

## UN-REDD Programme Social and Environmental Principles and Criteria, version 3 Draft for Consultation

### Introduction and Context

REDD+ has the potential to deliver substantial benefits beyond carbon. However, there is also a possibility that risks will be incurred in the implementation of REDD+. Accordingly, the UN-REDD Programme is working with partners and REDD+ countries to develop tools and guidance to enhance the multiple benefits of, and reduce risks from REDD+. As part of this work, a set of Social and Environmental Principles and Criteria are being developed, which consists of broad principles, within which more detailed criteria describe important issues to be considered in developing REDD+ programmes.

The Principles and Criteria are coherent with and draw from the broad guidance provided by the Cancun agreement, and emerge from the existing rich body of knowledge and literature on safeguards, standards and certification<sup>1</sup>.

The Principles and Criteria reflect the UN-REDD Programme's responsibility to apply a human-rights-based approach to its programming, uphold UN conventions, treaties and declarations, and apply the UN agencies' policies and procedures<sup>2</sup>. The Principles and Criteria are consistent with the readiness support offered by the UN-REDD Programme and reflect the Programme's issue-specific Operational Guidance<sup>3</sup> and can help countries demonstrate how they are working to meet their commitments under other Multilateral Agreements (see insert below).

The Social and Environmental Principles and Criteria draw on, are consistent with, and seek to help countries meet their commitment to the following international agreements and, when applicable, the decisions taken in their COPs/MOPs:

- Convention on Biological Diversity (CBD)
- Convention on the Elimination of All Forms of Discrimination against Women (CEDAW)
- International Labour Organization Convention 169 (ILO 169)
- United Nations Convention Against Corruption (UNCAC)
- United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP)
- United Nations Convention on the Elimination of All Forms of Racial Discrimination (UNCERD)
- The Millennium Development Goals (MDGs)

<sup>1</sup> Please see Annex 3: Sources Consulted

<sup>2</sup> For example, UNDP's Environmental Sustainability and Climate Change prescriptive policy, UNEP's Framework for Ecosystems Management, and FAO's Environment and Social Impact Procedures

<sup>3</sup> Please see Annex 2: How UN-REDD Programme Operational Guidance supports the Social and Environmental Principles and Criteria

## Purpose

The Principles and Criteria will provide the UN-REDD Programme with a framework to ensure that its activities promote social and environmental benefits and reduce risks from REDD+. In particular, the Principles and Criteria will be used by the UN-REDD Programme:

- as an aid in formulating national REDD+ programmes and initiatives that seek UN-REDD funding
- in the review of national programmes prior to submission for UN-REDD funding
- to assess national programme delivery

The Principles and Criteria, which are consistent with UNFCCC agreements on safeguards for REDD+<sup>4</sup>, can also, in combination with other tools and approaches, help countries to develop national approaches for: promoting, supporting and building on the Cancun safeguards, providing information on how the Cancun safeguards are being addressed and respected, and demonstrating their achievements beyond carbon (e.g. with respect to poverty alleviation and biodiversity conservation).

## Structure and Application

The Principles are overarching, fundamental, active statements about the achievement of a desired outcome (e.g. 'Promote and enhance forests' contribution to sustainable livelihoods'). The Criteria are the conditions that need to be met by UN-REDD Programme funded activities to contribute to the achievement of the Principle.

This draft contains three Principles focused on social issues, one on social and environmental policy coherence, and three on environmental issues. These Principles and associated Criteria are shown in Table 1. Annex 1 shows how the Principles support the provisions of the UNFCCC agreement on safeguards for REDD+.

Linked to this document, a Risk Identification and Mitigation Tool is being developed to assist national REDD+ teams in developing national programmes in accordance with the UN-REDD Programme Social and Environmental Principles and Criteria<sup>5</sup>. The tool elaborates a series of questions under each Criterion to assist UN-REDD Programme staff, national counterparts and other stakeholders to identify the issues to be addressed in order to minimize the risks and enhance the multiple benefits from UN-REDD Programme supported readiness activities. The tool also creates concrete linkages between the Principles and Criteria, relevant Multilateral Agreements (outlined above), and issue-specific UN-REDD Programme policies and Operational Guidance (outlined in Annex 2).

