Southeast Asia Regional Training Workshop
Social and Environmental Soundness in REDD+ Programs and Projects
Bangkok, November 5-9, 2012

Workshop Summary Report

Social and Environmental Soundness in REDD+ Programs and Projects

Training Workshop, November 5-9, 2012

USAID's Asia Regional Training Center, Bangkok, Thailand

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About FCMC
FCMC is a global strategic project funded by USAID, with funding from central USAID units, i.e., the Bureau of Economic Growth, Education and Environment (E3), Global Climate Change (GCC), and the Bureau for Latin America and the Caribbean. It is implemented by Tetra Tech along with Conservation International, World Resources Institute, Greenhouse Gas Management Institute, Landesa, and Terra Global Capital.

FCMC's core mission is to support USAID work on Reducing Emissions from Deforestation and Forest Degradation and the role of conservation, sustainable management of forests and enhancements of forest carbon stocks (REDD+), at the international, regional, and national levels.

FCMC is based in Washington, DC, with regional short-term or technical assistance and training in Asia, Africa and Latin America.

About LEAF
LEAF is a regional program funded by USAID's Regional Development Mission for Asia. It is implemented by Winrock, along with Climate Focus, the Netherlands Development Organization (SNV), and the Center for People and Forests (RECOFTC). LEAF supports REDD+ work in Asia, focusing on policy and market incentives, economic valuation, monitoring of forest carbon stocks, and innovation in sustainable land management.

LEAF works in six core countries: Thailand, Viet Nam, Lao PDR, Cambodia, Malaysia, and Papua New Guinea. It also aims to replicate work in Indonesia, the Philippines, India, Bangladesh, Bhutan, and Nepal.

Contents

Overview

A training workshop on Social and Environmental Soundness of REDD+ Programming and Implementation was conducted from November 5 to 9, 2012, at the USAID Asia Regional Training Center (ARTC) in Bangkok, Thailand. The workshop was organized by USAID, through its Forest Carbon, Markets, and Communities (FCMC) and Lowering Emissions in Asia's Forests (LEAF) programs, with support from USAID's Regional Development Mission for Asia (RDMA), as well as USAID's Bureau for Economic Growth, Education and Environment (E3) and Global Climate Change Unit.

The workshop goals and objectives were:

To improve the social and environmental soundness (SES) of the work of USAID and partners in Southeast Asia on Reducing Emissions from Deforestation and Forest Degradation and the role of conservation, sustainable management of forests and enhancements of forest carbon stocks (REDD+) and related USAID Sustainable Landscapes (SL) programs:

- To integrate into these programs key principles, approaches, applications, experience and lessons for social and environmental soundness in relevant natural resource management (NRM) sectors, as well as decades of relevant experience and lessons learned;
- To identify and work on key social and environmental soundness issues related to REDD+; and
- To apply these principles, issues, lessons, approaches and applications to country-specific situations and actions.

A group of 43 people participated in the workshop, with representatives from Thailand, Viet Nam, Cambodia, Lao PDR, Malaysia, Papua New Guinea, Indonesia, and the Philippines. Participants included USAID, LEAF and FCMC staff, government and non-governmental representatives, academics and resource persons, including from the UN-REDD Programme in Asia-Pacific and The Center for People and Forests (RECOFTC). More than 40 percent of the workshop participants were women.

The training workshop aimed to be interactive and participatory, to draw from the participants' own experience and to enhance their work on these issues.

The workshop was designed in two parts. The first segment, running for four days, was open to all participants. The second segment on the final (fifth) day, was targeted to USAID programming requirements. While open to all participants, this segment was designed for USAID staff and implementation partners, and assumed familiarity with USAID programming and procedures.

USAID and FCMC plan to draw from the experience and lessons learned of this training workshop, to offer similar workshops in 2013 in Latin America and Africa.

Key Messages

Throughout the week, the workshop participants discussed and debated how best to ensure social and environmental soundness in the programming and implementation of programs and projects aiming to support REDD+.

- Social and environmental soundness is a concept for sound development, based on sound analysis and sound process. It aims to ensure the feasibility and compatibility of development with local cultural, socio-economic and environmental conditions.

- To ensure soundness in REDD+ programming, it is important to view the REDD+ issues in a broader development context, looking at issues such as systems models, theories of change, scale, stakeholder engagement, sustainability, gender and other social and biodiversity analyses.

- Although work on REDD+ issues is relatively new, decades of relevant experience in natural resource management, community forestry, integrated conservation and development, landscape approaches to biodiversity conservation and development, payments for environmental services – and other broader development experience – can provide useful guidance and building blocks for REDD+.

- Even though work on REDD+ social and environmental issues is already well underway in many countries, it is still useful to consider the broader framework, to analyze whether or not any important gaps exist, and if so, how they can best be addressed.

The workshop also discussed more REDD+ specific concerns that fall under the broad topic of social and environmental soundness, such as social and biodiversity safeguards and standards, development of country safeguard systems and safeguard information systems, stakeholder engagement, land and resource tenure and carbon rights, and social and environmental assessment, indicators, monitoring, measurement, reporting and verification. Towards the end of the full workshop, participants worked in country teams to assess their current activities, and review their upcoming plans and how they might adjust them in light of issues discussed at the workshop.

Following the full workshop, a smaller group met for a half day to discuss how the workshop issues could be addressed in terms of USAID requirements and procedures, such as mandatory environmental, gender and sustainability analyses, and recommended social soundness and conflict analyses. This discussion noted the difficulties in doing integrated USAID programming, given that many issues supported by USAID have their own dedicated, "earmarked" funding.

Two volunteers took notes each day and reported back the following morning on key messages of the previous day. In addition, workshop participants completed written evaluations in which they identified the key skills, knowledge and practical information that they gained from the workshop.

In the feedback on the workshop evaluation forms, participants agreed or strongly agreed that the workshop objectives had been met.

In terms of **skills and knowledge gained**, participants overwhelming noted:

- **Increased understanding of terminology and principles**, such as social and environmental soundness (SES), safeguard information systems (SIS), safeguards, standards and benefits; and
- **Increased understanding of tools and processes**, such as gap analysis, stakeholder engagement, gender analyses and gender mainstreaming, safeguards and SIS, and systems thinking.

