Results sheet for REDD+ Social and Environmental Standards Initiative: Phase 3 – Expansion and Integration

Name of organization: CARE Norway


2) Project summary
REDD + SES consists of principles, criteria and indicators which define the necessary conditions to achieve high social and environmental performance, including governance, rights and social and environmental impacts. They support the design, implementation and evaluation for government led REDD+ programs at national or state/provincial level that may be financed through funds and/or market based financing, through a country led-, multi stakeholder process that starts with the development of country-specific indicators, involving also civil society and private sector and providing a mechanism for reporting on how safeguards are being addressed and respected throughout the implementation of REDD+ activities.

3) Project information:
- **Support period**: January 1st 2012 to February 28th 2013
- **Budget frame**: GLO-0608QZA NOK 5,9 000 000
- **Expenditures to date**: NOK 5,726,810.
- **Other donors**: Ford Foundation provided a grant of $200,000 over the period March 2012 to June 2013 to support the institutionalization of REDD+ SES in Acre State in Brazil and expand activities to strengthen the gender dimension of REDD+ SES. The REDD+ SES Initiative was supported in Phase 1 (2009) by the David and Lucille Packard Foundation, in Phase 2 (2010-2011) by the Gordon and Betty Moore Foundation, and is continuing in Phase 4 (2013-2015) with support from Norad.
- **The overall goal of the project (by 2020)**: Effective social and environmental standards for REDD+ programs make a substantial contribution to human rights, poverty reduction and biodiversity conservation goals while avoiding social or environmental harm in developing countries participating in the REDD+ SES initiative.
- **Target group**: As this is a global initiative, the target group is defined broadly as Indigenous Peoples and other forest-dependent people. Four out of the eight principles of the REDD+ SES focus on poverty reduction and protection of human rights with special attention to more vulnerable groups.
- **Local partners and their responsibilities in the project:**

<table>
<thead>
<tr>
<th>Country/State/Province</th>
<th>Local partner</th>
</tr>
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<tbody>
<tr>
<td>Acre State, Brazil</td>
<td>Institute of Climate Change and Regulation of Ecosystem Services of the Government of the State of Acre, CARE Brasil</td>
</tr>
<tr>
<td>Ecuador</td>
<td>Under-secretariat of Climate Change of the Ministry of Environment, Conservation International Ecuador, CARE Ecuador</td>
</tr>
<tr>
<td>Tanzania</td>
<td>Forestry and Beekeeping Division, Ministry of Natural Resources, Clinton Climate Initiative, CARE Tanzania</td>
</tr>
<tr>
<td>Nepal</td>
<td>REDD Cell of the Ministry of Forests and Soil Conservation Government of Nepal FECOFUN (national NGO)</td>
</tr>
<tr>
<td>Central Kalimantan, Indonesia</td>
<td>Provincial Government, Clinton Climate Initiative, Indonesia Eco-labelling Institute (LEI)</td>
</tr>
<tr>
<td>Amazonas State, Brazil</td>
<td>State Centre for Climate Change (CECLIMA), Foundation Victory of the Amazon (FVA), CARE Brasil</td>
</tr>
<tr>
<td>San Martin Region, Peru</td>
<td>Environment Secretariat of the Regional Government of San Martin, Conservation International Peru, San Martin REDD Roundtable Social subgroup,</td>
</tr>
<tr>
<td>Guatemala</td>
<td>Ministry of Environment and Natural Resources, Rainforest Alliance Guatemala</td>
</tr>
<tr>
<td>Mexico</td>
<td>National Forestry Commission (Conafor), Junta Intermunicipal del Río Ayuquila, Rainforest Alliance Mexico, The Nature Conservancy Mexico</td>
</tr>
<tr>
<td>East Kalimantan, Indonesia</td>
<td>Provincial Government, Clinton Climate Initiative, Indonesia Eco-labelling Institute (LEI)</td>
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REDD+ SES is intended to be a true multi-stakeholder process with REDD+ governments having a prominent role alongside civil society and private sector, as reflected in the make-up of the International Steering Committee. In other words, while civil society organisations have played a crucial enabling and supporting role, and must continue in this role for a few more years, the effectiveness and sustainability of the initiative depends on civil society becoming no more than an equal partner in the Initiative over the medium to longer term. The experience of CARE and the Climate, Community & Biodiversity Alliance (CCBA) in fostering true partnership with a wide range of southern and northern partners that empowers the partners to take a leading role, and recognises the time-bound role of CARE and CCBA, has also been crucial to the success of the REDD+ SES initiative.

