical Working Group on Community-based Forest Management and REDD+. Both projects focus on capacity development not only for national agencies, but also at the level of local government units (LGUs) and local communities.

f) Training

Trainings are an important activity of all programs in the region. Apart from awareness-raising workshops and REDD+ trainings, which cover the issue of safeguards at a general level, some programs have conducted specific trainings to support safeguards development or implementation.



The Forests and Climate Change (FORCLIME) Programme (Indonesia)

Based on the development of a web-based REDD+ Safeguards Information System, FORCLIME (Indonesia) will support the provincial East Kalimantan REDD+ Working Group in conducting training sessions on REDD+ SIS management. Lessons learned will be up-scaled to the national level.

Climate Protection through Avoided Deforestation (CliPAD) Project (Laos)

Together with the Faculty of Law, CliPAD (Laos) has implemented activities for community legal education. It also supports a Laotian Civil Society group in building capacities on conducting FPIC processes. Regarding safeguards, CliPAD supports the attendance of a provincial ministry official (Provincial Agriculture and Forestry Office) and a member of the national REDD+ office at a REDD+ SES learning workshop.

Coping with Climate Change in the Pacific Island Region (Pacific Region)

In Fiji, the regional program has conducted awareness-raising activities on FPIC for REDD+ and specific trainings for the Ministry of Indigenous Affairs for the development of national REDD+ implementation guidelines. Member constituencies of the REDD+ Committee received tailor-made trainings.

Climate-relevant Modernization of Forest Policy and Piloting of REDD Project and National REDD+ System Project (Philippines)

In the Philippines, a MRV system that integrates the social, environmental and governance dimension is being scaled up to the national level and disseminated into other regions through trainings. Special emphasis is given to training of NCIP national and regional staff in support to implementation of safeguards related to IPs. Moreover, partners from government and civil society are supported to attend international trainings and conferences on safeguards, including anti-corruption approaches.

3

Elements of a common approach

German technical cooperation projects and programs in Southeast Asia and the Pacific support countries in building their national REDD+ frameworks and in carrying out readiness activities. Safeguards and their implementation form an integral part of this cooperation. The overview of GIZ's ongoing safeguards-related activities has shown that although GIZ support is tailored to the specific country context, all interventions share a series of common elements. GIZ-supported activities are built on this common ground and ongoing in-country experiences further inform and strengthen it. Therefore, this provides a strong basis for defining a common approach of German technical cooperation on safeguards and their implementation in partner countries. Experiences and approaches from GIZ programs in Latin America and Africa could complement this view. The elements of this proposed common approach are outlined below. Given that many of the mentioned programs are cooperation programs between technical and financial cooperation, the discussion paper could form the basis for an exchange of views also with colleagues from KfW.

a) UNFCCC as the common framework and reference

- The starting point for our activities to support REDD+ safeguards development are the seven safeguards listed in Annex 1 of the UNFCCC COP 16 Decision.
- Different international initiatives to develop measuring tools for REDD+ safeguards implementation (e.g. UN-REDD, REDD+ SES, FCPF) are used by partner countries specifically due to requirements or expected requirements associated with funding for REDD+. They can provide additional valuable guidance for country-specific safeguard development. For example, in Lao PDR, we are going to use REDD+ SES as a guideline to support the Government of Lao PDR in the development of a provincial REDD+ program by taking social and environmental safeguards into account (see also in 3.c for the approach in Indonesia).
- We contribute to partner agencies' efforts to transparently monitor REDD+ safeguards implementation. For example, in Indonesia and the Philippines, programs support the establishment of a Safeguards Information System (SIS).

b) Encouraging the monitoring of impacts

- We encourage partner agencies to not only provide information on the improvements in safeguards implementation that have been delivered by REDD+ proponents, but also to monitor both positive and negative social and environmental impacts, including impacts on biodiversity and of REDD+ activities, and feed results back into the strategy and policy process on REDD+.
- We develop methodologies for the establishment of socio-economic and environmental baselines and monitoring that are cost-efficient and replicable by partner agencies. This approach has been put into practice in all mentioned projects and programs.

c) Building on existing instruments and country systems

- We advise partner agencies to establish safeguards and safeguard information systems in a bottom-up approach, building on existing instruments, such as laws, policies, regulations, voluntary standards that are already in use in the country and risk assessment tools, as well as tapping on established institutional structures, such as agencies mandated with safeguards-relevant issues and specific monitoring and information systems. This is not only called for in the Decision of COP 17 (2011) but will also increase ownership. According to this approach, FORCLIME, in Indonesia, supported the development of principles, criteria and indicators for an Information System on REDD+ Safeguards Implementation (SIS-REDD+) (see Annex 2). The development process was based on a stepwise approach including i) development of a list of existing instruments and policies addressing the UNFCCC COP 16 safeguards; ii) analysis of the effectiveness and practicability of these elements and recommendations on which elements should be monitored for providing information on REDD+ safeguard implementation; and iii) identification of gaps between UNFCCC Safeguards and the recommended elements for further consideration through multi-stakeholder dialogue.
- We acknowledge that REDD+ countries face a variety of different donor requirements with regard to safeguards implementation (FCPF, UN-REDD, REDD+ SES and bilateral cooperation initiatives). Although the harmonization of these processes remains, as for now, limited, GIZ is committed to advise partners towards integrating and harmonizing international approaches on the basis of UNFCCC outcomes and increasing compatibility with existing country systems.

