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## Social and Environmental Principles and Criteria (SEPC)

UN-REDD Programme  
Viet Nam workshop on national safeguards  
19<sup>th</sup> April 2012




## Outline

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- SEPC Purpose
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## Background

REDD+ has the potential to deliver substantial benefits beyond carbon. But some risks associated with REDD+.

The risks and benefits are reflected on the Cancun safeguards.

UN-REDD Programme 2011-2015 Strategy states: 'will support...Developing framework principles and guidelines for safeguarding long-term supply of multiple benefits from forests'

The SEPC is a set of 7 principles accompanied by 25 criteria which help to set out what REDD+ country strategies need to meet in order to ensure that REDD+ does no harm and ensures benefits

The SEPC are coherent with and draw from the broader guidance provided by Cancun agreement.

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## Development of SEPC

- Nov 2010 Update on Social and Environmental Principles presented to **PB5**
- Mar 2011 SEPC Version 1 presented to **PB6**
- July 2011 SEPC Version 2 released for consultation
- Oct 2011 SEPC Version 3 presented to **PB7** and released for wide stakeholder consultation
- Dec 2011 Benefit and Risk Tool released for wide stakeholder consultation
- Feb 2012 SEPC workshop
- Mar 2012 SEPC (Version 4) presented to **PB8** for endorsement as a guiding framework
- Apr 2012 SEPC welcomed the SEPC as a voluntary guiding framework and recommends further work (draft decision)

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## SEPC Purpose

The SEPC provides a guiding framework for the UN-REDD Programme to address two specific needs:

1. Addressing social and environmental issues in UN-REDD National Programmes and other UN-REDD funded activities.
  - In the formulation of national UN-REDD programmes
  - In the review, both internal and independent, of national programme documents
  - In the application of the planning, monitoring and reporting framework that guides national programme implementation
2. Supporting countries in developing national approaches to REDD+ safeguards in line with UNFCCC


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## SEPC – additional points

- Reflect a human-rights based approach to programming
- Uphold UN conventions, treaties and declarations
- Apply UN agencies' policies and procedures
- Principles are overarching statements about desired outcomes
- Criteria are conditions that would need to be met by UN-REDD Programme funded activities to contribute to the achievement of the principle
- Three principles on social issues, one on social and environmental policy coherence and three on environmental issues

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## Benefit and Risk Tool (BeRT)

- BeRT is being developed to help apply the SEPC
- In first instance, designed to assist national REDD+ teams to develop national programmes in accordance with SEPC
- Elaborates a series of questions under each criterion to assist in the identification of issues to be addressed.
- BeRT will be further developed to support other applications of the SEPC

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## Social and Environmental Principles

**Principle 1** – Apply norms of democratic governance, as reflected in national commitments and Multilateral Agreements

**Principle 2** – Respect and protect stakeholder rights in accordance with international obligations

**Principle 3** – Promote sustainable livelihoods and poverty reduction

**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

**Principle 5** – Protect natural forest from degradation and/or conversion

**Principle 6** – Maintain and enhance multiple functions of forest including conservation of biodiversity conservation and provision of ecosystem services

**Principle 7** – Avoid or minimise adverse impacts on non-forest ecosystem services and biodiversity

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Social and Environmental Principles and Criteria

## Principle 1

**Apply norms of democratic governance, as reflected in national commitments and Multilateral Agreements**

**Criterion 1** – Ensure the transparency and accountability of fiduciary and fund management systems linked to REDD+ activities

**Criterion 2** – Ensure legitimacy and accountability of all bodies representing relevant stakeholders, including through establishing responsive feedback and grievance mechanisms

**Criterion 3** – Ensure transparency and accessibility of information related to REDD+, including active dissemination among relevant stakeholders

**Criterion 4** – Ensure the full and effective participation of relevant stakeholders in design, planning and implementation of REDD+ activities, with particular attention to indigenous peoples, local communities and other vulnerable and marginalized groups

**Criterion 5** – Promote coordination, efficiency and effectiveness among all agencies and implementing bodies relevant to REDD+

**Criterion 6** – Promote and support the rule of law, access to justice and effective remedies

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## Principle 2

**Respect and protect stakeholder rights in accordance with international obligations**

**Criterion 7** – Respect and promote the recognition and exercise of the rights of indigenous peoples, local communities and other vulnerable and marginalized groups to land, territories and resources, including carbon


**Criterion 8** – Promote and enhance gender equality, gender equity and women's empowerment

**Criterion 9** – Seek free, prior and informed consent of indigenous peoples and respect and uphold the decision taken (whether consent is given or withheld)

