



Best Practices in  
Governance and  
Biodiversity Safeguards  
for **REDD-Plus:**

Valuing national and field-based  
experiences to catalyze synergy  
between the UNFCCC and CBD

Policy Brief  
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With implementing partners:



Ateneo School of Government  
The Graduate School of Leadership and Public Service



**HELVETAS**  
Swiss Interooperator



Best Practices in  
Governance and  
Biodiversity Safeguards

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## List of abbreviations

CBD	-	Convention on Biological Diversity
CCB Standards	-	Climate, Community and Biodiversity Standards
CFUG	-	Community Forest User Group
ESMF	-	Environmental and Social Management Framework (FCPF)
FCPF	-	Forest Carbon Partnership Facility (World Bank)
FPIC	-	Free and Prior Informed Consent
MRV	-	measurement, reporting and verification
PES	-	payments for ecosystem services
PGA	-	Participatory Governance Assessment (UN-REDD)
PRISAI	-	Principles, Criteria and Indicator Safeguards Indonesia
REDD-Plus	-	Activities to reduce emissions from deforestation and forest degradation, as well as for the conservation of forest carbon stocks, the sustainable management of forests and the enhancement of forest carbon stocks in developing countries
REDD+ SES	-	REDD+ Social and Environmental Standards
R-PPs	-	Readiness Preparation Proposals
SEPC	-	Social and Environmental Principles and Criteria (UN-REDD)
SESA	-	Strategic Environmental and Social Assessment (FCPF)
SIS	-	Safeguards Information System
UNFCCC	-	United Nations Framework Convention on Climate Change
UN-REDD	-	United Nations REDD Programme

# The Swiss-Philippine Initiative and Implementing Partners

Building on the success of the Cancun Agreements which officially set out the parameters of an international REDD-Plus Mechanism, the 2011 Durban Climate Change Conference facilitated agreement among countries that financing for REDD-Plus could come from a diversity of funding sources, and that a Safeguards Information System should be established to address possible risks arising from REDD-Plus activities. Both Cancun and Durban are widely recognized as milestones towards effectively incentivizing reduced emissions from deforestation and forest degradation and implementing innovative rights-based approaches towards ensuring multiple benefits for communities and biodiversity in developing countries.

The Governments of Switzerland and the Philippines continue their close engagement in REDD-Plus discussions with the key objective of ensuring that both nations' strong commitment towards community-based forest management, indigenous peoples' rights, and environmental integrity and biodiversity conservation are reflected in the development and implementation of REDD-Plus internationally and nationally.

In 2011, the Swiss-Philippine Initiative "Towards Building a Governance Framework for REDD-Plus Financing" identified 5 key messages through a multi-stakeholder dialogue that contributed significantly towards framing international and national discussions on REDD-Plus financing and its broader policy implications. The initiative was critical in bringing together the latest thinking as

well as generating informal consensus around the topic.

- 1 The international community should catalyze adequate financing for REDD-Plus in all phases of implementation;
- 2 Unlocking private finance requires demand for REDD-Plus credits and incentives for sustainable investments;
- 3 Planning for REDD-Plus financing should be part of a broader policy approach, which orients investments towards specific country strategies and objectives;
- 4 REDD-Plus payments should cover the implementation and monitoring of environmental, social and governance safeguards; and
- 5 Governments in REDD-Plus countries should ensure balanced investments within and outside the forest sector in order to address all drivers of deforestation and forest degradation.

While momentum for REDD-Plus remains quite high at both international and national levels, Parties find themselves at a critical juncture where they are compelled to take REDD-Plus to the "next level".

Throughout 2012 the Swiss-Philippine Initiative has continued with consultations in Bohol, Philippines and Kathmandu, Nepal. Through this effort, we aspire to elevate the value of national and field-based experiences in early REDD-Plus implementation, and present a set of best practices that we believe will contribute towards taking REDD-Plus to the "next level"—that is towards ensuring practical and synergistic guidance at international level that will support genuine performance and practical results on the ground.



On behalf of Switzerland's Federal Office for the Environment, I wish to give highest priority to this Policy Brief on **Best Practices in Governance and Biodiversity Safeguards for REDD-Plus**.

Good performance in governance and biodiversity safeguards in REDD-Plus represents an indispensable foundation for its successful implementation and allows to effectively address potential risks arising from its activities. Since the outset of the development of REDD-Plus, Switzerland has placed high priority on making sure that safeguards are adequately addressed and respected in order to allow for a successful scaling up of the mechanism.

Our specific interest in contributing to set up enabling conditions for REDD-Plus success is based on the fact that Switzerland has a long history of experience in issues related to forest governance and biodiversity that allow multiple benefits for communities and biodiversity – both nationally, in bi-lateral and multi-lateral cooperation in forest projects, in the UNFF, and in the UNFCCC and CBD.

The Philippines also has promoted the importance of REDD-Plus safeguards in the UNFCCC process and on the ground nationally. The like-mindedness between the two countries has favoured our joint promotion of REDD-Plus safeguards in the frame of a second phase of the Swiss-Philippine Initiative that focused specifically on governance and biodiversity. We strongly believe that safeguards are a common interest of developing and developed countries and therefore require joint efforts.

The stocktaking of available national and field-level experience in the frame of the two exchanges was organized with the aim to make sure that the currently available global experience can further be valued and promoted. This has not only allowed tapping the rich pool of experience and innovative approaches that are currently being applied, but has also enabled a better flow of information between the project level and the conventions.

It is a pleasure for us, jointly with our colleagues from the Philippines, to present to you the compiled experiences, insights and recommendations that experts and field practitioners from all over the world have gathered. We hope with our efforts to make a meaningful contribution to enable the UNFCCC and CBD negotiations come closer together and contribute to overall progress in REDD-Plus.