d) Keeping it simple – avoiding overburdening REDD+

- We advise partner agencies to develop REDD+ safeguards systems and to apply safeguards that are simple and cost-efficient. We acknowledge the risk of overburdening REDD+ and search for practicable solutions to avoid or minimize negative impacts of REDD+ activities and to enhance co-benefits. Likewise, we support practicable formats for information provision and reporting.
- We support the application of safeguards instruments, such as FCPF, UN-REDD and REDD+ SES, always in accordance with a country's preferences and in compliance with specific requirements, and adapted to the appropriate jurisdictional level.

e) Exploring instruments and methods for a rights-based approach

- In our pilot sites, we explore instruments and methods for a rights-based approach such as FPIC, community protocols, strengthening community institutions, etc. As a first step, we cooperated with the Center for People and Forests (RECOFTC) to publish the guidance document "Free, Prior and Informed Consent (FPIC) in REDD+: Principles and Approaches for Policy and Project Development" (2011).
- Through studies, capacity building measures and workshops that foster inter-sectoral and regional exchange, we support the above-mentioned efforts that are conducive towards determining what constitutes a rights-based approach. For example, we supported a study that assessed the implementation of Free and Prior Informed Consent in the Philippines.
- We document and make widely available our experiences and lessons learned with piloting a rights-based approach.

The following two elements are taken from the draft REDD+ specific safeguards proposed to be included in the next BMZ Sector Concept Forests:

f) Prioritising forest protection and sustainable forest management (SFM)

- Preferably, German Development Cooperation supports projects and programmes with REDD+ activities targeting forest protection and sustainable forest management rather than afforestation and reforestation. The latter are only to be supported in case the af-/reforestation specifically aims at restoring degraded forest lands or improved connectivity of ecosystems.
- Direct or indirect incentives for the conversion of low carbon natural forests into forest plantations are to be avoided in any case.
- If required, measures are to be taken which avoid a conversion or degradation of neighbouring biodiversity-rich ecosystems (inter-ecosystem leakage).

g) Applying internationally recognised standards for tradable emission reductions

- In order to generate tradable emission reduction certificates projects should be certified according to internationally recognized carbon accounting standards (such as the Verified Carbon Standard (VCS), Global Observation of Forest and Land Cover Dynamics (GOFD-Gold), Plan Vivo Standard, California Climate Action Registry (CCAR) and CarbonFix/Gold Standard) and would have to prove positive impacts on biodiversity and social development (certified according to standards such as the Climate, Community & Biodiversity (CCB) Standard and SocialCarbon). According to the Council of the European Union, it is considered that "verified emission reductions could in the medium term be used for compliance subject to strict quantitative limitations and could, in light of experience gained, and after thorough review, in the medium to long term be phased into the international carbon market under the condition that market integrity is preserved, and robust measurement, reporting and verification requirements are met [...]" (Council of the European Union, 2009).

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Annexes

Annex 1. List of German Technical Cooperation Programmes working on REDD+ in the SE Asia and Pacific regions

Title: Forests and climate change programme (FORCLIME)

Commissioned by: German Federal Ministry for Economic Cooperation and Development (BMZ)

Country: Indonesia

Lead executing agency: Indonesian Ministry of Forestry (MoF)

Overall term: 2009 to 2020

Title: Climate protection through avoided deforestation (CliPAD)

Commissioned by: German Federal Ministry for Economic Cooperation and Development (BMZ)

Financier: German Federal Ministry for Economic Cooperation and Development (BMZ)

Country: Lao People's Democratic Republic

Lead executing agency: Ministry of Agriculture and Forestry (MAF), Department of Forestry (DOF)

Partner: Ministry of Agriculture and Forestry (MAF), Department of Forestry (DOF)

Overall term: 2009 to 2018

Title: Climate-relevant modernisation of the national forest policy and piloting of REDD measures in the Philippines

Commissioned by: German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU)

Country: Philippines

Lead executing agency: Department of Environment and Natural Resources (DENR)

Overall term: 2009 to 2013

Title: Preparation of a national REDD+ mechanism for greenhouse gas reduction and conservation of biodiversity in the Philippines (National REDD+ System Philippines)

Commissioned by: German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU)

Country: Philippines

Lead executing agency: Department of Environment and Natural Resources (DENR)

Overall term: 2012 to 2017

Title: Climate protection through forest conservation in the Pacific island countries

Commissioned by: German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU)

Country: Pacific island region: REDD+ focus on Fiji, Papua New Guinea, Solomon Islands, Vanuatu

Lead executing agency: Secretariat of the Pacific Community (SPC)

Overall term: 2010 to 2015

Title: Coping with climate change in the Pacific island region

Commissioned by: German Federal Ministry for Economic Cooperation and Development (BMZ)

Country: Pacific Island Region: Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, Vanuatu

Lead executing agency: Secretariat of the Pacific Community (SPC)

