



The Evolution of REDD+ Social Safeguards in Brazil, Indonesia and Tanzania

Multi-level policy processes, dialogues and actions on REDD+ social safeguards: Challenges and opportunities for national REDD+ safeguards measurement, reporting and verification.



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Countries are grappling with how to integrate social safeguards into national and subnational REDD+ architectures. Safeguard policies are intended to ensure that people are not harmed or made worse off by REDD+.



READ THIS BRIEF IF ...

- You are interested in the institutional evolution and current state of REDD+ social safeguards.
- You want to understand how different countries are approaching and developing policy around REDD+ social safeguards.
- You are designing a REDD+ SIS, or are concerned with how REDD+ safeguards will be measured, reported and verified.



KEY MESSAGES

- The decentralized nature of REDD+ implementation in Brazil and Indonesia has allowed for innovation and progress on social safeguard-related issues.
- Countries need greater guidance from the international community on the use of appropriate indicators, data collection methods, and reporting frameworks.
- There is a tension between national-scale reporting on social safeguards and provision of high-quality and timely data that reflect realities on the ground.
- Funding prospects for supporting Safeguard Information Systems (SIS) are very limited; national governments need to design low-cost, rigorous and sustainable strategies for measurement, reporting and verification (MRV) of REDD+ social safeguards.
- International consensus on whether additional guidance for SIS will be provided is expected at the United Nations Framework Convention on Climate Change (UNFCCC) Conference of the Parties (COP) in Lima.



CONTEXT

Since early forest carbon projects were implemented in the mid-1990s, there has been interest in the social impacts of forest-based climate mitigation (Caplow et al. 2011) (Table 1). At the UNFCCC COP in Cancun, seven safeguards were articulated (UNFCCC 2011). The intention of these safeguards is for the international community to provide guidance on the what,

how and when of monitoring REDD+ projects and programs outside the domain of carbon MRV. Ensuring a positive impact from REDD+ on governance, participation, tenure, indigenous rights, and environmental and social co-benefits is believed to be fundamental to the success of REDD+.

Table 1. Evolution of institutions to safeguard and promote human welfare in REDD+

Timeframe	Actions
Mid-1990s	Early forest carbon projects implemented with focus on biodiversity and limited attention to welfare impacts
Bali COP 2007	REDD+ put forward as a strategy for mitigating global climate change First concerns voiced about REDD+ impacts on local people
2008–present	REDD+ piloted in several countries Voluntary certification through the Climate, Community & Biodiversity Alliance (CCBA), Plan Vivo etc. pursued by a large share of projects to demonstrate social co-benefits of REDD+
2010	Cancun Agreement on REDD+ social safeguards at UNFCCC COP in Cancun
2010–present	Initiatives to promote social safeguards/Safeguard Information Systems at jurisdictional (vs. project) level, for example REDD+ Social and Environmental Standards (REDD+SES) World Bank, United Nations and several bilateral donors modify or develop new safeguard-related initiatives to build institutional capacity on social and environmental risk Ongoing negotiations with UNFCCC and within UNFCCC Subsidiary Body for Scientific and Technological Advice (SBSTA) on expectations for REDD+ social safeguards
2014	Hope by some groups that UNFCCC expectations surrounding national and subnational Safeguard Information Systems will be articulated

APPROACH

We analyzed data from the Center for International Forestry Research (CIFOR) Global Comparative Study on REDD (GCS-REDD) to explore multi-level policy dialogues, processes and actions on core aspects of REDD+ social safeguards and consider their relationship to the development of national-level safeguard systems. We focused on three countries with relatively well-advanced REDD+ programs: Brazil, Indonesia and Tanzania. We conducted a qualitative comparative analysis using the following data sources from the GCS-REDD:

- country-level media analysis drawing primarily on coverage in major print newspapers and interviews with journalists
- country-level policy analyses of national policy context, dialogue, stakeholders and actions surrounding REDD+ social safeguards based on gray literature and interviews with key informants

- interviews with proponents of subnational REDD+ initiatives to learn about local-level experience and actions related to REDD+ social safeguards (Figure 1).