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<sup>4</sup> Paragraphs 69, 71d, 72, 76 and Appendix I in the UNFCCC Decision 1/CP.16 : The Cancun Agreements: Outcome of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (Decisions adopted by the UNFCCC on its sixteenth session, held in Cancun, Mexico from 29 November to 10 December 2010). **Referred to in this document as the 'Cancun safeguards'** and Annex 1 illustrates the relationship between the Principles and the Cancun safeguards.

<sup>5</sup> A first version of the Risk Identification and Mitigation Tool, focused on an early set of the Social Principles was presented to Policy Board 5 in November 2010

The Principles and Criteria, supported by the Risk Identification and Mitigation Tool, are intended to guide the technical and financial readiness support offered by the UN-REDD Programme and to inform the assessment of programme delivery. As such, they apply to the design, planning and implementation of national REDD+ programmes. The Principles and Criteria, as elaborated by the tool, may also support development of practical indicators for the social and environmental effects of REDD+ at the national level.

Further guidance is also being developed by the UN-REDD Programme on the reviewing and reporting procedures with regards to the use and application of both the Principles and Criteria and the Risk Identification and Mitigation Tool. The UN-REDD Programme is committed to providing access to grievance resolution to address complaints regarding the enforcement of the Programme's Principles and Criteria and Operational Guidance.

### **Process**

The draft Social and Environmental Principles and Criteria have been developed in collaboration between UNDP and UNEP, with input from FAO, under the UN-REDD Programme. The Principles and Criteria were presented at the UN-REDD Programme Policy Board meeting in March 2011 ([UN-REDD Programme Social & Environmental Principles and Criteria, version 1](#); UNREDD/PB6/2011/IV/1), and comments invited.

The Principles and Criteria were subsequently revised based on input received following the Policy Board meeting and a 'version 2' was re-circulated for further input from the Policy Board, the Independent Advisory Group on Rights, Forests and Climate Change, national practitioners, and a targeted group of expert reviewers<sup>6</sup>.

Based on the valuable inputs received, the current document ('version 3') will be presented as a progress update to the Policy Board in October 2011 and used as a basis, along with the draft Risk Identification and Mitigation Tool, for a public consultation process from October 2011 – December 2011 consisting of:

- Information and feedback sessions at upcoming international REDD+ gatherings;
- facilitated consultations with pilot REDD+ countries; and
- circulation for input through an online public review process.

Approval of the Principles and Criteria will be sought from the Policy Board at its first meeting in 2012. The Risk Identification and Mitigation Tool will continue to be piloted and refined as lessons are learned from application through 2012.

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<sup>6</sup>Annex 4 has a summary of previous consultations

**Table 1: Proposed Social and Environmental Principles and Criteria<sup>7</sup> (version 3; update to Table 1 of UNREDD/PB6/2011/IV/1)**

<b>Principle 1 – Apply norms of <a href="#">democratic governance</a>, including those reflected in national commitments and Multilateral Agreements</b>
Criterion 1 – Ensure the integrity and transparency of <a href="#">fiduciary and fund management systems</a>
Criterion 2 – Ensure accountability and legitimacy of all bodies representing stakeholders, including through establishing responsive national feedback, complaints and grievance mechanisms, amongst others
Criterion 3 – Ensure transparency and <a href="#">accessibility of all information</a> related to REDD+, including active dissemination among <a href="#">relevant stakeholders</a>
Criterion 4 – Ensure the <a href="#">full and effective participation</a> of <a href="#">relevant stakeholders</a> , in particular, <a href="#">indigenous peoples</a> and <a href="#">other forest dependent communities</a> , with special attention to the <a href="#">most vulnerable and marginalized groups</a>
Criterion 5 – Promote coordination, efficiency and effectiveness, including cooperation across sectors and in the enforcement of laws
Criterion 6 – Ensure the <a href="#">rule of law</a> and <a href="#">access to justice</a>
<b>Principle 2 – Respect and protect stakeholder rights, including human rights, statutory and customary rights, and collective rights</b>
Criterion 7 – Respect and promote the recognition and exercise of <a href="#">equitable</a> land tenure and carbon rights by <a href="#">indigenous peoples</a> and other local communities
Criterion 8 – Promote and enhance <a href="#">gender equality</a> , <a href="#">gender equity</a> and women’s empowerment
Criterion 9 – Seek <a href="#">free, prior and informed consent</a> of <a href="#">indigenous peoples</a> and <a href="#">other forest dependent communities</a> and respect and uphold the decision taken (whether consent is given or withheld)
Criterion 10 – Ensure there is no <a href="#">involuntary resettlement</a> as a result of REDD+
Criterion 11 – Respect and protect <a href="#">traditional knowledge</a> and <a href="#">cultural heritage</a> and practices
<b>Principle 3 – Promote and enhance <a href="#">forests’</a> contribution to sustainable livelihoods</b>
Criterion 12 – Ensure <a href="#">equitable</a> , non-discriminatory and transparent benefit sharing and distribution among <a href="#">relevant stakeholders</a> with special attention to the <a href="#">most vulnerable and marginalized groups</a>
Criterion 13 – Protect and enhance, while minimizing adverse impacts on, <a href="#">economic, social and political well-being</a> of <a href="#">relevant stakeholders</a> with special attention to the <a href="#">most vulnerable and marginalized groups</a>