Overall term: 2009 to 2015

Annex 2. Table of tools and studies developed by German Technical Cooperation programmes working on REDD+ in the SE Asia and Pacific regions

| Organization/title/year of publication | Co-funding | Languages | Source/access | Type and use of instrument |
|---|--|--------------------------------------|--|---|
| Global | | | | |
| RECOFTC, GIZ: <i>Guide on Free, Prior, and Informed Consent in REDD+: Principles and Approaches for Policy and Project Development</i> (2011) | Norwegian Agency for Development Cooperation (Norad) | English, Bahasa Indonesia and Nepali | http://www.recoftc.org/site/uploads/content/pdf/FPICinREDDManual_127.pdf (consulted 6 August 2013) | |
| Indonesia | | | | |
| Centre for Standardization and Environment, Ministry of Forestry, and GIZ Forests and Climate Change Programme: Principles, Criteria and Indicators for a System for Providing Information on REDD+ Safeguards Implementation (SIS-REDD+) in Indonesia (2013) | - | English, Bahasa Indonesia | http://forclime.org/images/stories/documents/Book_of_Principles_Criteria_and_Indicators_for_REDD.pdf (consulted 16 August 2013) | |
| Laos | | | | |
| GIZ: Free, Prior and Informed Consent (FPIC) in the Legal Context of Lao PDR (2011) | - | English | | |
| Feasibility and Appraisal study "Cash for REDD+ scheme" within the framework of the CliPAD project, Lao PDR (2012) | - | English | | |
| Free, Prior and Informed Consent REDD+ Jurisdictional Approach | - | English | | Guideline on how to implement FPIC within a Jurisdictional and Nested REDD+ program (not yet published) |
| REDD+ related risks, opportunities and safeguards for biodiversity conservation – A survey of issues and options in Lao PDR and Ecuador: Synthesis Report. GIZ. 2012 | | English | http://www.giz.de/Themen/de/dokumente/giz2012-redd-safeguards-study.pdf | |
| Philippines | | | | |
| GIZ: Assessment of the Implementation of Free and Prior Informed Consent (FPIC) in the Philippines (2013) | - | English | Policy brief: http://climatechange.denr.gov.ph/index.php?option=com_docman&task= | Policy Brief is published; Full study to be published soon |

| Organization/title/year of publication | Co-funding | Languages | Source/access | Type and use of instrument |
|---|------------|---|--|--|
| | | | doc_download&gid=113&Itemid=4 | |
| GIZ: Who owns the carbon in the trees? (2013) | - | English | Policy brief: http://climatechange.denr.gov.ph/index.php?option=com_docman&task=doc_download&gid=112&Itemid=4 | Policy Brief is published; Full study to be published soon |
| Pacific Islands | | | | |
| GIZ: Forest Carbon Rights report, 2012 | | English | http://www.spc.int/lrd/index.php?option=com_docman&task=cat_view&gid=378&Itemid=48 | |
| GIZ, SPC: Regional REDD+ Policy Framework, 2012 | | English | | |
| GIZ: Feasibility Studies for potential pilot sites, 2011-2013 | | English | http://www.spc.int/lrd/index.php?option=com_docman&task=cat_view&gid=378&Itemid=48 | The study development is done in participation of local communities and serves initial awareness and information |
| Community involvement in Forest Inventory | | | | Training as well as initial awareness and information |
| Fiji REDD+ Policy | | English, being translated to Fijian and Hindi | http://www.spc.int/lrd/index.php?option=com_docman&task=cat_view&gid=211&Itemid=48&limitstart=5 | |
| Fiji REDD+ Policy Scoping Report | | English | http://www.spc.int/lrd/index.php?option=com_docman&task=cat_view&gid=211&Itemid=48&limitstart=20 | |

Annex 3. Overview of interventions of TC programmes on REDD+ safeguards in the SE Asia and Pacific regions

Coping with Climate Change in the Pacific Island Region (BMZ) 2009-2015

| FIJI | | | |
|--|---|--|--|
| | Partner country activity | GIZ/KfW programme activity at national/policy level | GIZ/KfW programme activity at implementation level |
| General activities on REDD+ safeguards and/ or co-benefits (including on setting up REDD+ SIS) | National REDD+ Policy and draft National Strategy emphasize safeguards. National instruments are in place to ensure compliance of safeguard requirements by all REDD+ projects. | Since 2009 GIZ has been supporting Fiji with REDD+ policy and national strategy development and institutional capacity building on safeguard components. | Establishment of pilot sites to establish Fiji methodology for ensuring the implementation and monitoring of safeguards at sub-national level. |
| Activities on specific REDD+ safeguards (as listed in Annex 1 COP 16 Decision) | | | |
| a) Actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements | The following are some policies and plans that require the implementation of safeguards and REDD+ implementation adheres to these directives provided: 1. The Roadmap for democracy and sustainable socio-economic development 2009–2014 2. Fiji National Forest Policy 3. Fiji Climate Change Policy (policy principles ensure safeguards are considered in all areas of implementation) 4. The Ministry of Fisheries and Forests Corporate Plan | Support of the development of the REDD+ Policy and Strategy that makes reference to existing national and international documents and agreements on pertaining to safeguard issues | |