We reviewed evidence and examples of dialogue, processes and actions related to REDD+ social safeguards at jurisdictional level (i.e. national or subnational) by country and by safeguard (Table 2). Specifically, we focused on key actors engaged in safeguard-related processes, and their concerns and actions. We reviewed media discourse in the same way—looking not only at what was said, but who said it. Given that most subnational REDD+ initiatives are still in the early stages of implementation in most countries, proponents focused effort on free, prior and informed consent (FPIC), increasing awareness about climate change and REDD+, and engaging local communities in initiative design.

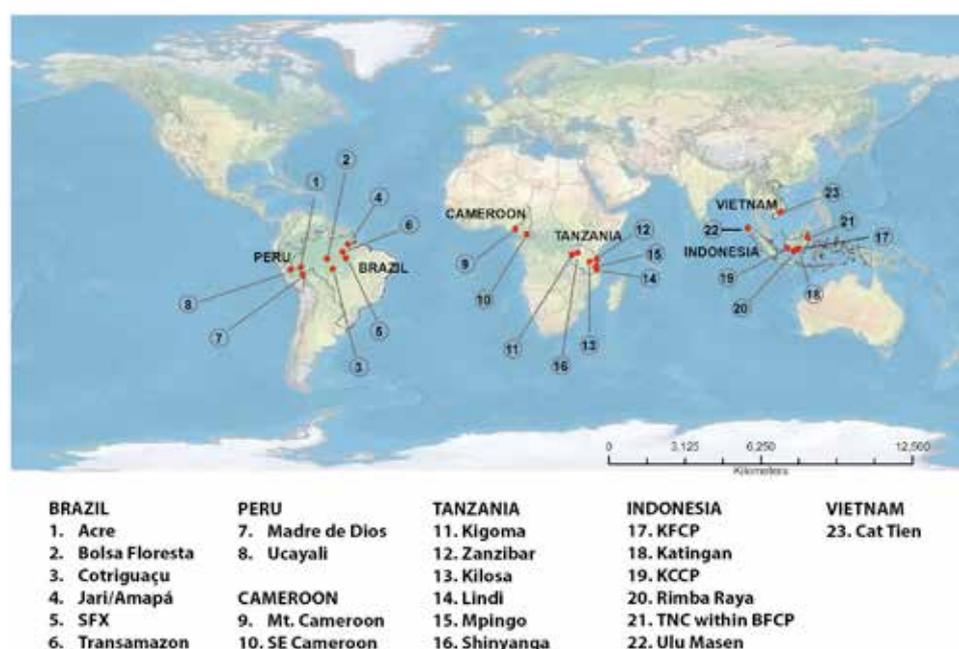


Figure 1. Map of subnational REDD+ initiatives included in the Global Comparative Study on REDD+