Ambassador Franz Perrez  
Head of the International Affairs Division  
Federal Office for the Environment

# Message from the Government of the Philippines



The Philippine Climate Change Commission joins the Swiss Federal Office for the Environment in promoting the best practices in governance and biodiversity safeguards for REDD-Plus presented in this Policy Brief.

This second Policy Brief produced by the Swiss-Philippine Initiative brings twice the value because it timely informs the Parties to both the UNFCCC and CBD. As with the previous publication on the **Governance Framework on REDD-Plus Financing**, this Policy Brief encapsulates the experiences, insights and recommendations of experts and field practitioners from all regions of the world. The national and project level lessons will surely contribute to developing more responsive and practical guidance relevant to the governance and biodiversity safeguards during the negotiations under the CBD in Hyderabad and the UNFCCC in Doha this year.



Aside from its value in international negotiations, the Policy Brief also provides lessons for national REDD-Plus programs. The key messages resonate with our own country's challenges in ensuring that REDD-Plus is consistent with our national forest management strategy, and supports the broader goals of inclusive economic growth. We take pride in our pioneering efforts in recognizing and protecting the rights of indigenous peoples and local communities to their resources and to participate in governance. We look forward to developing our own knowledge and information base, including on safeguards implementation, to ensure that climate change mitigation benefits are realized together with, and not at the expense of, improving the quality of life of forest peoples and conserving our country's living resources. We hope that through these efforts we are able to demonstrate to the global community our country's commitment to share the responsibility of caring for the Earth.

On behalf of the Philippine Government, we would like to thank our implementing partners, the Ateneo School of Government and HELVETAS Swiss Intercooperation for once more advancing the discussions on REDD-Plus, and bring to the attention of both the UNFCCC and CBD Parties the need for synergy and convergence in promoting governance and biodiversity safeguards in pursuit of climate change mitigation benefits from the forest sector in developing countries.

  
Naderev M. Saño  
Commissioner  
Climate Change Commission

## REDD-Plus and Biodiversity: Linking the UNFCCC and CBD Processes

There is now increasing recognition that biodiversity is a critical element of REDD-Plus. Where incentives are put in place towards avoiding forest loss, the degradation of habitats and threats to loss of ecosystem services are subsequently mitigated. In many developing countries, the conversion of forestlands to agriculture, urban development and other uses is a major cause of biodiversity loss.

Natural forest ecosystems, goods and services are often not properly valued and managed and their importance under-recognized. Hence REDD-Plus and its multiple benefits are seen as strong arguments against the conversion of forests into plantations and as a powerful model for providing alternative livelihoods to forest communities and promoting the rights of indigenous peoples and local communities.

Under the UNFCCC, REDD-Plus is not merely treated as a platform to reduce emissions from the forest sector. The mechanism is enshrined in the Cancun Agreements with a broad set of biodiversity, social and governance safeguards that are intended to ensure environmental integrity and sustainability, and protect the rights of indigenous peoples and local communities and their relationship to the natural ecosystem.<sup>1</sup> These safeguards are coherent with several international conventions, more saliently the UN Convention on Biological Diversity (CBD).

Under the CBD, there is growing appreciation for the potential of REDD-Plus to contribute to and complement the 2011-2020 Strategic Plan for Biodiversity. The Strategic Plan is a blueprint for action towards establishing global and regional targets to conserve biodiversity, including forest biodiversity, as enshrined in the Aichi Targets.<sup>2</sup>

Several Aichi Targets directly refer to REDD-Plus objectives:

- at least halving, and where feasible, bringing close to zero the rate of loss of all natural habitats including forests and reduce degradation and fragmentation (target 5);

- managing areas under agriculture, aquaculture, and forestry sustainably (target 7);
- conserving at least 17% of terrestrial and inland waters (target 11);
- enhancing the resilience and contribution of biodiversity to carbon stocks through conservation and restoration including restoring at least 15% of degraded ecosystems thereby contributing to climate change mitigation and adaptation and to combating desertification (target 15).

In a technical report<sup>3</sup>, the CBD outlines 8 key messages on the potential of REDD-Plus to enhance biodiversity conservation efforts and vice-versa:

1. The opportunities for REDD-Plus and biodiversity synergies are immense
2. Involving indigenous peoples and local communities is key to the success of REDD-Plus
3. Stable storage of carbon depends on stable and resilient forests
4. A long term holistic approach to spatial planning and analysis is needed
5. Forest restoration ("enhancement of forest carbon stocks") can provide biodiversity benefits
6. Ecological tipping points or thresholds could endanger REDD-Plus efforts
7. Key tools to enhance multiple benefits exist, but need further research and development
8. There are potential risks of REDD-Plus for biodiversity that can be overcome

To support these objectives, the CBD has developed advice on the application of relevant REDD-Plus safeguards for biodiversity and is developing an indicative list of indicators<sup>4</sup> for assessing the impacts of REDD-Plus and its safeguards on biodiversity, as well as their contribution towards achieving the Aichi Targets. This continues to be the subject of a special work program under the CBD, which strategically facilitates progress on the implementation of REDD-Plus safeguards.

<sup>1</sup> FCCC/1CP.16, Appendix 1

<sup>2</sup> UNEP/CBD/COP/DEC/X/2 Annex "Strategic Plan for Biodiversity 2011-2020 and the Aichi Biodiversity Targets"

<sup>3</sup> CBD Secretariat. "REDD-plus and Biodiversity". Technical Series No. 59.