<sup>7</sup> As mentioned, the Principles and Criteria apply to the design, planning and implementation of national REDD+ programmes, including the review of activities.

<p><b>Principle 4 – Contribute to <a href="#">low-carbon</a>, climate-resilient sustainable development policy, consistent with national development strategies, national <a href="#">forest</a> programmes and commitments under international conventions and agreements</b></p>
<p>Criterion 14 – Ensure consistency with and contribution to national climate policy objectives, including mitigation and adaptation strategies and international commitments</p>
<p>Criterion 15 – Address the risk of <a href="#">reversals</a> of REDD+ achievements, including potential future risks to <a href="#">forest carbon stocks</a> and other benefits to ensure the efficiency and effectiveness of REDD+</p>
<p>Criterion 16 – Ensure consistency with and contribution to national poverty reduction strategies and other sustainable development goals (including those outlined under the Millennium Development Goals framework), including alignment with ministries’ and sub-national strategies and plans that may have an impact on, or be affected by the <a href="#">forest</a> sector and/or <a href="#">land use change</a></p>
<p>Criterion 17 – Ensure consistency with and contribution to national biodiversity conservation policies, other environmental and <a href="#">natural resource</a> management policy objectives, national <a href="#">forest</a> programmes, and international commitments</p>
<p><b>Principle 5 – Protect <a href="#">natural forest</a> from <a href="#">degradation</a> and/or <a href="#">conversion</a> to other land uses, including <a href="#">plantation</a> forest</b></p>
<p>Criterion 18 – Ensure that REDD+ activities do not cause the <a href="#">conversion of natural forest</a> to other land uses, including <a href="#">plantation</a> forest, and make reducing conversion due to other causes (e.g. agriculture, timber and fuelwood extraction, infrastructure development) a REDD+ priority</p>
<p>Criterion 19 – Minimise <a href="#">degradation</a> of <a href="#">natural forest</a> by REDD+ activities and make reducing <a href="#">degradation</a> due to other causes (e.g. agriculture, timber and fuelwood extraction, infrastructure development) a REDD+ priority</p>
<p>Criterion 20 – Minimise <a href="#">indirect land-use change</a> impacts of REDD+ activities on <a href="#">forest carbon stocks</a>, biodiversity and other <a href="#">ecosystem services</a> (including impacts of extractive activities)</p>
<p><b>Principle 6 – Maintain and enhance <a href="#">multiple functions of forest</a> to deliver benefits including biodiversity conservation and <a href="#">ecosystem services</a></b></p>
<p>Criterion 21 – Ensure that land-use planning for REDD+ explicitly takes account of <a href="#">ecosystem services</a> and biodiversity conservation in relation to local and other stakeholders’ values, and potential synergies and trade-offs between different benefits</p>
<p>Criterion 22 – Ensure that <a href="#">planted</a> and <a href="#">natural forests</a> are managed to maintain and enhance <a href="#">ecosystem services</a> and biodiversity important in both local and national contexts</p>
<p><b>Principle 7 – Minimise adverse impacts (direct and indirect) on non-forest <a href="#">ecosystem services</a> and biodiversity</b></p>
<p>Criterion 23 – Minimise adverse impacts on <a href="#">carbon stocks</a>, biodiversity and other <a href="#">ecosystem services</a> of non-forest ecosystems resulting directly from REDD+ activities (such as afforestation)</p>