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| <p>b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty</p> | <p>Formalisation of the Fiji REDD+ Steering Committee in May 2011. The committee serves to ensure that a transparent and effective multi-stakeholder (including landowner reps) governance process is followed and that the safeguards identified under the REDD-Plus Policy are considered (excerpt from Committee TOR).</p> | <p>Support of the establishment of the REDD+ committee and serves as secretariat. Training workshops for each committee member constituencies (each sector) to allow for more informed decision-making.</p> | <p>Support of the inclusion of REDD+ into national forestry awareness programmes targeting local communities.</p> |
| <p>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</p> | <p>1. Incorporation of UNDRIP and UNCSICH in the REDD+ Policy 2. The Ministry of Indigenous Affairs and Landowner representatives are members of the National REDD+ Steering Committee 3. Development of national REDD+ implementation guidelines that focus on safeguarding indigenous knowledge and rights Note: Fiji land is almost 90% owned by Indigenous Peoples and legal frameworks are already in place to safeguard their rights.</p> | <p>1. Support of the development of an organizational REDD+ Policy for the iTaukei (Indigenous) Land Trust Board. 2. Consultation workshops and training of the Ministry of Indigenous Affairs on specific issues relating to Indigenous Rights for the development of national REDD+ implementation guidelines.</p> | <p>Support of the cultural mapping (undertaken by the Ministry of Indigenous Affairs) for all REDD+ pilot sites.</p> |
| <p>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</p> | <p>Development of Fiji FPIC process and institutionalizing the guidelines within all Ministries.</p> | <p>Promotion of and awareness raising for FPIC to REDD+ stakeholders Documentation of field experience to feed into the development of the Fiji FPIC process</p> | <p>FPIC process followed and experiences documented during consultations on establishment pilot site.</p> |

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| <p>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</p> | <ol style="list-style-type: none"> 1. REDD+ Policy does not allow the conversion of natural forests 2. Monitoring will be closely linked to the reporting of the National Biodiversity Strategic Action Plan implementation 3. National awareness on protection of eco-system services and REDD+ co-benefits 4. Development of REDD+ pilot site criteria that safeguards against loss of biodiversity | <p>Resource mapping of potential REDD+ activity sites – identifying areas of high biodiversity for conservation</p> | <p>Biological/ethno-botanical surveys as part of baseline information for pilot sites and to provide basis for monitoring biodiversity</p> |
| <p>f) Actions to address the risks of reversals</p> | <p>Draft REDD+ Strategy calls for the introduction of penalties for REDD+ Projects that default on their commitment – this component is still under development</p> | | <p>Cost-benefit analysis in the feasibility phase</p> |
| <p>g) Actions to reduce displacement of emissions</p> | <p>Fiji REDD+ Steering committee representing the various sectors in Fiji (including the main drivers of deforestation) are working on how to formalize land use planning agreements</p> | <p>Support of multi-stakeholder national land use planning that takes long-term REDD+ activities into consideration</p> | <p>Support of pilot site land use planning with local communities</p> |

ACRONYMS

UNCSICH UN Convention for the Safeguarding of the Intangible Cultural Heritage

Climate Protection through Avoided Deforestation Programme (CliPAD) - 2009 - 2018(BMZ)

LAO PDR

| | Lao PDR - Partner country activity | GIZ/KfW programme - CliPAD (BMZ) | GIZ/KfW programme activity at implementation level |
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| General activities on REDD+ safeguards and/or co-benefits (including setting up of SIS REDD+) | The FCPF R-PP and FIP are the current guiding reference documents on REDD+ and stipulate the integration of safeguards and co-benefits. | CliPAD supports the legal and institutional set up for REDD+ implementation, including biodiversity and social safeguards components in an early stage. | Establishment of pilot activities for implementation and monitoring of safeguards at sub-national level. JNR VCS and REDD+ SES verification intended for the target districts FPIC piloting in the former REDD+ project was already conducted, however, not completed due to general conceptual changes. |
| Activities on specific REDD+ safeguards (as listed in Annex 1 COP 16 Decision) | | | |
| a) Actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements | National biodiversity strategies and other relevant policies that require the implementation of safeguards and REDD+ implementation adheres to these directives provided; 1. National Biodiversity Strategy and Action Plan (2004) 2. National Strategy on Environment to the Year 2020 (2004) with the 'Action Plan for the Years 2006-2010', and 'The Second Five Year National Environmental Action Plan' (2011-2015) of 2011 3. Forestry Strategy 2020 (2005) 4. Agriculture Development Strategy (2010) | CliPAD is in line with the Forestry Strategy 2020 and the Climate Change Strategy. CliPAD objectives are included in the Five Year Development Plans of the Ministry of Agriculture and Forestry and subsequently with MoNRE. CliPAD activities are coordinated according to the donor coordination platform within the forestry sub-sector group. | |

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| | <p>5. Climate Change Strategy (2010) 6. Environmental Protection Law (2012) 7. Prime Minister Degree on Strategic Environmental Impact Assessment (Draft Version)</p> | | |
| <p>b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty</p> | <p>REDD+ Taskforce as the national REDD Steering Committee (established in 2011) consists of 14 agencies, including representatives for gender (Lao Woman Union) and ethnic groups (Lao National Front for Construction) is responsible for the cross-sector and multi-stakeholder cooperation. The REDD+ Taskforce formally shifted from MAF to MoNRE.</p> | <p>CLiPAD supports the establishment of a REDD+ Office and Technical Working Groups (TWG), two of the proposed seven TWGs are covering safeguard related issues (Benefit Sharing, Ethnic Groups and Local Community Participation). Once established, the programme will conduct training workshops for each TWG to allow more informed decision making processes. In addition, the programme is involved in awareness building on REDD+. CLiPAD has the mandate to support the revision of the forest law and is involved in the determination of an appropriate forest definition for REDD+. A first draft of the new forest law has been developed in a participative way including a multi-sectoral consultation process. KfW CLiPAD has developed a benefit sharing distribution system for the KfW investments.</p> | <p>Awareness building on REDD+ at community level in cooperation with the Faculty of Law (Community Legal Education), and piloting the FPIC process in 8 villages.</p> |