Other categories included:

- **Enhanced professional network** (network of social scientists and forest practitioners in the region);
- **Lessons learned from past approaches** (lessons from community forestry, integrated conservation and development projects (ICDP), landscape approaches);
- **Challenges of implementation** (how to integrate into existing programs, building on existing policies, capacity building, tenure issues, overall challenges of implementation); and
- **Information exchange** (other countries) (learning from the experiences of other countries).

They also identified areas requiring follow-up or further support, including:

- **Country-level support/training (general)**;
- **Support for SIS development**;
- **More training on specific topics** (monitoring protocols, payment for environmental (or ecosystem) services (PES), and additional tools for social assessment); and
- **Integrating SES into existing programs**.

Workshop participants also expressed the desire for more case studies (success stories and failures) and greater emphasis on specific country status, as it relates to the issues being discussed.

Session Summaries

DAY #1

Welcome and introductions

Ms. Carrie Thompson, Deputy Director for the USAID Regional Development Mission for Asia (RDMA), welcomed the participants and opened the workshop. She mentioned the importance of forestry issues in the region, as over 200 million people in Southeast Asia are dependent on forests. Ms. Thompson also emphasized that ensuring that REDD+ programs and projects are social and environmentally feasible and sustainable is essential for their success.

Dr. Paula J. Williams, who leads up work on Social and Environmental Soundness issues for the USAID-supported FCMC Program, introduced the workshop objectives, agenda, and plans for the week. Following this brief introduction, participants briefly introduced themselves, and mentioned what they hoped to get out of the workshop.

Session 1 – Overview of Social and Environmental Soundness in REDD+

Mr. Evan Notman, of USAID's Global Climate Change office, introduced key issues for the workshop. He gave an overview of US government policies and programs on REDD+, climate change and low-emissions development strategies. Evan stressed that USAID is a development agency, so all of its work on climate change is within a development perspective. He introduced some key concepts for the workshop, especially the concept of "social and environmental soundness," which refers to a comprehensive, solid approach to addressing all relevant social and environmental issues in development. Thus, soundness is more comprehensive than, and includes, issues such as social and environmental safeguards and environmental standards, stakeholder engagement, impact assessments, benefits, costs and rights. He mentioned three key principles for REDD+: to "do no harm," to "do good," and to have "no regrets." Following his talk, participants posed questions regarding criteria, safeguards and standards, guidelines related to Strategic Environmental and Social Assessments (SESAs) and Environmental and Social Management Frameworks (ESMFs) for REDD+, and USAID programming guidelines related to environmental and social issues.

Session 2 – Identifying Key SES Challenges with the Country Context for REDD+

Dr. David Ganz, Chief of Party for the USAID-supported LEAF Program, then moderated a set of presentations and discussions regarding country-level challenges for REDD+. Mr. Limchhun Hour, LEAF Country Coordinator for Cambodia, presented challenges for Cambodia and Mr. Rudi Subarudi, of the Center for Climate and Forest Policy, Ministry of Forestry, gave a presentation on key issues for Indonesia. Among the challenges mentioned were limited human resource capacity, limited knowledge of REDD+ at the sub-national and local levels and the need to address gender issues and benefit distribution systems (BDS). The social risks of climate change were also highlighted, such as threats to livelihood, limited access to natural resources, risks of islands disappearing, threats to food security, diseases and social conflict. Following these two presentations, other participants from Cambodia,

Thailand, Lao PDR, Malaysia, Viet Nam, Papua New Guinea and the Philippines shared some of their ideas on key challenges.

Among the issues discussed were the importance in ensuring benefits for the poor and the need to understand that the poor are not the cause of deforestation. Other participants stressed gaps in information and knowledge and even lack of clarity about REDD+– does it really exist? Will the carbon market really materialize? How can it help to improve local livelihoods and reduce poverty? Given that some countries have been practicing sustainable forest management (SFM) for 50 years, how would REDD+ provide further help? Concern was expressed that it was already difficult enough to address safeguards and other REDD+ issues, but now it would be a challenge to consider broader issues of social and environmental soundness. The need to bring together stakeholders and to better integrate social and environmental issues into REDD+ work was mentioned. Other issues included how REDD+ and social issues are not yet fully integrated into land use planning, how forest conservation has to compete with other land uses, and in many areas, there is poor governance and limited human resource capacity to work on these issues. Moreover, with national elections changes can occur in leadership and staffing, e.g., maybe the current Minister supports REDD+ but what about the next one? The importance of working towards soundness and safeguards for the whole forest sector, not just for REDD+, was highlighted. Another participant commented on the need to focus more on sustainable benefits of forests, livelihoods and poverty issues and manage community expectations regarding REDD+ payments.

Session 3 – Principles of Social and Environmental Soundness from Natural Resource Management (NRM) for REDD+

Dr. Diane Russell, a Senior Social Scientist with USAID's Forestry and Biodiversity Office, reviewed how USAID views the concept and importance of social and environmental soundness in program design and implementation. She reminded participants of social and environmental issues that had arisen three decades ago with large infrastructure projects, such as the Aswan Dam. As a result, development agencies began to hire social scientists. The World Bank, the Global Environment Facility and some other development organizations developed safeguards, whereas USAID developed an approach to social soundness analysis in program design, which was mandatory until about 15 years ago. When REDD+ began, USAID had no safeguards and no mandatory social and environmental soundness analysis in place. Diane defined social and environmental soundness as involving both sound analyses, based on social and environmental science, and sound processes. Diane discussed decades of experience with natural resource management programs and key principles in developing sound NRM programs, including what she termed the "Four S's of soundness" – issues of scale, systems models, stakeholder engagement and sustainability. She also mentioned that currently work is ongoing to update an approach for sound natural resource management that had been developed by USAID some years ago, the Nature-Wealth-Power (NWP) paradigm.