Exchange and learning field trip to women’s group involved in REDD+, Central Kalimantan Indonesia

- Activity profile

**Component 1: Integration of safeguards mechanisms** - A unified country-led process for effective and efficient integration of safeguards mechanisms and their governance arrangements has been developed and is being applied in six countries

**Component 2: Support for the use of REDD+ SES in new and existing countries** - Six new countries have joined the REDD+ SES Initiative alongside the existing five countries

**Component 3: Revision of REDD+ SES and guidance** - Standards and guidance to support the use of REDD+ SES have been strengthened and streamlined, and aligned with other relevant safeguards mechanisms

**Component 4: Learning and dissemination** - Country-to-country learning processes have strengthened and streamlined use of the REDD+ SES and captured learning for wider dissemination

**Component 5: International governance and process** - The International Standards Committee and International Secretariat have been strengthened and long term institutional and financial arrangements for the REDD+ SES Initiative have been explored.

4) Justification of project: **Defining and building support for high social and environmental performance of REDD+.**

While activities that reduce emissions from deforestation and forest degradation (REDD) and contribute to conservation, sustainable management of forests and enhancement of forest carbon stocks (REDD+) have the potential to deliver significant social and environmental co-benefits, many have also highlighted the serious risks, particularly for Indigenous Peoples and local communities. Recognizing growing awareness at both international and national levels of the need for effective social and environmental safeguards, the REDD+ Social and Environmental Standards (SES) initiative aims to define and build support for a higher level of social and environmental performance from REDD+ programmes, complementing and strengthening other safeguards such as those of the Forest Carbon Partnership Facility and UN-REDD. The **purpose** of the REDD+SES initiative (2012-2013) is to define and build support for a higher level of social and environmental performance from REDD+ programmes in developing
countries participating in the initiative. The long term impact goal of this project is framed in terms of the contribution of REDD+ to respecting human rights, poverty reduction and biodiversity conservation (taken in the broadest sense to mean the conservation of biodiversity and other ecosystem services). The project’s theory of change assumes that an effective Safeguards Information System (SIS) based on REDD+SES has a central role to play in both enhancing the positive social and environmental impacts of REDD+ and avoiding negative impacts (harm). Furthermore, the positive social environmental impact of REDD+ goes beyond impacts directly related to addressing the drivers of deforestation (e.g. tenure reform, equity in benefit sharing, improved forest governance, sustainable intensification of agriculture), to supporting broader efforts to protect, respect and fulfil human rights (e.g. enhanced access to education), promote gender equality, and leverage wider sustainable development impact. In supporting the development and implementation of an effective SIS for REDD+ this project also has an important role to play in enhancing the viability and sustainability of REDD+ itself. Measures that enhance the social and environmental benefits of REDD+ will prove increasingly vital as political and economic pressures to convert forests for agriculture inevitably increase.

5) Results: REDD+ SES used by 10 countries, supporting their development of safeguards information system

Significant progress has been made achieving nearly all the expected results, in particular with six new countries starting to use REDD+ SES and completion of a full revision to finalise Version 2 of the Standards and the Guidelines.