Criterion 24 – Minimise [indirect land-use change](#) impacts on [carbon stocks](#), biodiversity and other [ecosystem services](#) of non-forest ecosystems (including impacts of extractive activities)

Criterion 25 – Minimise other adverse indirect impacts on biodiversity and [carbon stocks](#) of non-forest ecosystems, such as those resulting from intensification of land use

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**Table 2: UN-REDD Programme Social and Environmental Principles and Criteria: Glossary of Key Terms**

<p><b>Accessibility of information:</b> calls for information to be accessible, clear, consistent and accurate and delivered in appropriate language and format (including video, graphics, radios, documentaries, photos). It is part of a broader principle of access to information that includes a legal and regulatory environment for freedom of information, awareness on rights to official information, communication mechanisms, and independent and pluralist media. See <a href="#">UNDP's Democratic Governance Reader</a>.</p>
<p><b>Access to justice:</b> includes legal protection, legal awareness, legal aid and counsel, adjudication, enforcement, and oversight (by parliaments, national human rights commission, CSOs etc). See UNDP's <a href="#">Democratic Governance Reader</a>.</p>
<p><b>Carbon stock:</b> The quantity of carbon contained in a "pool", meaning a reservoir or system which has the capacity to accumulate or release carbon, such as above-ground biomass or soil; also the total carbon contained within all the component pools of an ecosystem.</p>
<p><b>Conversion of natural forest:</b> The replacement of natural forest by other land uses, including through deforestation or through change to planted forest. <b>See also "deforestation", "natural forest", "land-use change", "planted forest".</b></p>
<p><b>Cultural heritage:</b> The legacy of physical artefacts and intangible attributes of a group or society that are inherited from past generations, maintained in the present and bestowed for the benefit of future generations<sup>8</sup>; in a REDD+ context, this especially includes cultural values associated with specific forest species, uses or landscapes.</p>
<p><b>Deforestation:</b> The direct human-induced conversion of forested land to non-forested land (UNFCCC Decision 11/CP.7)).</p>
<p><b>Degradation:</b> Human-induced reduction in the capacity of a forest to provide goods and services, not resulting in deforestation. <b>See also "deforestation".</b></p>
<p><b>Democratic governance:</b> Like "good" governance, democratic governance is concerned with the efficiency of institutions and rules, but it also addresses their fairness and the way they are developed through democratic processes in which all people have a real political voice. Democratic governance emphasizes process and political legitimacy and promotes human development. UNDP's "<a href="#">A Guide to UNDP Democratic Governance Practice</a>" outlines three focus areas for democratic governance:</p> <ul style="list-style-type: none"> <li>- Fostering Inclusive Participation</li> <li>- Strengthening Accountable and Responsive Institutions</li> <li>- Grounding Democratic Governance in International Principles</li> </ul> <p>The principles of democratic governance are many and interrelated. Among them are equity, fairness, consensus, coordination, efficiency, transparency, accountability, effectiveness, responsiveness, participation, the rule of law, and many others. Taken together, the application of these principles constitute norms of democratic governance.</p>
<p><b>Economic, social and political well-being:</b></p> <p><i>Economic well-being</i> is embodied by access to and secure control over financial and material assets, land and territories, in particular those that are the basis for economic gain, income, food security, access to resources including water and timber, opportunity of employment and economic gain.</p> <p><i>Social well-being</i> is embodied by status within the community, social networks and opportunities, and social security.</p>

<sup>8</sup> Mesik, J. (2007). Community Foundations – A Tool for Preservation of Cultural Heritage, *World Bank Social Development Notes* <http://siteresources.worldbank.org/INTCHD/Resources/430063-1250192845352/sdn108-CommFoundations-web.pdf>