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| <p>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</p> | <p>The government promotes a policy of 'ethnic harmony'. Indigenous Peoples rights are not officially acknowledged, all Laotians are considered equal in front of the law. The term ethnic groups are consistently used in Lao PDR. Lao PDR has signed the UNDRIP declaration; however, understanding of the content within the government is still limited.</p> | <p>CLIPAD has conducted a legal analysis regarding the framework for FPIC in the context of Laos and supported a Laotian civil society group in building capacities to address this new topic.</p> | <p>Support of participative land use planning (PLUP), taking into account customary land tenure and cultural land systems. Piloting of FPIC process already done for the formerly designed REDD+ project. However, not completely finished due to conceptual changes. Further development of FPIC towards the new jurisdictional REDD+ approach.</p> |
| <p>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</p> | <p>The REDD+ Taskforce includes representatives for ethnic groups and gender. These are represented through the Lao Woman Union and the Lao National Front for Construction, two mass organizations representing these stakeholders in the Lao context. However, independent representatives of Indigenous Peoples and local communities do not exist yet in Lao PDR. The involvement of civil society is relatively low and remains rather difficult.</p> | <p>Based on piloting FPIC at the project level, voluntary FPIC guidelines have been developed and are currently under discussion within the Lao Government (Department of Forestry). Further conceptual work on FPIC at the jurisdictional level is on the way. Promotion and awareness of FPIC to REDD+ stakeholder in cooperation with a local NGO (LBA).</p> | <p>Stakeholders were introduced, consulted and familiarized with REDD+ project concepts, implementation and potential REDD+ benefits. FPIC process implementation at village level with support of LBA. Following REDD+ SES guidelines, CLIPAD intends to develop an approach to implement FPIC at jurisdictional level in one of the northern provinces.</p> |

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| <p>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</p> | <p>DoF supports the idea of REDD+ implementation in and around NPAs, however, the financial feasibility of this approach is now questioned through results from detailed technical feasibility studies. At present, Lao PDR has completed the FCPF's R-PP, which includes some first provisions on how environmental safeguards could be addressed.</p> <p>During further FCPF-Readiness process, Lao PDR will be expected to develop a 'Strategic Environmental and Social Assessment' (SESA). According to FCPF (2011), the objective of the SESA is to develop country-specific frameworks and guidelines that comply with World Bank safeguards.</p> <p>In terms of monitoring, there is a preference for government monitoring followed by 3rd party verification. DoF has the intention to capitalize on the '+' in REDD+ through assisted natural regeneration and in some cases enrichment planting. A Prime Minister Degree on Protection Forest stipulates a 1% contribution from the revenues towards forest protection. Several piloting of 'Payments for Environmental Service schemes' are underway. The PES concept is in line as government policy turning land into capital. It is foreseen that the new forest law includes PES.</p> | <p>ClipAD pursues jurisdictional REDD+ approaches. A biodiversity monitoring scheme is being developed by WCS. The implementation of the Houaphan provincial REDD+ strategy will orient towards REDD+ SES in terms of principles, criteria and indicators. A study by IWP on biodiversity safeguards was supported by ClipAD and gives some recommendations on how to address the issue of biodiversity safeguards in Lao PDR.</p> | <p>ClipAD implements REDD+ activities with conservation NGOs (WCS). A Baseline Assessment will be implemented to be able to measure impacts of REDD+ measures on biodiversity. A socio-economic baseline study will also be conducted within the REDD+ jurisdictional target district as basis for a socio-economic impact assessment. ClipAD works towards the establishment of performance based conservation contracts with local communities.</p> |
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|---|--|---|---|
| f) Actions to address the risks of reversals | <p>Intention to categorize tree plantations separately in the forest/land use classification. At present, rubber plantations are included according to the forest definition but palms and bamboo are excluded.</p> | <p>Introduction by CliPAD of REDD+ relevant provincial, district planning process integrating a multi-sector approach. Specific inclusion of relevant stakeholders besides the planning process (e.g. military) has been followed in the re-designing of the jurisdictional REDD+ approach.</p> | |
| g) Actions to reduce displacement of emissions | <p>REDD+ Office and REDD+ Division have been established formally. The leadership of REDD+ has shifted to MoNRE. The responsibilities for REDD+ have been clarified. A new initiative mandated by the Environmental Protection Law promotes Integrated Spatial Planning (ISP) and implementation has been initiated at provincial level; however, parallel spatial planning processes are still in place. Lao PDR is considering a jurisdictional nested REDD+ approach. Therefore, stakeholder coordination among government agencies is challenging.</p> | <p>CliPAD supports the development of a national MRV system and engages in 'carbon sensitive land use planning'. The programme supports multi-stakeholder national and provincial land use planning that takes long term REDD+ activities into consideration. CliPAD is contributing to the integrated spatial planning process in Sayaboury province. Work on REL on provincial level and ways of incorporating development adjustments in the REL. (This work has not started yet).</p> | <p>A specific consultation in the planning of the jurisdictional approach with the military regarding special military zones has been done in order to avoid misunderstandings and conflicts in the future.</p> |