<sup>4</sup> UNEP/CBD/SBSTTA/16/8, Annex; CBD SBSTTA recommendation XVI/7

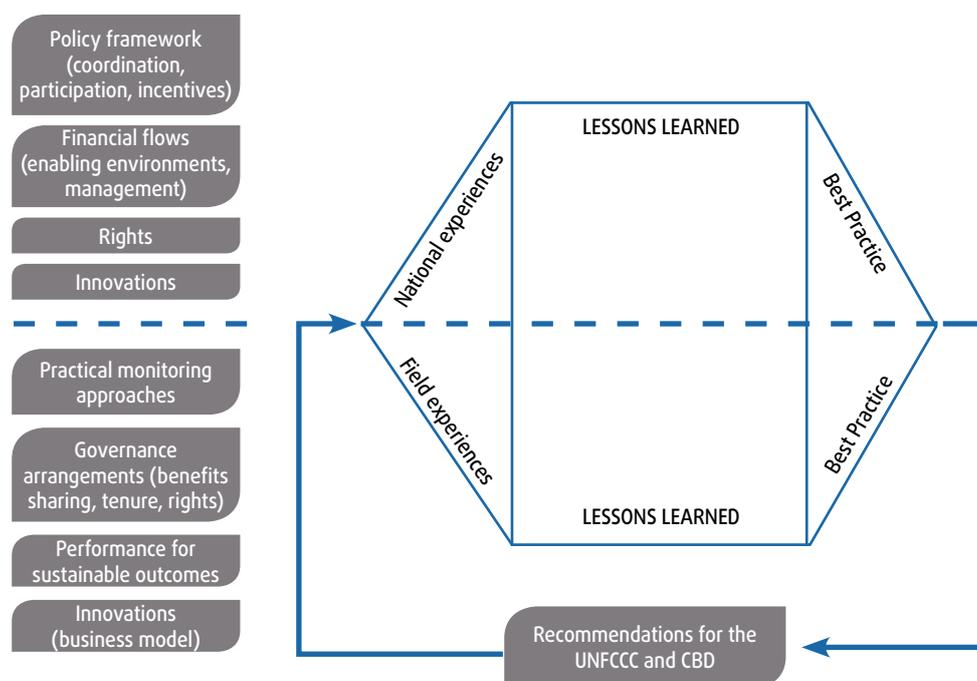
## Taking REDD-Plus to the next level: The value of national and field-based experiences

Indeed, the growing synergy between the UNFCCC and CBD is to be welcomed. If this synergy is to be fully realised for the explicit purpose of preparing and enhancing REDD-Plus towards its “next stage” or its full implementation phase, it is only logical that national and field-based experiences serve as the platform for global discussions on REDD-Plus.

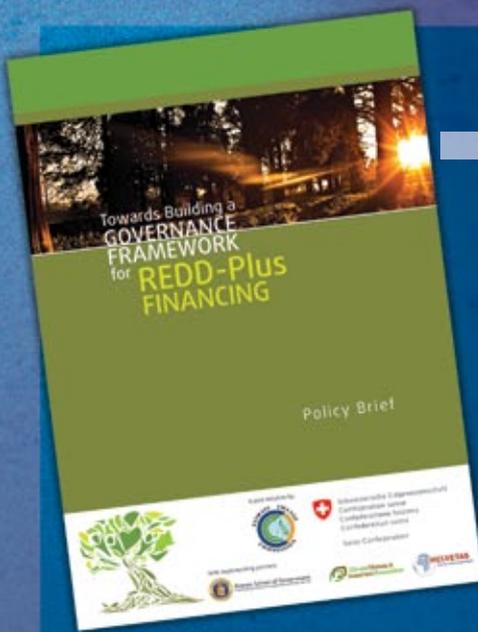
An enormous number of lessons have been generated to date from both national and field-based experiences. Their inherent value lies in their ability to translate concepts and guidance developed under the REDD-Plus mechanism into practical realities, demonstrating the linkages on-the-ground between REDD-Plus, biodiversity and governance. On safeguards alone, we are increasingly learning from experiences that their development and implementation are neither homogenous nor static but realistic and adaptive, indicating the possibility that REDD-Plus is likely to thrive and succeed with practical and decentralized models to address real issues.

The Swiss and Philippine Governments through this initiative, **Best Practices in Governance and Biodiversity Safeguards for REDD- Plus: Valuing national and field bases experiences to catalyze synergy between the UNFCCC and CBD**, divides its key messages into 2 parts:

- (i) Generating lessons learned and crystallizing best practices from national and field based experiences on REDD-Plus development and implementation. The best practices documented and analyzed in this initiative demonstrate how safeguards are dynamically being interpreted at the ground level. This shall contribute towards grounding international and national discussions towards practical REDD-Plus safeguards implementation.
- (ii) Developing synergistic guidance on safeguards in both the UNFCCC and CBD processes, especially on improving REDD-Plus safeguards implementation and the establishment of the Safeguard Information System (SIS)



# BEST PRACTICES IN GOVERNANCE AND BIODIVERSITY



REDD-Plus payment should cover the implementation and monitoring of environmental, social and governance safeguards.



1

REDD-Plus implementation succeeds when it adds value to the overall national forest management strategy and local development goals.

2

Transparency and effective participation in REDD-Plus entail ownership of forest governance structures by empowered local stakeholders.

3

REDD-Plus should demonstrate that it facilitates sustainability of the forest sector by providing multiple benefits, including the conservation of biodiversity and ecosystem services, and the associated rights of indigenous and local communities, particularly in areas of high biodiversity value.