<p><i>Political well-being</i> is embodied by empowerment and influence on decision-making within the community and beyond. It furthermore includes the freedom to express opinion without the fear of negative consequences.</p>
<p><b>Ecosystem services:</b> Ecosystem services are the benefits people obtain from ecosystems. These include provisioning services such as food, water, timber, and fiber; regulating services that affect climate, floods, disease, wastes, and water quality; cultural services that provide recreational, aesthetic, and spiritual benefits; and supporting services such as soil formation, photosynthesis, and nutrient cycling (<a href="#">Millennium Ecosystem Assessment 2005</a>).</p>
<p><b>Equitable:</b> Dealing fairly, justly and impartially with all relevant stakeholders.</p>
<p><b>Fiduciary and fund management systems:</b> Systems associated with the transfer, management and distribution of funds and assets.</p>
<p><b>Forest:</b> An area of land spanning more than 0.05 hectares with tree crown cover (or equivalent stocking level) of more than 10 percent with trees with the potential to reach a minimum height of 2-5 meters at maturity in situ. It does not include land that is predominantly under agricultural or urban land use. (<a href="#">FRA 2010</a>). National definitions vary, and may be more restrictive.</p>
<p><b>Free, Prior and Informed Consent (FPIC):</b>The collective right to give or withhold free, prior and informed consent, which applies to all activities, projects, legislative or administrative measures and policies that take place in or impact the lands, territories, resources or otherwise affect the livelihoods of indigenous peoples<sup>9</sup>. Free, prior and informed consent is founded in the rights articulated in the <a href="#">UN Declaration on the Rights of Indigenous Peoples</a> and further elaborated by the <a href="#">International Workshop on Methodologies Regarding Free Prior and Informed Consent</a>. Please see the draft UN-REDD Programme Guidelines for Seeking the Free, Prior, and Informed Consent of Indigenous Peoples and other Forest Dependent Communities (hyperlink to document will be added) for further information.</p>
<p><b>Full and effective participation:</b> Meaningful influence of all relevant stakeholder groups who want to be involved throughout the process, and includes consultations and free, prior and informed consent'. Guidance on full and effective participation is provided by <a href="#">the UN-REDD Programme and FCPF Guidelines on Stakeholder Engagement in REDD+</a>.</p>
<p><b>Gender equality:</b> Refers to norms, values, attitudes and perceptions required to attain equal status between women and men without neutralizing the biological differences between women and men.</p>
<p><b>Gender equity:</b> Fairness in women's and men's access to socio-economic resources. A condition in which women and men participate as equals and have equal access to socio-economic resources.</p>
<p><b>Indigenous peoples:</b> The terms "indigenous peoples," "indigenous ethnic minorities," and "tribal groups" are used to describe social groups that share similar characteristics, namely a social and cultural identity that is distinct from dominant groups in society. United Nations human rights bodies, ILO, the World Bank and international law apply four criteria to distinguish indigenous peoples:</p> <ul style="list-style-type: none"> <li>(a) indigenous peoples usually live within (or maintain attachments to) geographically distinct ancestral territories;</li> <li>(b) they tend to maintain distinct social, economic, and political institutions within their territories;</li> <li>(c) they typically aspire to remain distinct culturally, geographically and institutionally rather than assimilate fully into national society; and</li> <li>(d) they self-identify as indigenous or tribal.</li> </ul> <p>Despite common characteristics, there does not exist any single accepted definition of indigenous peoples that captures their diversity as peoples. Self-identification as indigenous or tribal is usually regarded as a fundamental criterion for determining whether groups are indigenous or tribal, sometimes in combination with other variables such as language spoken and geographic location or concentration.</p>

<sup>9</sup> Synthesized from UNDRIP articles enumerated below, in particular Art 1, 19, 12, 32.