Diane stressed the importance of "seeing the big picture," which is why the systems models (including related "theories of change") and scale issues are so important. Systems models could be very useful, for example, in considering drivers of deforestation and building sound national REDD+ strategies. If one understands the system well, then targeted policy changes could have big impacts. Regarding

stakeholder engagement, she noted that many important stakeholders are often "invisible," but need to be included. Diane stressed the importance of process and of focusing on building on stakeholders' assets and strengths, rather than on problems. In terms of sustainability, several key issues are relevant for REDD+. For environmental sustainability, for example, it is vital to identify "no-go" zones for critical habitats and to consider what can be land uses can be off-set versus what is irreplaceable. In terms of economic and social sustainability, REDD+ alone is insufficient: it is important to support broad-based rural development and attack perverse incentives. It is vital to focus on building social capital, i.e., human resources, social interaction, trust, working together, as social capital is essential for negotiations among stakeholders. Finally, she noted that it is important to address the question of how to do – and pay for – all this potentially expensive analysis.

Following her presentation, a brief discussion touched on issues of the need to base development programming on social and environmental science, as well as on local wisdom and traditional knowledge, the value of mapping impact pathways and looking at assumptions and issues of scale, i.e., the proper level of scale to address REDD+ programming needs. It was noted that REDD+ is still evolving and it is important to consider what issues need to be analyzed to ensure that REDD+ will actually work.

Session 4 – World Café – Brainstorming Discussions on 5 Key Topics

Ms. Laurie Harrison, working with FCMC, introduced the World Café methodology, wherein participants were to contribute to three different discussions. The three sessions for each topic was hosted by one facilitator. The five topics were chosen from questions submitted by workshop participants prior to the workshop:

> 1. Can REDD+ implementation really help to promote community rights to resources?
> 2. What benefit distribution systems work for REDD+ to maximize benefits to the community to protect and conserve forests toward carbon trade?
> 3. How should REDD+ projects be implemented without any undesirable impacts on the environment, which existing and new safeguards can address?
> 4. How can we make SES issues something that is practical and implementable in programs?
> 5. What are the links between REDD+, governance and democracy?

These sessions were quite lively and generated a lot of discussion. Participants were given 20 minutes for each conversation, which took place among seven to 10 participants and then they rotated to another location to discuss another topic. Participants were asked to report out at the end of the Café sessions. Each topical discussion covered a wide range of issues, but some selected issues are summarized here.

The first group considered whether REDD+ implementation can really help to promote community rights in terms of land tenure and other rights. They concluded that it depends on whose rights they are and how rights are defined and assigned. For example, ancestral groups may have more rights than migrants. They noted the importance of considering the rights of Indigenous Peoples, non-indigenous

peoples, the government or state, the private sector, and the issue of Free, Prior and Informed Consent (FPIC).

The second group considered what benefit distribution schemes (BDS) could work for REDD+ to maximize benefits to the community to protect and conserve forests towards carbon trade. They noted that there is no fully functional REDD+ BDS yet, but work can build on existing models of benefit sharing in each country. For example, in Papua New Guineas (PNG) there is sharing of forest revenues; in Thailand sharing of forest resources; and in Lao PDR sharing of forest royalties (taxes). Benefit sharing arrangements must consider not only benefits, but costs, as well as a range of other issues, such as tenure, rights to full ecosystem services, the time until benefits are shared (i.e., immediate vs. long-term), agreements and grievance mechanisms, and differing perceptions of rights.

The third group looked at how REDD+ projects should be implemented without any undesirable impacts on the environment, which existing and new safeguards can address. They noted the importance of distinguishing unintended consequences from failures in implementation. The issues raised along this line included: loss of biodiversity due to forest fragmentation; measuring emissions from forest degradation; how to address multiple ecosystems services; how to get scales right; leakage and conversion; developing strong stakeholder processes that consider social and environmental impacts; and difficulty of monitoring policies, safeguards and forest degradation at multiple scales.

The fourth group examined how to make incorporation of SES issues practical and implementable in programs. They agreed that it is essential to build on existing processes, laws, institutions and structures, incorporate principles of inclusivity, and transparency and multi-stakeholder leadership. For example, REDD+ could build upon and improve the existing national policies and procedures, such as for environmental impacts assessments, Free, Prior and Informed Consent (FPIC) and safeguards. It is also essential to look at how REDD+ relates to economic development and the private sector. Moreover, strong leadership and vision are vital to use REDD+ as an opportunity to strengthen existing policies and practices.

The fifth group discussed links between REDD+, governance and democracy, noted that a key element in REDD+ success is good forest governance. REDD+ can lead to enhanced social capital, help with decentralization and improve governance structures and processes. They also discussed how participatory approaches will improve local decision making and how REDD+ has increased awareness of climate change and natural resource management. The government staff needs to understand the value of public consultations and stakeholder engagement, rather than just informing the population after a decision has been made. It is also important to secure funding to cover the costs of government staff spending more time in the field working with local communities.

DAY #2

Day 2 began with a summary of key messages from the previous day, prepared by Filipino participants, Ms. Rosalie Imperial and Dr. Edwino Fernando, which Rosalie presented. The second day focused on

lessons learned from natural resource management experience, engaging stakeholders in REDD+, gender issues and biodiversity issues.

Session 5 – Lessons Learned: Building from Experience

Dr. Tom Clements, Cambodia Country Director for the Wildlife Conservation Society, moderated a panel discussion on key lessons learned from decades of natural resource management experience that are relevant for REDD+. Panelists included Mr. Steven Swan on integrated conservation and development projects (ICDPs), Dr. Diane Russell on landscape scale approaches to conservation, Dr. Bob Fisher on community forestry experience, and Ms. Neang Malyne on Payments for Ecosystems Services (PES). Each panelist spoke for five to 10 minutes. Following the presentations, the participants broke into four discussion groups led by the panelists.