COMPLIANCE INFORMATION

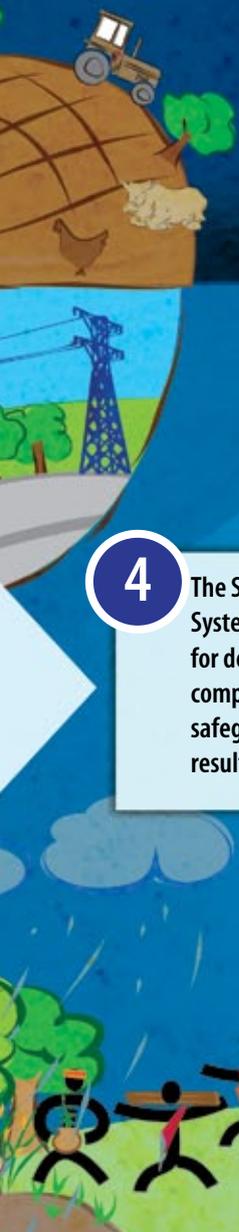


UPFRONT PAYMENT



# SAFGUARDS FOR REDD-PLUS

## FUND SOURCES



**4** The Safeguards Information System is a critical platform for demonstrating compliance with REDD-Plus safeguards that secures results-based payments.

**5** REDD-Plus payment schemes should form part of an innovative and sustainable financing strategy linked to broader performance parameters.



**REDD-Plus Projects  
Result-based performance**



## 1. REDD-Plus implementation succeeds when it adds value to the overall national forest management strategy and local development goals.

Among its safeguards, REDD-Plus should ensure “actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements.”

A clearer picture is now emerging from various national and field experiences that a common challenge is finding a “niche” for REDD-Plus where various forest management strategies and programs already exist in line with national and local priorities, or are being implemented alongside other international agreements.

While there is no lack of comprehensive forest management strategies and programs in REDD-Plus countries which already consider national priorities in protected area management and restoration as well as local plans that address community-level needs for equitable and sustainable access to forestland products, experience shows that countries that develop their REDD-Plus strategies with the explicit purpose of adding value to existing efforts have a much higher chance of succeeding and gaining traction nationally and locally.

Experience affords us the insight that REDD-Plus could be demonstrated to add emphasis on how existing plans to avoid and reduce deforestation and degradation can be logically bundled for livelihood support and biodiversity protection, and vice versa.

There are several examples of countries in their readiness stage, where REDD-Plus strategies are integrated into different policy instruments as they are



### Tanzania’s efforts to integrate REDD-Plus with local goals to demonstrate value

In the Eastern Arc Mountains, the Tanzania Forest Conservation Group and the Tanzania Forest Conservation Network is implementing the project “Making REDD-Plus Work for Communities and Forest Conservation in Tanzania”. As a REDD-Plus demonstration project, one of its key objectives is to provide equitable incentives to rural communities for conserving and managing forests sustainably. Free, prior and informed consent (FPIC) was secured through intensive consultations and culminated in a participatory analysis of the drivers of deforestation and the stakeholders involved.

It was then decided by local stakeholders that REDD-Plus activities will have to be integrated under broader village land-use plans and an agricultural strategy to address drivers and standing problems of elite capture, land grabbing and limited access to forest products. As a result, implementation of REDD-readiness facilitated the establishment of Village Land Forest Reserves (a platform for Community-based Forest Management), certification of village land occupation rights, and the resolution of boundary conflicts—demonstrating clearly to communities how REDD-Plus can add value especially also on issues of tenure.

seen to “fit” organically with broader efforts towards achieving forest management or conservation goals.

In **Vietnam** for instance, its National Action Plan for REDD-Plus (2011-2020) features very strongly as a component of its National Biodiversity Strategy and Action Plan, where REDD-Plus activities are seen as adding value to reinforcing the country’s biodiversity goals. Similarly, in **Nepal**, REDD-Plus is packaged as an important component of the forthcoming National Forest Sector Strategy and National Biodiversity Strategy and Action Plan.



**The Philippines**, while it has a standalone National REDD-Plus Strategy, demonstrates how REDD-Plus is being integrated into specific government programs such as the “Ecotowns” program of the Climate Change Commission and the Protected Areas and Wildlife Bureau. “Ecotowns” are enrolled localities under the government which develop and implement ridge-to-reef and ecosystem-based comprehensive land-use plans with the broader goal of facilitating public-private partnerships for climate change adaptation and ecosystem resilience. The framework includes REDD-Plus as an optional value-adding approach towards incentivizing avoided forest degradation and alternative livelihoods.

In many of these cases, consistency or complementation across national forest management programs, REDD-Plus and other sectors such as agriculture, mining, and urban development, can be made more efficient with institutional mechanisms that facilitate exchange of information and coordination of policies, regulations and programs.

**Nepal’s comprehensive REDD-Plus coordination mechanism**

At the national level, Nepal coordinates all REDD-Plus activities through its “REDD Cell” which serves as the country’s focal point. Although the REDD Cell reports directly under the Ministry of Forest Conservation and Soils, it is understood to collaborate directly with the CBD focal point under the same ministry and the UNFCCC and CBD focal points under the Ministry of Environment, Science and Technology. The REDD Cell has served as a powerful hub for coordination given the active participation of Nepal in REDD-Plus, its available resources, and the overlaps with other commitments under the CBD and UNFCCC. The coordination mechanism supports effective and efficient management of cross-cutting issues of safeguards implementation, international reporting and consolidated national adaptation plans which involve cross-sectoral decision making.

**सहभागिता (PARTICIPATION)**

→ **एम्प्ली** संख्या १९२/१२४४ जनसंख्या ९९१

पा. क्र.	जनजाती संख्या	सहित	सहिला	पुरुष
५४८	२१०	१२३	४३ (५३%)	४४९ (५६%)

→ **कार्यसमिति**

पा. क्र.	जनजाती संख्या	सहित	सहिला	पुरुष
९ (९)	२ (२)	२ (२)	६ (६)	६ (६)

→ **अन्य उपसमिति**

समिति	सहिला	पुरुष
समन्वय समिति	२	३
अनुशासन समिति	२	३
सहिला समिति	२	३
कारिवा सुविकसण समिति	२	३

Division of Rural Responsibility Rights, Users, Committee & Sub Committee  
विपदान, महिला सहित जनजातीको सहभागिता रा. अ. उ. रा. के नियोजनमा  
Poor, Women, Dalit, I.B. Participation in every Activities

In **Indonesia**, in order to address different drivers of deforestation, there are on-going efforts to coordinate cooperation across the various land-based sectors, including the development and agreement of equivalent standards to avoid one sector (e.g. forests) having higher standards and to standardise rules across the sectors.