ACRONYMS

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|--------------|---|
| DoF | Department of Forestry |
| FCPF | Forest Carbon Partnership Facility |
| FIP | Forest Investment Programme |
| ISP | Integrated Spatial Planning |
| KfW | Kreditanstalt für Wiederaufbau |
| LBA | Lao Biodiversity Association |
| MAF | Ministry of Forestry |
| MoNRE | Ministry of Natural Resources and the Environment |

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|---------------|--|
| NP | Nam Phoui |
| NPA | National Protected Area |
| PDD | Project Design Document |
| PLUP | Participative Land Use Planning |
| R-PP | Readiness Preparation Plan |
| TWG | Technical Working Groups |
| UNDRIP | United Nations Declaration on the Rights of Indigenous PeoplesIndigenous Peoples |
| WCS | Wildlife Conservation Society |

Climate Protection through Forest Conservation in Pacific Island Countries (BMU) 2010-2015

**Pacific Region (Fiji, Papua New Guinea, Solomon Islands, Vanuatu)
Secretariat of the Pacific Community (SPC) as regional partner agency**

| | Partner country activity | GIZ project - Climate Protection Pacific | GIZ project activity at implementation level |
|---|---|---|---|
| General activities on REDD+ safeguards and/or co-benefits (including setting up SIS REDD+) | Development of a Pacific Regional REDD+ Policy Framework with provisions for safeguards and co-benefits; | Fully and only supported by GIZ /ICI regional REDD project | |
| Activities on specific REDD+ safeguards (as listed in Annex 1 COP 16 Decision) | | | |
| a) Actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements | Part of SPC Climate Change engagement strategy; | | |
| b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty | Concept for a regional information platform, connected to REDD Desk, support of national information platforms, and use of SPC website for uploading publications and help desk function to support transparency of REDD+ implementation; | | |
| 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 | | Forest Carbon Rights legal analysis in Fiji, Papua New Guinea, Solomon Islands and Vanuatu; recommendations for and law reform; regional summary for Melanesia, | |

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|---|---|--|--|
| <p>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</p> | <p>Participatory development of regional REDD+ Policy Framework</p> | <p>Support of consultation process for regional REDD+ Policy Framework development;</p> <p>Capacity building for non-government stakeholders</p> | <p>Facilitate FPIC processes in pilot sites in Nakavu / Fiji, Milne Bay /Papua New Guinea, Choiseul /Solomon Islands and Santo / Vanuatu</p> |
| <p>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</p> | | | |
| <p>f) Actions to address the risks of reversals</p> | | | |
| <p>g) Actions to reduce displacement of emissions</p> | <p>Analysis of regional drivers of deforestation</p> | <p>Facilitation of analysis</p> | |

Forest Policy and Piloting of REDD+ (BMU) 2009 - 2013; National REDD+ System Philippines (BMU) 2012 - 2017

PHILIPPINES

| | Partner country activity | GIZ/KfW programme - Forest Policy and Piloting of REDD+; National REDD+ System Philippines (BMU) | GIZ/KfW programme activity at implementation level |
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| General activities on REDD+ safeguards and/or co-benefits (including setting up SIS REDD+) | <p>The Philippine National REDD-Plus Strategy (PNRPS), a multi-stakeholder strategy for REDD-Plus, recognizes the opportunities of REDD+ to generate social and environmental co-benefits as well as achieving improved governance. The strategy includes the establishment of clear social, environmental and governance safeguards as a core activity during the Readiness Phase. The Philippines is undergoing a two-track approach in the development of safeguards and of a Safeguards Information System (SIS). On the one hand, existing safeguards, in form of policies, laws and/or guidelines, remain in place and effective. On the other hand, the process of developing operational safeguards specifically for REDD-Plus as well as the REDD+ SIS is on-going. This process includes the elaboration of a safeguards framework and the subsequent development and field testing of safeguards guidelines. With support of the UN-REDD Programme a draft version of the guidelines is being developed and will be submitted to the National Multi-Stakeholder REDD+ Council (NMRC) for</p> | <p>The joint DENR-GIZ REDD-Plus project National REDD+ System Philippines aims, in its Component 3, at the integration of ecological, social and governance safeguards in the implementation of REDD+ in the Philippines, including building capacities and setting up a Safeguard Information System (SIS). In the previous Forest Policy and Piloting of REDD+ project, GIZ produced a set of analytical papers that focused on forestry policy, carbon rights, land tenure instruments, drivers of deforestation and free & prior informed consent, informing existing systems, structures, policies and practices that affect and impact REDD+ safeguards, as well as in identifying gaps that the Project and other related initiatives could respond to and fill.</p> | <p>Component 3 of the REDD+ project particularly deals with safeguard development and field testing in pilot projects.</p> |