ICDPs emerged in the 1980s as efforts to conserve forests or protected areas with links to agriculture and buffer zone. These programs were developed on the assumption that development in adjacent areas would mean that people would not go into the forests, which over time proved to be woefully wrong, and thus many ICDPs turned out to be failures in this regard. Similarly, REDD+ now assumes that carbon financing can compete with other land uses: this assumption remains to be tested. REDD+ programs are expected to improve upon the approaches used by ICDPs, insofar as REDD+ has: 1) more clearly defined goals; 2) likely more sustained financing (compared with ICDPs, which often had only three to five years of donor grants); and 3) measurement, reporting and verification (MRV) required (often weak or missing in ICDPs).   In addition, three key weaknesses found in ICDPs might also pose risks for REDD+: 4) erroneous assumptions that communities are homogenous; 5) lack of adequate upfront analysis of local livelihoods and impacts on livelihoods; and 6) weaknesses vis-à-vis true and effective stakeholder engagement. The subsequent discussion group brought up the issue of the need for impact monitoring.

Regarding landscape scale ecosystem conservation, considerable efforts have been developed for UNESCO Biosphere Reserves (now 160 sites), as well as work on large landscapes, variously termed as heartlands, eco-regions, hot spots, watersheds, habitats and seascapes. USAID now has a program, Sustainable Conservation Approaches in Priority Ecosystems (SCAPES), working on these issues. The challenge is to make such approaches actually work in terms of implementation, adaptive management, landscape and land use planning, integrating the ideas of multiple stakeholders and ensuring adequate linkages with local government (as landscape boundaries may not coincide with administrative jurisdictions). Other challenges include achieving financial sustainability of conservation on a large scale and how to do adaptive management on a landscape scale, i.e., responding to threats. The working group discussion also mentioned the importance of different scales, including livelihood scales vs. landscape scales, threats of fragmentation, and cascading impacts on livelihoods. The landscape approach can contribute to REDD+ and LEDS, by integrating landscapes, biodiversity, and multi-stakeholder approaches. As the landscape approach is not jurisdictional, however, it could be more difficult to apply to REDD+.

For issues of payments for ecosystem services, or Payments for Environmental Services (PES), several key lessons have been learned. It is important to clarify who is the payer, who is the payee and what is

the payment. The whole concept of PES is often not well known or understood. Often outsiders assume that villagers will not understand PES issues, so the outsiders do not explain them well. In some places, such as Cambodia, the term "PES" itself is not acceptable in the local language (the alternative used is "incentives for environmental services," as "payments" has the connotation of paying compensation for something done wrong). There is a lack of clarity as to whether such PES systems have a lack of additionality, i.e., are people paid to do what they are doing already, or to change their behavior, or to alleviate poverty? Conditionality, i.e., the conditions for payments, is often not well explained or well understood, and independent monitoring is important to get the conditions respected. The working group also discussed the importance of mechanisms for payments and how some other market-based approaches to conservation pre-date the work on PES.

Community forestry has been operating now for more than three decades. Social benefits have been a strong focus of community forestry. Experience has shown many successes, especially with forest conservation, but mixed results with livelihood benefits and mostly poor results with achieving poverty reduction benefits. In many cases, tenure rights have been limited, and moreover, further regulated and limited by the state. Although many reports document benefits from community forestry, most do not assess the costs of these systems, especially foregone access and other opportunity costs for local community members, and the fact that benefits will arrive far in the future, if at all. Community forestry efforts have been most successful when the groups are self-identified, but individual groups need to be linked together into representative networks to decrease administrative costs and build political power. In informal arrangements, women tend to do better, whereas in more formalized systems the local elites tend to dominate. During the working group session, discussion also touched on the issues of rights, including those of residents versus migrants, how to help the local community to actually manage the forests and the importance of reinforcing tenure rights of local people. REDD+ has a lot to learn from community forestry, as it is hard to make community forestry actually work well, especially in terms of governance. While community forestry often begins with degraded forests, REDD+ is targeting forests with high carbon stocks and high biodiversity, so the challenges may be more complex. Yet REDD+ itself may also be a threat to the continued viability of community forestry, especially if governments want to centralize control of forests, including those that have been under community management. In many countries, efforts are ongoing to try to build REDD+ projects on top of existing community forestry.

Session 6 – Stakeholder Engagement and Participation

Diane presented key issues on stakeholders, social diversity and inclusion, highlighting the need to include Indigenous Peoples and forest-dependent communities, as well as other key social groups – elders, youth, and vulnerable groups (poor, disabled, landless). These groups and others – such as women, local communities indirectly affected, and those involved in illegal activities –are often at the greatest risk of being left out. Stakeholder engagement is vital to build and make best use of social capital. We need to consult with the owners and residents of land where REDD+ may operate. The purpose and necessity of Free, Prior, and Informed Consent (FPIC) was reviewed, and the US Government position – to apply the national interpretation of FPIC – for each specific country. In discussing stakeholder engagement, a wide range of approaches to stakeholder engagement and a

variety of methods for inclusion were introduced.   Workshop participants then shared some information on their own experiences with stakeholder engagement in REDD+ processes in their countries. One noted, for example, that they thought that they had invited all key stakeholders to their first REDD+ meeting, but at that meeting it was discovered that several key stakeholders had been overlooked. Natalie Elwell, of USAID's Gender Development and Women's Empowerment office, discussed guidelines for gender-sensitive stakeholder engagement and Diane provided additional advice on best practices for stakeholder engagement.

Diane highlighted some ideas from a FCMC review of actual REDD+ stakeholder engagement, prepared by Dr. Nancy Diamond. This analysis found four levels, or types, of stakeholder engagement at national or sub-national levels: A) "socialization" and learning, or raising awareness and sharing information; B) analysis of problems to establish baselines; C) consensus building and consent; and D) oversight and monitoring roles. As shown below, different methods could be appropriate for different levels of stakeholder engagement. It can be a challenge to match the right tool or methodology to a situation, but when done well it can yield great results.