Table 2. Safeguards policy dialogues, processes and actions

Country	Synergy with national policies and international conventions (1)	Transparent governance (2)	FPIC and land tenure (3)	Participation (4)	Enhanced social benefits (benefit sharing) (5)
Brazil	Policy actors representing large-scale industries with competing claims to forests have a voice in REDD+ (e.g. agriculture, mining, biofuels)	Competing interests of federal and state governments with notable REDD+ advancements at both levels but challenges for harmonization	<ul style="list-style-type: none"> • Civil society very vocal on FPIC • Land tenure highly contested despite positive history of devolving land rights to communities and smallholders • Legal framework in place to give recognition to indigenous lands 	<ul style="list-style-type: none"> • Coordination of the Indigenous Organizations of the Brazilian Amazon (COIAB) has a permanent seat on the executive committee of the Amazon Fund • Civil society organizations (CSOs) developed process to create social and environmental principles and criteria for REDD+ programs • Acre and Mato Grosso have structured forums to encourage participation of key stakeholders (but participation by indigenous people is weak) • Media gave considerable attention to participation in REDD+ design, notably the role of indigenous people in forest conservation 	<ul style="list-style-type: none"> • No official proposal for benefit sharing • No clear statement on what share of compensation mechanisms will be related to social aspects of REDD+ • Greater focus on equity vs. sharing of revenues/benefits at local level
Indonesia	Concern about other forest sector policies contradicting REDD+; Policy actors representing large-scale industries with competing claims to forests have a voice in REDD+ (e.g. agriculture, mining, biofuels)	Competing interests of federal and state governments	<ul style="list-style-type: none"> • United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (UN-REDD) and National Forestry Council have developed FPIC materials and guidelines • National REDD+ Strategy has discussion of FPIC • CSOs have focused on FPIC, promoting involvement of customary and local communities in all aspects of REDD+ design and implementation; • National government has initiated major tenure reforms through the One Map initiative and Constitutional Court Decision 35 on indigenous ownership rights • CSOs led by the Indigenous Peoples Alliance of the Archipelago (AMAN) unsuccessfully lobbied strongly for recognition of indigenous ownership rights in follow-up to the constitutional decisions 	<ul style="list-style-type: none"> • Environmental impact assessments (AMDAL) as an important instrument for assessing community participation and involvement • Community participation required in drafting of legislation (but largely normative vs. operational) • Community participation is one of 5 pillars of national REDD+ architecture, but no penalties for failing to comply • Major focus of CSOs, including concern about lack of operational rules for institutionalizing participation • Media focused on participation by regional governments, but not on local participation 	<ul style="list-style-type: none"> • UN-REDD led process on benefit-sharing system • Government regulation on benefit sharing between government, communities and project developers • Concern that corruption will threaten equitable benefit sharing
Tanzania	Cross-sectoral discussions on reconciling provisions in legally binding instruments related to various agreements	Lack of transparency and accountability with regard to forest-related crimes, and conflicts of interest between forest officials and illegal forest product producers	<ul style="list-style-type: none"> • Forest and tree carbon tenure highly contested and viewed as major obstacle to successful REDD+ implementation; • Carbon rights a major focus at national scale • Biofuels and land grabs fueling national debate on long-term land and forest rights • CSOs skeptical about progress on land and carbon rights; • Media concern over vague treatment of land tenure and resolving conflicts between villagers, private companies, and nongovernmental organizations (NGOs) 	<ul style="list-style-type: none"> • High level of donor engagement focused on awareness raising and capacity building at local-level • Local NGOs (e.g. Tanzania Natural Resources Forum, TNRF) working to raise awareness of REDD+ safeguards • Media highlighted concerns about lack of participation of key stakeholders including NGOs, private companies and communities— interviews with NGO leaders focused on need for collaboration between government and civil society or risk REDD+ failure 	<ul style="list-style-type: none"> • No formal system, but likely to be managed REDD+ Trust Fund; • Government has agreed to have 80% of REDD+ payments go to communities • Some confusion due to pre-existing arrangements under Joint Forest Management and Community-Based Natural Resource Management • Benefit sharing under decentralization interpreted in different ways • Some projects linking REDD+ co-benefits with other schemes (e.g. Forest Stewardship Council certification) while REDD+ still in nascent stages

Source: Jagger et al. (2014)



OPPORTUNITIES FOR REDD+ SOCIAL SAFEGUARDS

- Both Brazil and Indonesia have benefited from strong subnational entities in the operationalization of REDD+ safeguards including FPIC, participation and benefit sharing; provinces and districts have led much of the innovation and implementation of safeguard principles.
- All three countries we examined have polycentric institutional structures for addressing social safeguards (vs. nested structures). Polycentric systems, or systems with multiple centers, have advantages for the provision of public goods. For example, polycentric systems are better suited to transparency and triangulation of information on outcomes.
- REDD+ proponents are fairly consistent in integrating aspects of FPIC, participation, tenure and carbon rights into their activities.
- The presence of indigenous groups plays a significant role in advancing dialogues on social safeguards.



CHALLENGES FOR REDD+ SOCIAL SAFEGUARDS

- Large-scale actors in competing sectors (e.g. agriculture and mining) have a strong voice in REDD+ debates in Brazil and Indonesia. Harmonizing land use policy in a way that ensures no harm is done to local people is a challenge.
- Tanzania has weakly articulated how social safeguards will be operationalized. Their top-down approach has limitations compared to decentralized systems in Brazil and Indonesia.
- Recognition of tenure and carbon rights are stumbling blocks for REDD+ social safeguards, particularly in Indonesia and Tanzania.



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This brief is number 1 in a set of REDD+ Safeguards Briefs.
See the full set here: CIFOR.org/safeguards



RESEARCH PROGRAM ON
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