It is too early to report on impact towards the program goal, however the following has been achieved

- Ten countries are using REDD+ SES and reporting benefits in terms of social and environmental performance: Acre-Brazil, Amazonas-Brazil, Ecuador, Guatemala Central Kalimantan-Indonesia, East Kalimantan-Indonesia, Liberia, Jalisco-Mexico, Nepal, San Martin-Peru.
- Eight other country governments have expressed interest in using REDD+ SES: Mato Grosso-Brazil, Mai Ndombe Province-Democratic Republic of Congo, Laos at Province level, Madagascar, Yucatan States-Mexico, Madre de Dios-Peru, Costa Rica and Honduras.
- REDD+ SES is widely cited in publications on REDD+ social and environmental safeguards as a valuable component of a safeguards system: see publications on REDD+ safeguards by Greenpeace Forests & People First, World Resources Institute Safeguarding Forests and People, UN-REDD Policy Brief Putting REDD+ Safeguards and Safeguards Information Systems into Practice, California REDD Offsets Working Group Recommendations, Client Earth Guide for Consistent Implementation of REDD+ Safeguards etc.
- REDD+ SES is acknowledged as providing an important input to the development of safeguards approaches in countries not formally participating in the REDD+ SES process including: Philippines, Vietnam, Colombia, PRISAI in Indonesia, civil society REDD+ safeguards in Brazil, social and environmental standards for REDD+ in DRC etc.

Results by component:

Component 1: Integration of safeguards mechanisms

The REDD+ SES Secretariat has collaborated with UN-REDD and FCPF to develop a unified conceptual framework of the elements and steps for development of a country approach to safeguards. This has been well-received by government and civil society partners in countries since it helps them understand how the different international REDD+ safeguards initiatives can help them in different ways with developing their own approach to safeguards for their REDD+ program.

- 5 countries have established a REDD+ safeguards multi-stakeholder working group/committee that covers all safeguards approaches in their country: Acre-Brazil, Guatemala, Liberia, Nepal, Tanzania.

Component 2: Support for the use of REDD+ SES in new and existing countries

- Six new countries joined the REDD+ SES initiative in 2012: Mexico, Guatemala, Liberia, San Martin Region in Peru, Amazonas State in Brazil, East Kalimantan in Indonesia. All these countries have completed Step 4 of REDD+ SES process, preparing a plan for interpretation. San Martin-Peru is on Step 5 developing draft indicators.
- Nepal and Central Kalimantan are working on their monitoring plans.
- Acre has completed their monitoring plan and is preparing for their first assessment.
- Ecuador has completed a pilot assessment on the Socio Bosque Program.
• Tanzania made little progress with SIS during 2012 beyond initial capacity building and establishment of SIS governance arrangements, but in early 2013 developed a workplan (“roadmap”), and started the process of developing a first draft of country specific indicators.

• Detailed information and supporting documents are available on the relevant country pages of the REDD+ SES website http://www.redd-standards.org/ (note that separate pages provide information on governance, interpretation and assessment related to the use of REDD+ SES in each country).

**Component 3: Revision of REDD+ SES and guidance**

• Version 2 of the REDD+ SES principles criteria and framework of indicators, including a mapping of REDD+ SES onto Cancun safeguards, was produced in September 2012 and widely disseminated. English, French, Spanish, Portuguese and Bahasa Indonesia versions are available at website mentioned above (Nepali version coming soon).

• Version 2 of the REDD+ SES process guidelines was produced in November 2012 and widely disseminated. English, French, Spanish, Portuguese and Bahasa Indonesia versions are available at the website.

• A guide to tools for assessment of social impacts of REDD+ programs has been completed in collaboration with the LISA-REDD initiative.

**Component 4: Learning and dissemination**

• Two international exchange and learning events were held in Tanzania in May 2012 and in Guatemala in October 2012.

• An information note has been developed to provide guidance to country teams on managing multi-stakeholder processes based on the exchange and learning between countries. English, French, Spanish, Portuguese and Bahasa Indonesia versions are available at website.

• Gender action research in Ecuador, Nepal and Tanzania enabled strengthening of gender dimensions in those countries, supported a capacity building session at one of the international exchange and learning workshops, and has led to development of a manual for use by other countries. A report synthesising results of the gender and REDD action research is available at the website.

• The REDD+ SES initiative website has been developed and a new factsheet published to explain experiences and provide guidance for development of SIS and use of REDD+ SES. English, French, Spanish, Portuguese and Bahasa Indonesia versions are available at the website.