<p><b>Indirect land-use change:</b> If REDD+ activities prevent an existing use of forest (e.g. grazing) or a change in land use (e.g. to agriculture), but do not reduce the drivers of land-use change, the land use may occur in another area. This is ‘indirect land-use change’. <b>See also “land-use change”.</b></p>
<p><b>Involuntary resettlement:</b> Physical or economic displacement or relocation without the displaced person’s informed consent or power of choice, or where the consent or choice is being exercised in the absence of reasonable alternative options.</p>
<p><b>Land-use change:</b> A change in the use or management of land by humans, which may lead to a change in land cover. Land-use change may include conversion from natural ecosystems to agriculture, planted forest or pasture, development of infrastructure or commencement of extractive activities. <b>See also “natural ecosystems”.</b></p>
<p><b>Low carbon:</b> Low-carbon systems minimise net carbon dioxide emissions from human activity.</p>
<p><b>Most vulnerable and marginalized groups:</b> Relevant stakeholder groups that are lacking assets for secure, sustainable, livelihoods and/or lack influence over decision-making processes including, for example, women, youth, elders and the disabled.</p>
<p><b>Multiple functions of forest:</b> These include the production of goods, protection of soil and water, conservation of biodiversity and provision of socio-cultural services (<a href="#">FAO Definitions</a>).</p>
<p><b>Natural ecosystems:</b> Ecosystems composed primarily of indigenous species, not established by human intervention and with limited human impact.</p>
<p><b>Natural forest:</b> A forest composed primarily of indigenous trees, not established by planting or/and seeding in the process of afforestation or reforestation.</p>
<p><b>Natural resource:</b> Any portion of the natural environment, such as air, water, soil, plants and animals, and minerals (based on <a href="#">FAO 1998 Terminology for Integrated Resources Planning and Management</a>).</p>
<p><b>Other forest dependent communities:</b> The draft UN-REDD Programme Guidelines for Seeking the Free, Prior, and Informed Consent of Indigenous Peoples and other Forest Dependent Communities (hyperlink to document will be added) extends the right to free, prior and informed consent to indigenous peoples and other forest dependent communities, defined as follows “Directly or indirectly affected indigenous peoples, tribal groups, ethnic minorities and other forest dependent communities have the right to give or withhold their consent, through their own representative institutions and following their own decision-making processes, regarding activities, proposals, legislative and administrative measures, and policies that may affect their land, territories, resources or livelihoods. All customary and formal rights holders should be represented in the decision-making process (including men, elders, women, youth, children, persons with disabilities, and the poor).”</p>
<p><b>Plantation:</b> Forest/Other wooded land of indigenous or introduced species, established through planting or seeding (<a href="#">FAO Definitions</a>).</p>
<p><b>Planted forest:</b> See “Plantation”.</p>
<p><b>Relevant stakeholders:</b> Relevant stakeholders are those groups that have a stake or interest in the forest and those that will be affected either negatively or positively by REDD+ activities. Relevant stakeholders include rights holders, those groups whose rights (human rights, customary or statutory rights, and/or collective rights) will be affected by REDD+ activities. These groups include relevant government agencies, formal and informal forest users, private sector entities, civil society, indigenous peoples and other forest dependent communities(as defined by the <a href="#">UN-REDD Programme and FCPF Guidelines on Stakeholder Engagement in REDD+</a>).</p>
<p><b>Reversals:</b> Losses of forest carbon stocks or other benefits that had earlier been successfully retained or enhanced by REDD+.</p>
<p><b>Rule of law:</b> “A principle of governance in which all persons, institutions and entities, public or private, including the state itself, are accountable to laws that are publicly promulgated, equally enforced and independently adjudicated, and which are consistent with international human rights norms and standards.</p>

It requires measures to ensure adherence to the principles of supremacy of the law, equality before the law, accountability to the law, separation of powers, participation in decision-making, legal certainty, avoidance of arbitrariness and procedural and legal transparency.“(UN-wide definition, <http://www.un.org/en/ruleoflaw/index.shtml>).

**Traditional knowledge:** “...the manifestations of [indigenous peoples] sciences, technologies and cultures, including human and genetic resources, seeds, medicines, knowledge of the properties of fauna and flora, oral traditions, literatures, designs, sports and traditional games and visual and performing arts” ([UN Declaration on the Rights of Indigenous Peoples](#)).

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**Annex 1: Relationship of Proposed Principles with Cancun safeguards (update to Exhibit 2 of UNREDD/PB5/2010/INF/4)**

The proposed Principles were developed from the Cancun safeguards, and typically each responds to more than one safeguard. The Principles may not comprehensively cover the issues raised by the safeguards.