**Criterion 10** – Ensure there is no involuntary resettlement as a result of REDD+

**Criterion 11** – Respect and protect traditional knowledge, and cultural heritage and practices

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## Principle 3

**Promote sustainable livelihoods and poverty reduction**

**Criterion 12** – Ensure equitable, non-discriminatory and transparent benefit sharing among relevant stakeholders with special attention to the most vulnerable and marginalized groups

**Criterion 13** – Protect and enhance economic and social well-being of relevant stakeholders, with special attention to the most vulnerable and marginalized groups

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## 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**


**Criterion 14** – Ensure consistency with and contribution to national climate policy objectives, including those of mitigation and adaptation strategies and international commitments on climate

**Criterion 15** – Address the risk of reversals of REDD+ achievements, including potential future risks to forest carbon stocks and other benefits to ensure the efficiency and effectiveness of REDD+

**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 forest sector and/or land use change

**Criterion 17** – Ensure consistency with and contribution to national biodiversity conservation policies (including National Biodiversity Strategies and Action Plans), other environmental and natural resource management policy objectives, national forest programmes, and international commitments on the environment

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## Principle 5

**Protect natural forest from degradation and/or conversion**

**Criterion 18** – Ensure that REDD+ activities do not cause the conversion of natural forest to planted forest, unless as part of forest restoration, and make reducing conversion of forests to other land uses (e.g. agriculture, infrastructure) a REDD+ priority


**Criterion 19** – Avoid or minimise degradation of natural forest by REDD+ activities and make reducing degradation due to other causes (e.g. agriculture, extractive activities, infrastructure) a REDD+ priority

**Criterion 20** – Avoid or minimise indirect land-use change impacts of REDD+ activities on forest carbon stocks, biodiversity and other ecosystem services



Source: JPO Kanchi Shiroo (D-823)


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## Principle 6


**Maintain and enhance multiple functions of forest including conservation of biodiversity and provision of ecosystem services**



**Criterion 21** – Ensure that land-use planning for REDD+ explicitly takes account of potential synergies and trade-offs between the multiple functions of forest and the benefits they provide, respecting local and other stakeholders' values

**Criterion 22** – Ensure that planted and natural forests are managed to maintain and enhance ecosystem services and biodiversity important in both local and national contexts

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## Principle 7

**Avoid or minimise adverse impacts on non-forest ecosystem services and biodiversity**

**Criterion 23** – Avoid or minimise adverse impacts on carbon stocks, other ecosystem services and biodiversity of non-forest ecosystems resulting directly from REDD+ activities

**Criterion 24** – Avoid or minimise adverse impacts on carbon stocks, other ecosystem services and biodiversity of non-forest ecosystems resulting indirectly from REDD+ activities (including those of indirect land-use change impacts and intensification of land use)


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## Links to UN REDD Tools & Instruments

- Guidelines on Stakeholder Engagement and on Free, Prior and Informed Consent (FPIC)
  - Direct means to support implementation of SEPC Criterion 4 (Full and effective participation of relevant stakeholders) and 9 (Seek free, prior and informed consent of indigenous peoples)
- Participatory Governance Assessments for REDD+ (PGA)
  - SEPC can provide a starting point to frame multi-stakeholder discussions to identify and prioritize governance issues
  - PGA can provide information on SEPC governance criteria
- Multiple Benefits
  - SEPC underpins this work by providing a framework to ensuring identification of potential opportunities and risks from REDD+ and action taken to address them.

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## Links to FCPF processes and the REDD+ SES


**FCPF**  
Strategic Environmental and Social Assessment (SESA) is required for FCPF funding and includes an Environmental and Social Management Framework as a distinct output. Used by UN Agencies that are FCPF Delivery Partners.

- SEPC can inform the SESA process by drawing attention to REDD+ specific issues
- Seek to ensure that in joint countries SEPC and SESA are coordinated in a complementary way

**REDD+ Social and Environmental Standards (SES)**

- Joint UN REDD / SES meeting held in Cambridge (19 March)
- Potential for collaboration in connection with supporting the development of national approaches to safeguards
- Agreed to exploring ways to do this in three countries

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## Next Steps

- Update current version and further tailor BeRT and develop other tools to support application of the SEPC, as needed
- In parallel, working with countries to provide support for the development of harmonised national systems of safeguards
- Testing SEPC and BeRT for different applications
- Develop explicit guidance on joint application of the set of UN-REDD Programme tools, including further elaboration of the process of implementing these tools
- Continue engagement to formalize linkages with FCPF and REDD+ SES

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Thank you for listening!

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