In **Costa Rica**, the National Climate Change Strategy sets out a mandate to develop synergies between the CBD and UNFCCC, while in the Philippines, its National REDD-Plus Strategy creates a National and Provincial Multi-stakeholder REDD-Plus Council to oversee REDD-Plus coordination, implementation, and dispute resolution.





## 2. Transparency and effective participation in REDD-Plus entail ownership of forest governance structures by empowered local stakeholders

REDD-Plus is known for its emphasis on the full and effective participation of relevant stakeholders in decision-making. This primarily acts as a function for transparency and respect for the knowledge and rights of indigenous peoples and local communities. Numerous international initiatives and standards have emerged in recent years that promote the development of frameworks, criteria and indicators to demonstrate (to donors, governments and other stakeholders) good governance and environmental integrity, among others (e.g. FCPF Guidelines for the SESA and ESMF, the REDD-Plus SES and CCB Standards and UN-REDD SEPC). The adoption of such international standards has somewhat become the norm for what constitutes a “guarantee mechanism” to ensure biodiversity conservation and the protection of rights within a framework of good governance.

While such standards continue to be important for informing policy decisions, developing national frameworks and ensuring that projects meet environmental, social and governance standards, there are calls from national and field-based experiences that a more context-specific and “demand-driven” approach towards the establishment of forest governance structures, let alone REDD-Plus safeguards, is necessary.

National and field practitioners cite difficulties of having to comply with different standards for different funding mechanisms, which can result in the doubling of efforts and mechanistic monitoring that ultimately hinder genuine ownership of forest governance.

Several countries such as **Indonesia, Nepal, the Philippines, Vietnam** and **Costa Rica** are attempting to overcome these challenges. Efforts include states and

donors facilitating processes towards harmonization or mutual recognition of standards; and government and NGOs taking the lead towards the bottom-up development of nationally appropriate safeguards guidance, drawing on existing standards and identifying minimum and realistic requirements (e.g. for protecting biodiversity and ecosystem services).

### Indonesia’s PRISAI facilitating local ownership of REDD-Plus governance approaches

In developing the PRISAI (Principles, Criteria and Indicators Indonesia), which also means “shield”, Indonesia directly picks up from the REDD+ SES (Social and Environmental Standards), the project-level Climate, Community and Biodiversity (CCB) Standards and the Brazil Social and Environmental Principles and Criteria. The PRISAI has been developed through a bottom-up process with involvement of key stakeholders at the national and provincial levels. This extensive consultation process has taken time, but has ensured buy-in from relevant actors (communities, civil society, government and private sector) at all levels. One of the key lessons learned from the process is the need to balance robustness with implementability. Also, thorough preparation at an early stage is important—a lesson also derived from development of the UN-REDD participatory governance assessment in Indonesia.





### The Philippines' REDD-Plus 101 and Color It REDD Roadshows

As part of the communication and capacity building program of the Philippine National REDD-Plus Strategy, a set of “REDD-Plus 101” modules was developed and is now being delivered to both national and field-based practitioners by accredited organizations across the country.

The 3-day modules provide a basic overview of the REDD-Plus mechanism, its relationship with climate change and biodiversity, alongside its risks and opportunities specific to the Philippines. The program then accommodates for role-playing and scenario building with participants. Given the potentially sensitive nature of REDD-Plus topics, it is always ensured that training materials are packaged for maximum appreciation, building on familiar concepts, and that a good mix of resource persons from government, academia and NGOs are always present to ensure balanced views and the management of expectations.

Advanced modules towards training more participants with basic skills for monitoring and MRV (measurement, reporting and verification), including forest resources and biodiversity assessments, are currently being developed.

There are also roving “Color It REDD Roadshows” which are targeted towards broader local audiences packaged as “townhall meetings” or “talkshow programs”. In these Roadshows, local communities are given the opportunity to raise questions on REDD-Plus and its related issues. These informal gatherings catalyze a deeper and more transparent understanding of the implications of REDD-Plus and provide opportunities to clear the air on potentially controversial issues. A night of cultural activities, including folk shows, singing and dancing, follows each Roadshow.





### 3. REDD-Plus should demonstrate that it facilitates sustainability of the forest sector by providing multiple benefits, including the conservation of biodiversity and ecosystem services, and the associated rights of indigenous and local communities, particularly in areas of high biodiversity value.

Among its safeguards, REDD-Plus requires that “actions are consistent with the conservation of natural forests and biological diversity,” ensuring they are not used for the conversion of natural forests into plantations, but are instead used to incentivize their protection and the conservation of ecosystem services, and to enhance other social and environmental benefits.

While this safeguard may immediately be viewed as strictly pertaining to the protection and conservation of biodiversity, national and field experiences demonstrate that practical interpretations have arisen articulating the role biodiversity and REDD-Plus can play in securing multiple benefits beyond carbon.