Methods for stakeholder engagement

Type A
- Stakeholder mapping
- Public hearings & public comment
- Open house
- *Listening sessions*
- World café methods
- Focus groups
- Surveys
- On-line dialogue blogs

Type B
- Topic/Issue hearings, assemblies
- Invited advisory working groups, task force (permanent or temporary)
- National or community issues forum
- Deliberative planning - charrettes, scenarios, *Appreciative Inquiry*
- Citizen juries/panels
- Study circles
- Document review

Type C
- Sustained Dialogue
- Search for Common Ground
- Consensus agreement meetings
- Settlement agreements/Negotiations
- Delphi methodology
- *FPIC (consent)*

Type D
- **Permanent REDD+ Oversight Committees (National, sub-national)**
- Committees/Teams for monitoring impacts and resolving grievances
- Participatory monitoring
- Independent monitoring
- Partnerships

Appreciative Inquiry (AI) was discussed as an example of how successful choice and application of one of these methods can produce breakthrough results. This method is one in which participants focus on building their assets, strengths and visions for the future, rather than emphasizing problems or weaknesses to be addressed. Diane then introduced a brief video, which was shown to the workshop, on how AI had been used in the forest sector in Liberia as a way to build cooperation after years of national conflict.

After the presentations, Natalie proposed five different scenarios, one for each working group, to brain-storm the appropriate choice of stakeholder engagement tools to apply to a given scenario, with the focus of creating gender-sensitive approaches. Group sessions discussed how to engage stakeholders in the following scenarios: 1) financial investors working on policy and revenue sharing issues; 2) technical experts working to develop national REDD+ systems; 3) REDD+ implementing agency developing a work plan; 4) NGO implementer designing a REDD+ project located between agricultural land and national forest; and 5) a rural community preparing a revenue sharing scheme for their portion of funds from a REDD+ project for their forested lands. Different methods and ways of involving women were discussed. Also among the issues mentioned in the working group discussions were possible reputational risks for investors and possible risks of corruption with cash benefit sharing schemes.

Session 7 – Gender Mainstreaming in REDD+ Projects: The Example of LEAF

Natalie briefly presented the experience of the LEAF project in mainstreaming gender into all their activities. LEAF has come up with a gender checklist and aims to mainstream gender at all levels. To do so requires identifying institutions, entry points and specific interventions, building capacity, conducting thorough gender analyses, developing indicators and tracking results. To support this work, a full-time gender specialist was hired, training was provided to the LEAF team and partners, and outreach materials and resource kits prepared. Work is ongoing, for example, in integrating gender perspectives into the LEAF analyses of the forestry law revision being prepared in LAO PDR and development of university curriculum. More work is still needed to agree upon the higher level indicators.

A national LEAF coordinator then provided more specific examples from work done in Viet Nam. Surveys and focus group interviews have provided good information from women on livelihood activities and the benefit sharing distribution has been changed so that women get a more equitable share. Nonetheless, more training on gender awareness is needed. Discussion also touched on integrating gender issues into LEAF's curriculum development work and institutional strengthening activities.

## Session 8 – Biodiversity Issues and Approaches for REDD+

Mr. Stephen Swan, FCMC Consultant, presented on Biodiversity Issues and Approaches for REDD+. He reviewed opportunities and risks to biodiversity posed by REDD+ and raised the concern of possibly overburdening REDD+ with social and biodiversity issues. Nonetheless, opportunities presented by REDD+ for addressing these biodiversity risks must be grasped to be realized. Stephen argued that the biodiversity crisis is moving four to five times as fast as climate change. The main risks to biodiversity are conversion of habitat and displacement of land uses (leakage). Five of the seven Cancun safeguards are relevant to biodiversity, while the meeting on the Convention on Biodiversity (CBD) in Nagoya, Aichi Prefecture, agreed on a new strategy with five targets. Six types of activities exist to deliver biodiversity multiple benefits including: 1) policy – including national REDD+ strategy; 2) national safeguards and standards; 3) integrated sub-national planning processes; 4) regulatory approaches (for example, promoting community forestry); 5) economic instruments (including economic incentives and the like); and 6) monitoring and reporting. The idea of social and biodiversity premiums for forest carbon payments was also introduced. Stephen concluded that "Biodiversity is the natural capital from which you derive carbon: thus it is not an 'optional add-on' for REDD+."

DAY #3

Two workshop participants from Viet Nam, Ms. Ly Thi Minh Hai and Ms. Nguyen Thi Khanh Van, had reviewed highlights from the previous day, which Hai presented. Day 3 moved into some more specific REDD+ issues, dealing with safeguards, social and environmental assessments and monitoring, and land and resource tenure and carbon rights.

Session 9 – Safeguards, Standards, and Safeguard Information Systems

Dr. Paula Williams provided an overview of a range of different safeguards and standards and country-level Safeguard Information Systems (SIS), as agreed by the United Nations Framework Convention on Climate Change (UNFCCC) in Cancun. REDD+ safeguards are policies or mechanisms, sometimes expressed as principles, intended to "do no harm" (and sometimes also to "do good"). REDD+ standards are voluntary performance standards, with criteria and indicators, and may be audited or verified and thus can be used to "raise the bar" for performance. Safeguard Information Systems are voluntary, building on existing systems and respecting national sovereignty. Paula then presented a model for development of Country Safeguard Systems that has recently been developed by colleagues with the REDD+ Social and Environmental Standards initiative, the World Resources Institute, the Forest Carbon Partnership Facility, and UN-REDD (see below). This model was briefly discussed, and suggestions made regarding its possible improvement. For example, participants thought that a gap analysis would be needed for all three streams of work and needs to make allowances for the situation of having good policies, laws and regulations, but weaknesses in implementation and enforcement.