Principle	Relevant section of <a href="#">Cancun Agreements</a> , Annex I
Principle 1 –Apply norms of democratic governance, including those reflected in national commitments and Multilateral Agreements	2(b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty  2(d) The full and effective participation of relevant stakeholders, in particular, indigenous peoples and local communities (...)
Principle 2 – Respect and protect stakeholder rights, including human rights, statutory and customary rights, and collective rights	2(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 General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples
Principle 3 – Promote and enhance forests’ contribution to sustainable livelihoods	2 (e) Actions are (...) used to (...) enhance other social and environmental benefits (...) <sup>1</sup> <sup>1</sup> Taking into account the need for sustainable livelihoods of indigenous peoples and local communities and their interdependence on forests in most countries, reflected in the United Nations Declaration on the Rights of Indigenous Peoples, as well as the International Mother Earth Day.
Principle 4 – Contribute to low-carbon, climate-resilient sustainable development policy, consistent with national development strategies, national forest programmes and commitments under international conventions and agreements	2(a) Actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements  2(f) Actions to address the risk of reversals
Principle 5 – Protect natural forest from degradation or conversion to other land uses, including plantation forest	2(e) Actions are consistent with the conservation of natural forests and biological diversity, ensuring that actions (...) 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 (...)
Principle 6 – Maintain and enhance multiple functions of forest to deliver benefits including biodiversity conservation and ecosystem services	2(e) Actions (...) incentivize the protection and conservation of natural forests and their ecosystem services (...)  2(e) Actions are (...) used to (...) enhance other social and environmental benefits

Principle 7 – Minimise adverse impacts (direct and indirect) on non-forest ecosystem services and biodiversity	2(e) Actions that are consistent with the conservation of... biological diversity...  2(g) Actions to reduce displacement of emissions
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## Annex 2: How UN-REDD Programme Operational Guidance supports the Social and Environmental Principles and Criteria

The UN-REDD Programme has developed or is developing specific guidance on a number of safeguard issues. This guidance directly informs the steps that countries receiving support from the UN-REDD Programme should take in order to minimize risks and maximize benefits from readiness support for the following Criteria:

UN-REDD Programme Social and Environmental Principles and Criteria	UN-REDD Programme Operational Guidance
Criterion 4 – Ensure the full and effective participation of relevant stakeholders, in particular, indigenous peoples and forest dependent communities, with special attention to the most vulnerable and marginalized groups	FCPF and UN-REDD Programme Guidelines on Stakeholder Engagement in REDD+
Criterion 8 – Promote and enhance gender equality and equity and women’s empowerment	UN-REDD Programme Operational Guidance on Mainstreaming Gender in REDD+ (Pending)
Criterion 9 – Seek free, prior and informed consent of indigenous peoples and other forest dependent communities and respect and uphold the decision taken (whether consent is given or withheld)	UN-REDD Programme Guidelines for Seeking the Free, Prior, and Informed Consent of Indigenous Peoples and other Forest Dependent Communities (Draft)

Any future Operational Guidance will be linked to the Social and Environmental Principles and Criteria as relevant.

## Annex 3: Sources Consulted

The UN-REDD Programme Social and Environmental Principles and Criteria have been informed by the following safeguard frameworks and initiatives relevant to REDD+:

CDM Gold Standard Foundation: <http://www.cdmgoldstandard.org>

Center for International Forestry Research (CIFOR): ‘Realising REDD+: National strategy and policy options’, 2009,  
<http://www.cifor.cgiar.org/Knowledge/Publications/Detail?pid=2871>

Climate Community & Biodiversity Alliance (CCBA) and CARE International: ‘Draft REDD+ Social & Environmental Standards’, 15 January 2010

Convention on Biological Diversity: Decision X/33 Biodiversity and Climate Change.  
<http://www.cbd.int/decision/cop/?id=12299>

Convention on Biological Diversity: Outcomes of the Global Expert Workshop on Biodiversity Benefits of Reducing Emissions from Deforestation and Forest Degradation in Developing Countries. Nairobi, 20-23 September 2010. UNEP/CBD/WS-REDD/1/3.  
<http://www.cbd.int/doc/?meeting=EWREDD-01>

FAO & World Bank, Framework for Assessing and Monitoring Forest Governance, 2011  
<http://www.fao.org/docrep/014/i2227e/i2227e00.pdf>