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| | <p>its approval. While technical and operational aspects need yet to be further elaborated, the PNRPS proposes that at the National level the NMRC functions as the national entity that ensures safeguards and safeguard compliance.</p> | | |
| <p>Activities on specific REDD+ safeguards (as listed in Annex 1 COP 16 Decision)</p> | | | |
| <p>a) Actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements</p> | <p>The Philippine National REDD-Plus Strategy (PNRPS) was approved by the Department of Environment and Natural Resources (DENR) Executive Committee on August 9, 2010. The strategy not only envisions enhanced carbon stocks and reduced greenhouse gas emissions but also co-benefits for biodiversity conservation and community development. The PNRPS is an integral part of the National Climate Change Action Plan (NCCAP) which was approved by President Aquino 22 November 2011.</p> <p>Objectives are consistent with the Philippine Master Plan for Forest Development, the Executive Orders on Community Based Forest Management (CBFM) and Sustainable Forest Management (SFM). Existing Philippine Laws are complemented, such as the National Integrated Protected Areas System (NIPAS), Indigenous Peoples' Rights Act (IPRA), Climate Change Act (CCA) and the Local Government Code</p> | <p>The BMU REDD+ Project supports the PNRPS multi-stakeholder process with specific inputs into REDD+ governance, MRV system, building capacities for REDD+ and streamlining and harmonization of forest policy at the national level in line with overall climate policies and strategies.</p> <p>Linkages are established to the NLBI pilot implementation. Activities undertaken under the safeguard component of the REDD+ project are informed by and consistent with international processes and developments in the fields of safeguards and climate finance, such as under the UNFCCC, FCPF and GCF.</p> | <p>The REDD+ Project supports the piloting of REDD+ activities at the field level in line with national policies, e.g. CBFM strategy, National Framework Strategy on Climate Change; NCCAP. In the development of safeguards and the safeguard information system, the REDD+ project considers best practices from other countries and international guidance.</p> |

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| | <p>of the Philippines.</p> <p>The Philippines is participating in the pilot implementation of the Non-Legally Binding Instrument (NLBI) on All Types of Forests under the United Nations Forum on Forests (UNFF) and has been part of the national forest programme facility that promotes full and effective participation of major stakeholders identified under UNFF, among others. The Philippines is signatory to the following safeguard-relevant international conventions: United Nations Framework Convention on Climate Change (UNFCCC), Convention on Biodiversity (CBD).</p> <p>The PNRPS is consistent with the 6 core international treaties on human rights framework as well as the UNDRIP.</p> | | |
| <p>b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty</p> | <p>The PNRPS proposes a governance approach to REDD-Plus that recognizes the need for national-level REDD-plus oversight and management but prioritizes the decentralization of natural resources management. It is envisioned that a National Multi-stakeholders REDD-plus Council (NMRC) be established. As for the status of the NMRC in June 2013, an interim NMRC had a consultation meeting on March 4, 2013. It was agreed that local processes be supported to finally select the respective representatives of sectors, organizations and agencies. The process is still on-going.</p> | <p>The Project supports the establishment of the NMRC and decentralized REDD+ governance mechanisms, and co-share in the capacity development of the proposed NMRC.</p> <p>Further, GIZ supports the establishment of a national REDD+ coordination mechanism for related projects.</p> | <p>GIZ supports a Provincial Technical Working Group on CBFM and REDD+ in the pilot site of Southern Leyte Province. A sub-national multi-stakeholder REDD-plus Council is also to be established in Leyte Island that will be composed of relevant stakeholders from the national government agencies, civil society organizations, local government units and the private sector. Similar structures will be put in place in three project sites under the framework of the National REDD+ System project.</p> |

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| <p>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</p> | <p>The Philippine government enacted Republic Act 8371, the Indigenous Peoples' Rights Act (IPRA) in 1997. The law recognizes and promotes all the rights of indigenous cultural communities within the framework of national unity and development. The law also created the National Commission on Indigenous Peoples (NCIP). Guidelines were issued by the NCIP for the formulation of ancestral domain management plans (2004) and also on Free and Prior Informed Consent (FPIC) in 2006.</p> <p>The seven ethnographic regions of the country are represented by respective IP/ICC leaders in the NMRC. In addition, the CBFM communities are likewise represented through the major islands of Luzon, Visayas and Mindanao. Hence, the IPs/ICCs and LCs have ten seats in the NMRC. This was made possible through the consultative sessions made by the Climate Change Commission and officially supported by the CBFM Convention Resolution in January 2013.</p> | <p>The NCIP, GIZ and the Non-Timber Forest Products Exchange Program for South and Southeast Asia (NTFP-EP) entered into a Memorandum of Agreement to undertake an independent evidence-based assessment of the FPIC implementation which forms the basis for the NCIP to amend their FPIC guidelines and facilitate the formulation of related policies and protocols. The resulting policy study on FPIC implementation will be used as basis for FPIC processes for REDD+ with IPs and local communities.</p> <p>Further, GIZ intends to support the establishment of a national REDD+ Registry and coordination mechanism to avoid uncontrolled action of 'Carbon Cowboys' and ensure adherence to safeguards.</p> | <p>The Project works with local communities and peoples' organizations on REDD+ activities. Local communities are being informed by awareness raising, consultation and provision of knowledge and capacity building, based on the well-established CBFM approach.</p> |
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| <p>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</p> | <p>Key features of the PNRPS include multi-stakeholder approaches, decentralized forest governance, community focus and participatory planning.</p> <p>Proposed studies include looking into the differentiated impacts of forestry and REDD-Plus activities to women, children and youth. This will inform how they shall participate in the five (5) eligible activities of REDD-Plus.</p> | <p>The Project works with key stakeholders from all sectors (government, private, civil society, academe) and supports the capacity development of the relevant stakeholders at all levels.</p> | <p>GIZ emphasizes participatory land-use planning, co-management agreements and security of tenure / land use rights as a cornerstone for REDD+ implementation. As a mode of implementing REDD+ activities Financing Agreements with Local Government Units, local communities and peoples' organizations are used. This way of delivery is in recognition that these partners are de facto managers of the natural resources in the area.</p> |
| <p>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</p> | <p>The NCCAP includes one key cluster on ecosystem stability and environmental integrity, under which the PNRPS is featured. The PNRPS emphasizes the conservation of natural forests and biodiversity and other ecosystem services and safeguarding environmental and social benefits of forests. The PNRPS is also in line with the provisions made in Philippine legislation on conducting Environmental Impact Studies under the Environmental Impact Statement System.</p> <p>There is a proposal for the protection of existing natural habitats and/or natural forests and providing incentives for participating communities.</p> | <p>One objective of the REDD project is conservation of biodiversity and livelihoods. One project indicator refers to biodiversity conservation agreements as part of an incentive system for forest and biodiversity protection.</p> <p>The project has supported a regional Expert Workshop on co-benefits and safeguards to raise awareness and share experience on related approaches, nationally and internationally. All REDD+ measures in pilot areas are in compliance with standards that ensure biodiversity conservation.</p> | <p>Forest Resources Assessment is being implemented within the Leyte Island to assess the state of the forest resources, determine carbon stocks and detect land use changes. The FRA includes assessments on flora.</p> <p>Together with the UNDP-GEF New Conservation Areas of the Philippines Project (NewCAPP) a Biodiversity Baseline Assessment was implemented to be able to measure impacts of REDD+ measures on biodiversity.</p> <p>A Socio-Economic Baseline Study was conducted within and around the REDD+ Project area as basis for a socio-economic impact assessment.</p> |