In several cases, areas of high biodiversity value are home to indigenous peoples and local communities who are dependent on the forest for its goods and services. Therefore, conservation of natural forests and biodiversity are intimately tied to access rights, livelihoods, and possible related conflicts. There are unique examples whereby REDD-Plus projects have been designed from the very beginning as platforms to conserve, enhance and provide multiple benefits beyond just measureable, reportable, and verifiable emissions

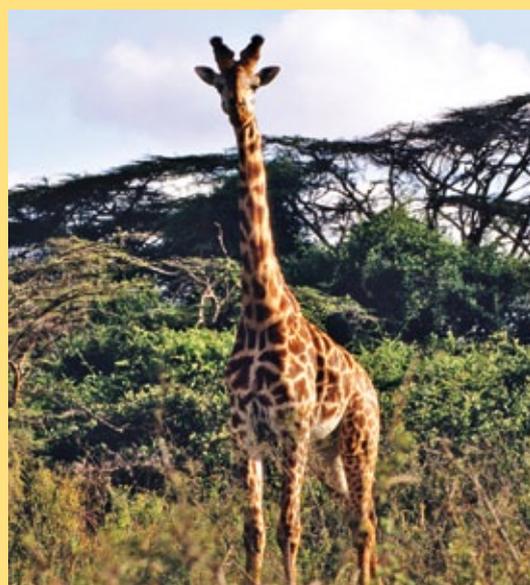
reductions. Such benefits have ranged from jobs creation, tenure, ecotourism opportunities, improved water quality, all the way to landslide hazard mitigation and other ecosystem services.

This is due to the simple realization that for projects and national strategies to succeed and thrive in any local context, REDD-Plus has to be demonstrated as providing short and long-term opportunities rather than taking them away; facilitating sustainability outcomes and an improvement in the quality of life rather than just carbon outcomes.

In **Tanzania** and **Nepal**, REDD-Plus is facilitating local community groups to secure community tenure with the establishment of land registries and offices to outline critical forest areas. In both examples, land rights and community development through livelihood generation are some of the multiple benefits facilitated by REDD-Plus.

In **the Philippines**, the National REDD-Plus Strategy adopts a “Triple Bottomline” approach, where carbon, community and biodiversity are seen as equally valued benefits to REDD-Plus development and implementation and therefore has implications on how planning and monitoring are conducted.

Such practical approaches are driving innovation towards establishing REDD-Plus as a potential sustainable revenue model, which could leverage biodiversity, ecosystem services, and livelihoods giving more tangible benefits to communities. This broader framework for “performance” more confidently secures carbon benefits and the enabling environment needed for permanence.





## CASE STUDY: Kenya's Kasigau Corridor demonstrating multiple benefits as key towards sustainability and REDD-Plus

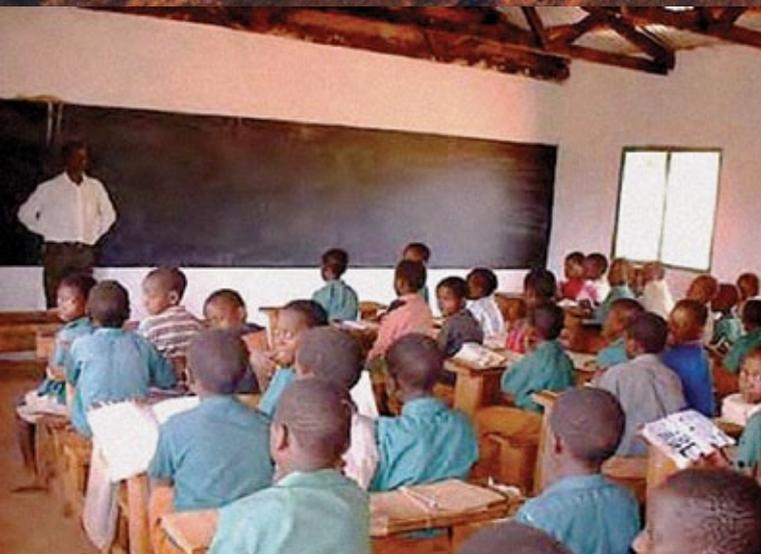
Wildlife Works' Kasigau Corridor Project is widely viewed as a success story for REDD-Plus project development and implementation. While the project has been certified as meeting both the CCB and VCS standards, perhaps its most valuable lesson lies in its practical emphasis on the role job creation plays in engaging communities towards ensuring multiple and lasting benefits from forest protection.

Nestled in an ecological corridor of high biodiversity value between two national parks where human and wildlife conflicts are commonplace, REDD-Plus has been established by Wildlife Works as a conservation-compatible economic development approach meeting social and environmental safeguards. The project area is comprised of 14 ranches, largely owned by local shareholders, where the primary drivers of degradation and loss of the dryland forest are unsustainable agriculture and charcoal production by the local communities.

From the beginning, conservation, community employment and income generation were built in to the project, which was developed first on one ranch as 'proof of concept' then extended to 13 more ranches.

Wildlife Works negotiated Conservation Easements with the local land owners, granting them conservation rights, including carbon rights and prescribing the activities that the landowners may or may not undertake. A benefit-sharing system was negotiated and established whereby carbon revenues were to be split equally between the landowners, Wildlife Works and the community (i.e., 1/3 to each), with the community independently deciding how to spend their share, e.g. on education and water. Meanwhile, Wildlife Works used its share to develop diverse employment through various environmentally friendly ventures and alternatives to unsustainable forest exploitation, including eco-tourism, "bio-enterprises" (soap and aloe production), eco-charcoal production and an "eco-factory" which produces and exports organic and carbon-neutral clothing. It has also established an organic tree nursery, employs community forest rangers and is testing approaches to sustainable intensification of agriculture.

In this multiple benefits model, roles and responsibilities are clear. There is also a clear understanding of how the landowners and community stand to benefit, with the community having independence in prioritizing the social issues they deem important to address. By diversifying sustainable employment opportunities and stressing the link to conservation and carbon, it is expected that the benefits and project goals will be lasting.





## 4. The Safeguards Information System is a critical platform for demonstrating compliance with REDD-Plus safeguards that secures results-based payments.