Forest Carbon Partnership Facility (FCPF): 'Incorporating Environmental and Social Considerations into the Process of Getting Ready for REDD plus', Revised Draft, 7 March 2010

Forest Stewardship Council (FSC): FSC principles and criteria for responsible forest management,  
<http://www.fsc.org/pc.html>

Helen Clark, UNDP Administrator: Opening remarks at the 23<sup>rd</sup> Session of the International Coordinating Committee of National Institutions for the Promotion and Protection of Human Rights (ICC), Geneva, March 2010

IDB (Inter-American Development Bank): 'Operational Policy on Involuntary Resettlement',  
<http://www.iadb.org/topics/index.cfm?lang=en>

International Institute for Environment and Development (IIED): Forest Governance Learning Group, <http://www.iied.org/natural-resources/key-issues/forestry/forest-governance-learning-group>

International Labor Organization (ILO):

Convention 29 (forced labor), <http://www.ilo.org/ilolex/cgi-lex/ratifce.pl?C029>,

Convention 87 (freedom of association), <http://www.ilo.org/ilolex/cgi-lex/ratifce.pl?C087>

Convention 98 (right to collective bargaining), <http://www.ilo.org/ilolex/cgi-lex/ratifce.pl?C098>

Convention 100 (equal remuneration), <http://www.ilo.org/ilolex/cgi-lex/ratifce.pl?C100>

Convention 111 (discrimination in employment), <http://www.ilo.org/ilolex/cgi-lex/ratifce.pl?C111>

Convention 105 (forced labor), <http://www.ilo.org/ilolex/cgi-lex/ratifce.pl?C105>

Convention 120 (hygiene), <http://www.ilo.org/ilolex/cgi-lex/ratifce.pl?C120>

Convention 138 (minimum age), <http://www.ilo.org/ilolex/cgi-lex/ratifce.pl?C138>

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#### Annex 4 – Summary of Previous Consultations on the Principles and Criteria

As a part of the process, a number of initial consultations with experts have taken place and the social Principles and Criteria have been presented and discussed at a number of fora, including:

- April 2010 – Workshop on Ecosystem-Based Multiple Benefits of REDD+, WCMC Cambridge
- June 2010- Transparency International Workshop on Climate Governance, Berlin
- June 2010 – Rights and Resources Initiative dialogue, Washington DC
- June 2010- UN-REDD workshop on Addressing Deforestation and Degradation through Multiple Benefits of Forests and REDD+, Nairobi
- July 2010- CCBA/CARE consultation on REDD+ SES, Washington DC
- August 2010 - detailed technical comments from CCBA, CARE and Rainforest Alliance
- October 2010 - Independent comparative analysis of UN-REDD social principles, REDD+ SES and FCPF SESA, undertaken by Proforest (commissioned by CCBA/CARE)
- October 2010 - Presentation of Social Risk Identification and Mitigation tool, 5th UN-REDD Programme Policy Board meeting, Washington DC
- November 2010 - Background Paper prepared for the REDD+ Partnership Workshop on Enhancing Coordinated Delivery of REDD+: Emerging Lessons, Best Practices and Challenges, Cancun, Mexico 26 November 2010.
- March 2011 – Presentation of the Social and Environmental Principles and Criteria (version 1), 6<sup>th</sup> UN-REDD Programme Policy Board meeting, Da Lat, Vietnam
- June 2011 - Three events at UNFCCC SBSTA 34 in Bonn: Ecuador / UN-REDD Programme side event ‘Progress in addressing REDD+ safeguards’; CBD mini-workshop on Biodiversity Safeguards of REDD+; CBD/UN-REDD Programme joint side event on Biodiversity Safeguards of REDD+.
- July 2011 - CBD’s “Latin America – Caribbean Regional Consultation and Capacity Building Workshop on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (REDD-plus), Including on Relevant Biodiversity Safeguards” in Quito, Ecuador. Draft shared for participants’ comments.
- July – August 2011 – Principles & Criteria (version 2) circulated for comment from Policy Board, Independent Advisory Group on Rights, Forests and Climate Change, and selected independent experts and presented for input in Democratic Republic of the Congo, Nigeria and Vietnam.