**Component 5: International governance and process**

• Revised terms of reference have been adopted for the International Steering Committee (ISC) clearly defining rules for participation, consultation and decision-making.

• ISC membership ensures effective representation of all key stakeholder groups

• An international review mechanism has been developed for REDD+ SES process at country level.

• ISC has initiated a review of options for appropriate arrangements for long term institutional home and financial sustainability.

Exchange and learning workshop, Bogor Indonesia
6) Learning experiences: National level ownership and supporting different uses of REDD+SES is key

- In a country where REDD+SES is used at sub-national level, it is key to involve stakeholders from national level to ensure that the pilot will feed into the national process for developing a country safeguards information system.

- Integration of different international safeguards processes (FCPF, UN-REDD, REDD+ SES) at country level may be challenging due to different timing and funding, and require that the country government assert leadership and ownership of the process to enable coordination. The initiatives should assist this country coordination by using existing multi-stakeholder platforms and carrying out joint capacity building, consultations and workshops.

- Capacity building is needed prior to establishing a multi-stakeholder committee and starting the consultations on indicators. Facilitation teams who provide capacity building to local stakeholders need further support, for instance through the development of capacity building guidelines and materials on safeguards and REDD+SES.

- It is important to have all key documents for the use of REDD+SES available in the language of the countries using REDD+SES to ensure that all stakeholders have access to information.

- While some countries see the value in fully applying the REDD+ SES content and process, others are using some elements of the content or process to guide the development of their safeguards information systems. This is an important use of REDD+ SES which has substantial impact potential, but needs to be distinguished from fully applying the standards. How to manage this range of different ways of using REDD+ SES in order to retain the quality and consistency of an international standard while at the same time maximizing the impact from partial use by a wider group of countries is a key issue that the REDD+ SES Initiative is now addressing in the current phase.

- Countries developing REDD+ safeguard information systems, including countries participating in REDD+ SES, have to date given little attention to the process of collecting and assessing information on performance versus safeguards – the focus has been on the content of the safeguards. However experience from monitoring and evaluation processes across all sectors indicates a real risk that insufficient attention to where and how the information will be collected and assessed may result in major problems of, on the one hand, information overload, and, on the other hand, discovering that the information collected does not actually answer the question being asked. The countries that are furthest ahead with the REDD+SES process, notably Acre, are currently confronting this challenge and it is crucial that REDD+ SES Initiative provides proactive support and guidance. This is a major priority of the current phase of REDD+ SES, and in providing such support and guidance REDD+ SES will continue to have a crucial role to play at both national and international levels in developing policy and practice on REDD+ safeguards, and safeguard information systems.

- The gender action research led by the Women’s Environment & Development Organization (WEDO) in four countries in 2012 led to development of guidance on a stepwise approach to developing a gender sensitive REDD+ program, through i) analysing gender differentiated use, access to and control of forest resources, ii) gender differentiated analysis of positive and negative impacts including risks and opportunities of REDD+, iii) analysis of existing policies, laws and procedures, iv) identification of gender equality and women’s rights issues that the REDD+ program can address and v) concrete suggestions to address gender equality and women’s rights in the REDD+ program. It became clear that the effective implementation of gender sensitive policies requires not only existence of gender sensitive policies and political willingness, also the presence of effective women’s networks (both grassroots and professional, and also technical capacities and knowledge about gender sensitive approaches among government and key stakeholders.

- Change in REDD+ policies and measures needed to increase social benefits and avoid harm will be incremental and it is crucial that key stakeholders, and especially strong advocates of social safeguards recognize this and are willing to trust the process. This learning has been emerging from the experience of REDD+ SES over the last couple of years, with WEDO’s engagement in strengthening the gender dimension of REDD+ safeguards being a very good example.

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1 The REDD+ Social and Environmental Standards (REDD+ SES) Initiative, was launched by CARE and CCBA in May 2009. Over the following two years, this Initiative facilitated an international multi-stakeholder process focused on REDD+ social and environmental safeguards that can be applied to the emerging national and sub-national programmes of policies and measures for REDD+ that form the basis of the international architecture for REDD+.