It was agreed in Cancun and reaffirmed in Durban that a system for providing information on how safeguards are addressed and respected – a safeguards information system (SIS) – is a pre-requisite for obtaining results-based finance for REDD-Plus.<sup>5</sup> Parties have agreed on initial guidance and to consider the need for further guidance to “ensure transparency, consistency, comprehensiveness and effectiveness when informing on how all safeguards are addressed and respected”.<sup>6</sup> They also agreed that Parties undertaking REDD-Plus activities should periodically provide a summary of information on how the safeguards are being addressed and respected in national communications, or through communication channels agreed by the Conference of Parties.<sup>7</sup> Under the CBD, the advice on the application of REDD-Plus relevant safeguards, particularly the indicative list of indicators for assessing the impacts of REDD-Plus measures on biodiversity,<sup>8</sup> are directly relevant to the SIS and any further guidance that would be developed under the UNFCCC.

Parties are now in the process of developing their SIS, establishing frameworks, standards and indicators to use as a basis for monitoring, drawing on international standards such as the REDD-Plus SES and existing systems where possible and learning lessons from other countries through cross-fertilisation. The participatory governance assessment (PGA) in Indonesia has shown that while international standards provide important frameworks, there needs to be scope for interpretation in the national context. This has also been built into the approach of the REDD-Plus SES where countries such as Nepal are developing nationally specific indicators based on the international framework through a transparent and consultative process. Both the PGA and development

of the PRISAI in Indonesia illustrate the importance of thorough preparation and taking the time needed for the participatory and transparent development of principles, criteria and indicators, as well as data collection instruments. The PRISAI’s bottom-up process engaging key stakeholders at both national and provincial levels not only ensures buy-in, it helps to ensure the system will be implementable at sub-national level.

### Nepal’s Community Forest User Groups demonstrating the importance of engaging communities in participatory monitoring

In Nepal, 20 years experience in community forestry has demonstrated the value of participatory and joint monitoring where government, civil society and local groups learn together. The operational plans and constitutions of Community Forest User Groups (CFUGs), which are themselves developed in a consultative and participatory way, incorporate provisions for regular monitoring of the condition of the forest by the community as well as the functioning of the group’s mechanisms and compliance with local rules (i.e. a form of governance monitoring). Communities have also elaborated their own indicators to monitor social development.

The processes that have characterized the development of monitoring by the CFUGs have offered important ground for learning to inform the implementation of the REDD-Plus SES in Nepal. These have been integrated into the Readiness Preparation Proposal (R-PP), and a first draft of country-specific indicators developed through a transparent and consultative process.



<sup>5</sup> Decision 1/CP.16 para 71 and Decision 2/CP.17 para 64

<sup>6</sup> Decision 12/CP.17 para 6

<sup>7</sup> Decision 12/CP.17 para 5

<sup>8</sup> UNEP/CBD/SBSTTA/16/8, Annex; CBD SBSTTA recommendation XVI/7



Experience from several countries stresses the importance of participatory and inclusive monitoring, and the value of community monitoring. In **Costa Rica**, participatory monitoring accesses indigenous knowledge, for example to define indicators, while experience from **Nepal** has shown that community driven indicators are more practical than (external) 'expert' driven indicators since 'expert' driven indicators might exclude the local communities' perspective. In **Kenya**, the Wildlife Works project is developing a combination of community and expert driven indicators. The Community Forest User Groups in **Nepal** conduct a form of governance monitoring themselves which informs and improves the functioning of the group's mechanisms. This is also one of the goals of the PGA in **Indonesia** but on a national scale, i.e. to use the information from the governance assessment to improve national policy processes and governance structures.

Establishing SIS will require up-front payments and investment in capacity building, including building state competency, but costs will decrease over time - as the experience from establishing social and biodiversity monitoring systems at project level in **Kenya** indicates. While initial costs are high, these subsequently reduce drastically since the costs of implementing the systems are considerably less than the development costs. An integrated approach to monitoring at field level realizes cost efficiencies. In **Tanzania** and **Kenya**, carbon and biodiversity monitoring (particularly of flora) is being combined for efficiency purposes, while **Costa Rica's** experience also supports an integrated approach to monitoring for carbon and safeguards.





## 5. REDD-Plus payment schemes should form part of an innovative and sustainable financing strategy linked to broader performance parameters.

In Durban, it was recognized that a diversity of funding sources including public, private, market based and non-market based financing would be necessary in order to meet the scale of financing required for the full implementation of REDD-Plus.

Since then, REDD-Plus finance has become a subject of interest in the public and the private sectors alike, as there is growing evidence from national experiences that REDD-Plus investments and payments can be logically integrated into existing and/or broader sustainable financing strategies cutting across areas related to REDD-Plus (i.e. ecosystem services, agriculture, local livelihoods, environment-related taxes and levies). This opens up the unique opportunity to manage funding portfolios more efficiently and competitively while keeping sight of broader performance parameters that make sense in the context of local realities hence rendering investments more sustainable.





### Costa Rica's Payment for Environmental Services Program

PES has been formally adopted as part of the national REDD-Plus Strategy of Costa Rica. The PES Program provides incentives to small and medium landowners to implement specific tree-based measures (reforestation, afforestation, forest protection and natural regeneration) – to enhance environmental services such as water supply and carbon sequestration, as well as conserve biodiversity. The Program has given out more than US\$ 20 million to indigenous territories. The PES scheme provides an important proportion of financial resources to local indigenous communities. Eighteen of the 24 indigenous territories participate in the PES Program.

The Cabecar-Tayni group leads forest acreage registered in the Program with 30,466 hectares. Presently, they have 3,600 hectares registered under the PES conservation category and over 360,000 trees under the PES agroforestry system category. Almost 45% of these trees have been planted by women, who are increasingly gaining empowerment in the community's decision-making processes. Anyone wishing to participate in a tree-harvesting project must ensure planting at least 20 trees per each clear-cut tree. Since 2003, the Cabecar-Tayni have secured almost \$1.5 million from PES. These funds constitute the majority of their annual budget. The PES funds awarded to the Cabecar-Tayni have enabled the communities to improve their livelihoods. Some of the money is used as an emergency fund when families lose their crops to river floods, or to help families travel to hospitals and cover their medical bills.