Main steps for development of a country safeguards system
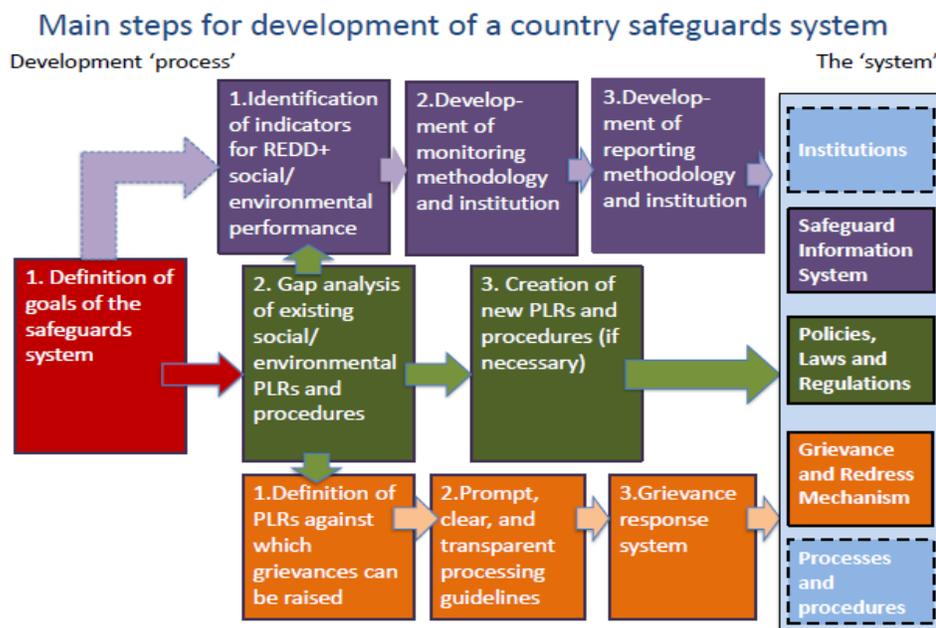
The session concluded with a very animated exercise in which participants divided into country groups, each with different color post-it notes. They discussed the Country Safeguard Systems model as it pertains to their own country, thinking about the different systems already in place or under development and discussing known information. They put their ideas on post-it notes on a large poster of the Country Safeguard Systems.

Session 10 – Social and Environmental Assessments, Indicators, Information, Monitoring, Reporting, and Verification

Diane and Evan presented the need for information, including baseline data, types of indicators and data to measure indicators to assess change and performance, importance of designing simple, feasible and sustainable monitoring systems. They explained that good baseline and monitoring data is necessary for a range of purposes, including testing hypotheses (such as "Theories of Change") and emphasized the need to build upon existing data sources, and keep information systems simple.

The interface between the Strategic Environmental and Social Assessments (SESAs) and safeguard information systems – and information needed for them – is not yet well-established. Diane noted that FCMC is collaborating with the Learning Initiative on Social Assessments for REDD+ (LISA-REDD), to identify best practices for program or national-level assessments. She also mentioned a couple of key references: the Social and Biodiversity Impact Assessment (SBIA) Manual for REDD+ Projects[1] and the Social Assessment of Protected Areas (SAPA) Initiative's review.[2] The important issue of participatory versus independent approaches to social impact assessment was also mentioned.

Evan then discussed MRV issues more deeply, introducing monitoring systems and methodologies used for carbon and greenhouse gases. He noted the need to look at linking information at different scales, both for MRV and SIS.

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[1] Richards, M. & Panfil, S.N. 2011 Social and Biodiversity Impact Assessment (SBIA) Manual for REDD+ Projects: Part 1 – Core Guidance for Project Proponents. Version 2. Climate, Community & Biodiversity Alliance, Forest Trends, Rainforest Alliance, and Fauna & Flora International. Washington, D.C.

[2] Schreckenerg, K., Camaro, I. Withnall, K., Corrigan, C. Franks, P., Roe, D., Scherl, L.M. and Richardson, V. 2010. Social assessment of conservation initiatives: a review of rapid methodologies. Natural Resources Issue No. 22, International Institute for Environment and Development (IIED), London.

Diane and Evan also emphasized the need to develop capacity for monitoring, especially community-based approaches. Questions were raised by participants as to whether community involvement in monitoring would empower communities or just raise their expectations regarding possible future REDD+ payments.   A major element is not just to train and involve communities in data collection, but also in analyzing and using the data.

Session 11 – Land and Resource Tenure and Carbon Rights

Paula presented ideas on addressing tenure and carbon rights issues in REDD+ and also the need to consider how climate change may affect land use and tenure regimes. She stressed the importance of viewing tenure as a "bundle of rights." She noted that tenure is related to many other SES principles (e.g., participation, enforcement and benefit distribution) and that carbon rights still lack clarity, but the issues of tenure and carbon rights must be addressed in REDD+ processes. Paula recommended that tenure efforts in REDD+ should avoid, whenever possible, negatively impacting vulnerable populations. She urged them to look at lessons learned from REDD+ pilot activities concerning tenure and carbon rights, which would be useful for national frameworks. In the discussion, a participant asked whether REDD+ poses a threat to existing tenure rights, as some national governments seem interested in ensuring that all future carbon payments be made to the national level, which would then deal with benefit distribution issues.

How do These Concepts Translate?

Early in the workshop it had been proposed that participants would translate the terms "soundness," "safeguards," and "standards" into (one of) their own native language(s). After participants from each country discussed their ideas, they posted them on the matrix (see below). At the end of Day 3, they offered explanations of the nuances and connotations of each word they chose in their respective languages. In some countries it was difficult to distinguish between safeguards and standards, or there was no word for standard, so the English word was used instead. Many participants found it most

difficult to translate the concept of soundness. Several participants mentioned the understanding of a safeguard as protection, like a motorcycle or bicycle helmet for one's head. One defined soundness as an integral presence – or something affecting one's heart.

DAY 4

Day 4 was the final day of the full workshop. Two participants from Papua New Guinea, Mr. Roy Banks and Mr. Gae Galloway, had prepared a summary of key messages from the previous day, which Roy presented. Day 4 focused on integrating lessons learned from the previous three days. A brief power point presentation shared information on the work that Indonesia has been doing to date in developing its Safeguard Information Systems. Participants were then invited to join one of four groups to discuss in more detailed a technical issue of interest to their work. In a second session, participants were asked to split into mixed country groups to discuss how they might produce a safeguard information system and – after lunch – were asked to divide into country groups to discuss country action plans.

Session 12 – Technical Working Sessions

Four working groups were organized to discuss specific technical topics in more depth. Dr. Robert Fisher facilitated the session on Community Forestry, Dr. Diane Russell on social impact assessment, Evan Notman on MRV and Steven Swan on biodiversity issues. Participants expressed a great interest in these more in-depth sessions.