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| f) Actions to address the risks of reversals | Establish a national forest resources monitoring system Strengthening of the tenurial system to put every inch of forestlands and ancestral domains under management. | Support to MRV; focus on long term tenure and user rights that would ensure forest protection and sustainable management | REDD+ measures for protection and enhancement of forest carbon stocks are being anchored in agreements with local communities and MoAs with local government units. Forest protection arrangements, support structures and tenure security will provide the basis for sustainability. |
| g) Actions to reduce displacement of emissions | The PNRPS takes a scaling-up approach starting with subnational pilot/demonstration sites during the Readiness Phase and scaling up to Provincial and Regional level, while also expanding to new sites and national level; the PNRPS envisages a national MRV wall to wall System to avoid leakage | Support to develop a national MRV system by providing a sub-national MRV model approach that can be up-scaled. | Nested subnational approach and MRV system for whole Leyte Island as part of a national REDD+ system (to be up-scaled within the PNRPS implementation) |

ACRONYMS

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| CBFM | Community Based Forest Management |
| CCA | Climate Change Act |
| DENR | Department of Environment and Natural Resources |
| FPIC | Free, Prior and Informed Consent (in the Philippines: Free and Prior Informed Consent) |
| FRA | Forest Resources Assessment |
| IPRA | Indigenous Peoples' Rights Act |
| NCIP | National Commission on Indigenous Peoples |
| NewCAPP | New Conservation Areas of the Philippines Project |
| NIPAS | National Integrated Protected Areas System |
| NMRC | National Multi-stakeholders REDD-plus Council |
| NTFP - EP | Non-Timber Forest Products Exchange Program for South and Southeast Asia |
| PNRPS | Philippine National REDD-Plus Strategy |
| SFM | Sustainable Forest Management |
| UNDP-GEF | United Nations Development Programme – Global Environment Facility |

Climate Protection Pacific (BMU) 2010-2015

MELANESIA

| | Partner country activity | GIZ/KfW programme - Climate Protection Pacific (BMU/IKI) | GIZ/KfW programme activity at implementation level |
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| General activities on REDD+ safeguards and/ or co-benefits (including setting up of SIS REDD+) | Start to develop REDD+ Policies and strategies (Sols, Vanuatu); Endorse national strategies (Fiji, PNG) ; Support of R-PP development in Fiji and Vanuatu, with emphasis on safeguards | Partial support by GIZ /IKI regional REDD project in coordination with other partners (FCPF, UN REDD, BMZ) | Selection of demonstration sites in 4 countries (Fiji, PNG, Solomons and Vanuatu). |
| Activities on specific REDD+ safeguards (as listed in Annex 1 COP 16 Decision) | | | |
| a) Actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements | Embedding of Forest and REDD policies into national Climate Change and Low Carbon strategies | Advisory services | |
| 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 | | National carbon rights and law reform study in four countries (Fiji, PNG, Solomons and Vanuatu). | |

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| <p>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</p> | <p>National representative REDD steering structures are under development (Sols, Vanuatu);</p> | <p>Support to be determined</p> | <p>Participatory mapping of pilot sites for demonstration activities;</p> <p>Prior information/training of local stakeholders.</p> |
| <p>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</p> | | | <p>Selection of demonstration sites according to biodiversity values. Following “ridge to reef” approach on islands.</p> |
| <p>f) Actions to address the risks of reversals</p> | | | <p>Feasibility studies are being conducted on project level, which show the long-term advantage of income through REDD+ compared to logging. This is being promoted actively, though the decision on land use is entirely in the hands of the land owners and users.</p> |
| <p>g) Actions to reduce displacement of emissions</p> | | <p>The Pacific Regional REDD+ Policy Framework deals with the issue of displacement of emissions. If the larger forested PICs implement and enforce REDD+ effectively, transboundary shifts of logging operations will not be possible.</p> | |