Indigenous peoples are beginning to engage in REDD-Plus Strategy discussions. It should not be difficult because of the similarity of the incentive scheme with PES. It is important to consider the role (economic, social, cultural, spiritual) that forest resources play in the development of local and Indigenous communities. The schemes selected in REDD-Plus have to be flexible to ensure a more equitable distribution of incentives. The main lesson learned from indigenous peoples is that solidarity, level of organization, continuous learning, information and the sense of community make a difference in design and development—and REDD-Plus should strengthen these aspects.

Similarly, various models are now emerging where REDD-Plus financing is adaptively and innovatively managed based on the priorities and intended outcomes of particular areas. In these cases, as a first step, local priorities are outlined and consultations are held to gauge the potential of REDD-Plus to meet these priorities and provide multiple benefits. Then investment is channeled into establishing the capacity and the environment for sound safeguards implementation, which includes developing the safeguards information system and measurement, reporting and verification systems. The next step is investing in trial or experimental payment schemes and incentive approaches to test local support and match absorptive capacities for possible scaling-up. Both national and field-based experiences demonstrate that phasing payments in this way is likely to allow investments to mature into actual performance or sustainable outcomes.

In **Tanzania**, trial payments for REDD-Plus performance are conducted to test appropriate approaches towards equitable benefit sharing. Local villagers are also empowered to participate in crafting the by-laws that serve as basis for the trial payments and the benefit sharing schemes.

In **Vietnam**, the application of the concept of the "R-coefficient" has been studied and may be applied as an economic instrument where environmental and social benefits are duly valued and accounted for in local REDD-Plus benefit sharing schemes—where carbon is but one of many performance indicators.

Perhaps the most significant insight current national experiences in REDD-Plus payments offer us is that REDD-Plus financing models are neither homogenous nor static. They are dynamic and adaptive to local realities and capacities, and oriented towards cost-effectiveness and competitiveness.

Such experiences provide some indication that REDD-Plus payments need to be embedded into a broader sustainable financing strategy and be demonstrated to add value to existing and/or new investments.

# Realizing synergies between the UNFCCC and CBD on biodiversity and governance safeguards

The UNFCCC and the CBD are independently developing advice and guidance on REDD-Plus safeguards. At national levels, strategies and action plans on REDD-Plus, biodiversity and adaptation are being developed, often by different agencies even though they are inextricably linked.

Through this initiative, our participants have shown that extensive national experience from which best practices can be drawn already exists, as evidenced by Nepal's community forest programme and Costa Rica's experience with payments for ecosystem services. More national and field based experiences are being added as development and implementation of national REDD-Plus programmes and REDD-Plus projects progress.

Parties and stakeholders alike would benefit from synergistic guidance from the UNFCCC and the CBD that draws on such national and project level experiences to ensure it is not only practical but also relevant and can be adapted to national and local realities.

The following specific conclusions and recommendations are offered towards realizing synergies between the UNFCCC and CBD and supporting the implementation of biodiversity and governance safeguards at national and local level.

- Synergies need to be built between national REDD-Plus strategies and action plans, national adaptation plans and national biodiversity strategies and action plans. To achieve this there must be efficient and effective coordination at the international level between the UNFCCC and CBD and a comprehensive coordination mechanism at the national level between all the relevant focal points.
- There should be mutual recognition of advice and guidance between the UNFCCC and the CBD with respect to relevant REDD-Plus safeguards for biodiversity. Thus the advice developed through broad consultation by the CBD on the application of these safeguards should be recognized by the UNFCCC, and similarly the guidance under development in the UNFCCC on safeguards information systems should be





recognized by the CBD. The indicative list of indicators being developed by the CBD for assessing the impacts of REDD-Plus measures on biodiversity are directly relevant to the SIS and any further guidance developed under the UNFCCC.

- A process should be facilitated which works towards common standards and guidance for the implementation of REDD-Plus safeguards at national level and mutual recognition of equivalent standards (e.g. the REDD-Plus SES and PRISAI) with the aim of achieving robustness balanced with implementability.
- Multi-stakeholder processes are needed at all levels – from national down to village level – to build forest and REDD-Plus governance structures that are owned by empowered local stakeholders. A horizontal and vertical consultative process to develop a safeguards framework achieves buy-in from different government actors and stakeholders.
- Lasting mitigation and adaptation require sustained REDD-Plus actions that build locally owned governance structures, alongside ecosystem resilience and opportunities for sustainable livelihoods in rural areas. This requires a multiple benefits model that equally values carbon, community and biodiversity.
- A transparent, participatory and inclusive approach to developing and implementing safeguards information systems is required to ensure ownership and implementability. Community monitoring accesses indigenous and local knowledge, while governance assessment – at local and national level – contributes to improving policies and governance structures.
- Governance frameworks should ensure equitable distribution of benefits. Trial payments can be helpful to test suitability to local circumstances. Carbon is one of the benefits that can be bundled in benefit-sharing schemes
- It would be of interest to conduct cost-benefit analyses comparing costs and benefits from schemes where multiple benefits are derived with those that produce purely carbon benefits. The results could potentially be fed into on-going efforts to enhance certification schemes and direct investor interest to ensuring that payments for multiple benefits are properly incorporated when it is demonstrated that they are realized.

# Acknowledgements

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(<http://www.bafu.admin.ch/index.html?lang=en>)

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(<http://www.climate.gov.ph>)

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(<http://www.asg.ateneo.edu/index.php>)

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(<http://www.helvetas.ch/wEnglish/index.asp>)





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