In the session on social impact assessment, for example, participants discussed a wide range of REDD+ possible positive and negative impacts, including those on deforestation, food security, conflict, land rights, governance, livelihood options, social capital, intra-community dynamics, non-timber forest products and ecosystem services. The need to consider who would be impacted was discussed, including Indigenous Peoples, women, those with less secure land rights or landless people, the vulnerable and poor, people outside the project and the private sector.   It is important to look at available data, both for baselines and assessing impacts, including data on infrastructure, accessibility, health and literacy, and other demographic data, resource characteristics, such as type of forest, access, control, ownership and dependence on the forest.

Session 13 – Working Groups by Country

This session was divided into three sections: 1) What are the elements that must be addressed in a SIS? 2) How do we prioritize these elements? 3) What type of support would be needed?

Participants grouped into five mixed country teams were asked to discuss what issues that would be involved in production of a safeguard information system. Participants considered their common strengths and achievements, the common challenges, and what they have learned to build on success and overcome challenges.

Groups commented that common strengths and achievements included: Environmental Impact Assessment (all countries); draft guidelines (Philippines, Indonesia); early stage work with consultants and shareholders (Thailand, Malaysia, Lao PDR); existing institutions with relevant policies, laws and regulations (PLR); National Forest Programs; processes of stakeholder engagement; Convention on

Biological Diversity (each country is a member); and "all countries have existing arrangements" in place for REDD+.

Challenges noted included: implementation coordination; need to clarify institutions involved; land use planning; capacity and integrating REDD+ into existing PLR and institutions; social safeguards; stakeholder engagement in different levels; and level of complexity.

Lessons learned for success included: the need to involve the community, engage stakeholders, build capacity; provide economic incentives; and support capacity building and networking. Participants agreed that they need to "do our job better" and know where to go for more help.

The country groups then tried to put together key REDD+ activities (building blocks) for a country action plan by discussing what activities were important versus not (or less) important, and also to rank them in terms of urgent or not (less) urgent. It was noted that different combinations of these criteria might exist. For example, some activities might be very important, but more long-term and thus less urgent, i.e., needing to be addressed in the short term. Many participants agreed that it would be useful to go home and do a "gap analysis" to identify whether any major elements of social and environmental soundness were being overlooked in their REDD+ activities. The need to look further at gender issues was also mentioned.

Session 14 – Final Plenary and Wrap-up

The final session allowed participants to share some impressions of the workshop, fill out formal evaluations of the workshop, and then receive their certificates for completion of the training workshop. Everyone agreed that they had learned a lot during the workshop and they looked forward to staying in touch with each other in the future.

DAY #5: USAID-specific Issues

On the fifth day, a smaller group of people met to discuss some specific requirements and approaches for USAID programs and projects. This half-day session looked at:

- How to incorporate regulations, earmark definitions and USAID approaches for project design, implementation, monitoring and evaluation;
- Required USAID analyses in relation to sustainable landscapes and REDD+;
- Environmental compliance; and
- Social safeguards in USAID.

Diane, Barry and Natalie explained how USAID funding works and how funding for USAID is determined by the US Congress, which allocates funding goes to different priorities ("earmarks"). President Obama had announced at the UNFCCC Conference of the Parties in Copenhagen that the US Government would provide $1 billion in fast-start financing for REDD+ for the period 2010-2012. USAID has specific funding for REDD+ under the "Sustainable Landscapes" earmark for its Global Climate Change (GCC) Initiative, and funds to support work on biodiversity issues, but no other funding specifically for forestry. The funding for environmental issues, thus, is somewhat fragmented, and the other two USAID global

initiatives, Feed the Future (food security) and Global Health, get more funding. Given the diversity of different earmarks, it is very difficult to do integrated and long-term programming. The group also discussed how sometimes USAID activities in support of different USAID policy priorities may contradict each other. An example was mentioned of a food security program proposing to drain a wetland and put it into agriculture, even though it was an internationally-recognized Ramsar wetlands site, protected for its biodiversity conservation values.

Since the 1970s, USAID has been required to conduct Tropical Forest and Biodiversity Analyses and submit annual reports to the US Congress (for more information, see Foreign Assistance Act Sections 118 and 119). Natalie discussed how USAID has updated its policies on gender, including mandatory gender analyses, gender-sensitive indicators, more staff training and assigning a Gender Advisor to each USAID mission.

Danielle and Saengroaj, two colleagues from the USAID Regional Development Mission for Asia, then reviewed the USAID requirements for environmental compliance, according to Regulation 216, with further guidance provided in USAID's Automated Directives System (ADS) Section 204. Activities must go through an Initial Environmental Examination (IEE) and if adverse impacts are likely then an Environmental (Impact) Assessment (EA or EIA) must be done. Depending upon the findings, an Environmental Mitigation and Monitoring Plan may be required.   The group discussed various scenarios of how these requirements might apply to activities that they are undertaking.

In summing up the requirements, Diane discussed briefly the issue of social safeguards. USAID now requires gender analysis and sustainability analysis. Some social issues are covered in Regulation 216, but others are not systematically addressed. Some analyses, such as Social Soundness or Conflict analyses, are only suggested, not mandatory. As some Indigenous Peoples have raised their concerns about safeguards with the US State Department, USAID is now considering social soundness with respect to REDD+ and the need to update the social soundness analysis guidelines. Work on a human rights policy is under development.

Appendix A: Training Workshop Participants

Name	Organization
CAMBODIA:	
Mr. Long Ratanakoma	Forestry Administration, MAFF
Ms. Hort Ainunn	Forestry Administration, MAFF
Ms. Neang Malyne	Royal University of Agriculture (RUA)
Mr. Hour Limchhun	LEAF / Cambodia
Mr. Tom Clements	Wildlife Conservation Society - Cambodia Program
INDONESIA:	
Ms. Puspa Dewi Liman	Indonesia Biodiversity Foundation (KEHATI)
Mr. Rudi Subarudi	Center for Climate and Forest Policy, Ministry of Forestry
LAO PDR:	
Ms. Kinnalone Phommasack	Planning Division, Department of Forestry, Ministry of Agriculture and Forestry
Mr Viengxay Xaydara	LEAF / Laos
Mr. Khamsene Ounekham	Department of Forestry, Ministry of Agriculture and Forestry
MALAYSIA:	
Ms. Mawaddah Azizan	LEAF / Malaysia
Ms. Azian Mohti	Forest Research Institute Malaysia (FRIM)
Mr. Maximilian T. Conrad	Environmental Management and Climate Change Division, MNRE
PAPUA NEW GUINEA:	
Dr. Gae Gowae	University of PNG
Dr. Kerry Scott Reeves	USAID Philippines/OEECC
Mr. Roy Banka	LEAF / Papua New Guinea
THE PHILIPPINES:	
Dr. Edwino Fernando	Philippine Tropical Forest Conservation Foundation (PTFCF)
Mr. Eric Buduan	Philippine Tropical Forest Conservation Foundation (PTFCF)
Ms. Jeanne G. Tabangay	Conservation International Philippines
Ms. Rosalie A. Imperial	Community-based Forest Management Division, Forest Management Bureau
THAILAND:	
Mr. Chawapich Vaidhayakarn	LEAF / Thailand
Ms. Amornwan Resanond	LEAD - Low Emissions Asian Development Program

Mr.Panya Sooksomkit	Department of National Parks, Wildlife and Plant Conservation
Dr. Penporn Janekarnkij	Faculty of Forestry, Kasetsart University
VIET NAM:	
Ms. Ly Thi Minh Hai	LEAF / Viet Nam
Ms. Nguyen Thi Khanh Van	LEAF / Viet Nam
LEAF – Regional Staff:	
Mr. David Ganz *	LEAF / Thailand
Mr. Peter Stephen **	LEAF / Thailand
Mr. Luke Pritchard	LEAF / Thailand
LEAF Collaborators:	
Mr. Akihito Kono *	UNDP Asia-Pacific Regional Centre, UN-REDD Program
Dr. Chandra Silori	RECOFTC – The Center for People and Forests
Ms. Simone Frick	RECOFTC – The Center for People and Forests
USAID – RDMA:	
Mr. Barry Flaming	Regional Biodiversity Conservation Advisor
Ms. Kim Thompson	Environment Officer
Ms. Suphasuk Pradubsuk	Program Development Specialist
Ms. Sarah Bieber	Environment Officer
USAID – WASHINGTON:	
Dr. Diane Russell **	Forestry and Biodiversity Unit (E3/NRM/B) USAID Washington, DC
Mr. Evan Notman **	Global Climate Change Unit (E3/GCC) USAID Washington, DC
Ms. Natalie Elwell **	Office of Gender Equality and Women's Empowerment (E3/GENDEV) USAID Washington, DC
FCMC:	
Dr. Paula J. Williams **	Forest Carbon, Markets and Communities (FCMC) Program
Ms. Laurie Harrison **	TetraTech –supporting FCMC on workshop training materials
Dr. Robert J. Fisher *	Senior Lecturer/Researcher, University of Sydney, and FCMC consultant on community forestry and REDD+
Mr. Steve Swan *	FCMC consultant on biodiversity; also with SNV, Viet Nam
Mr. Chun Lai **	FCMC consultant – facilitating workshop preparations

    *   Resource Person
    ** Training and facilitation team

Appendix B: Training Workshop Agenda

Core training workshop, Monday, 5 November 2012 through Thursday, 8 November 2012:

	Timing	Event	Presenter or Facilitator
Day 1	8:00 am	**Registration**	
	8:30 am	**Welcome, Introductions, Overview** *Welcoming Address:* **Ms. Carrie Thompson, Deputy Director, USAID's Regional Mission for Asia, RDMA**	Paula Williams & Carrie Thompson
	9:45 am	**Coffee Break**	
	10:00 am	*Session 1:* **Overview: Social and Environmental Soundness in REDD+**	Evan Notman
	11:00 am	*Session 2:* **Identifying key SES challenges within the country context for REDD -** *Panel discussion*	David Ganz
	12:15 pm	**Lunch**	
	1:15 pm	*Session 3:* **Principles of Social and Environmental Soundness from Natural Resources Management (NRM) for REDD+**	Diane Russell
	2:30 pm	**Coffee Break**	
	2:45 pm	*Session 4:* **Assessing how soundness and REDD elements apply to country situations -** *World Café*	Laurie Harrison
	4:30 pm	**Thank you and announcements for the next day**	Paula
	Timing	**Event**	**Presenter or Facilitator**
Day 2	8:30 am	**Welcome back, announcements** **Reflections on key messages from previous day**	Paula & 2 participants
	9:00 am	*Session 5:* **Lessons Learned: Building from Experience** *Panel Discussion*	Tom Clements
	10:00 am	**Coffee Break**	
	10:15 am	*Session 5 (continued):* **Lessons Learned – 4 discussion groups**	Tom
	11:15 am	*Session 6:* **Stakeholder engagement and participation**	Diane & Natalie Elwell
	12:05 pm	**Lunch**	
	1:00 pm	*Session 6 (continued):* **Stakeholder engagement and participation – 5 working groups**	Diane & Natalie
	2:45 pm	**Coffee Break**	
	3:00 pm	*Session 7:* **Case Study: LEAF experience with mainstreaming gender** **Video: Appreciative Inquiry**	Natalie Diane
	3:30 pm	*Session 8:* **Biodiversity issues and approaches for REDD+**	Steven Swan
	4:30 pm	**Thank you and announcements for the next day**	Paula

	Timing	Event	Presenter or Facilitator
Day 3	8:30 am	**Welcome back, announcements** **Reflections on key messages from previous day**	Paula & 2 participants
	9:00 am	*Session 9:* **Safeguards, Standards, and Safeguard Information Systems**	Paula
	10:00 am	**Coffee Break**	
	10:15 am	*Session 9 (continued):* **Safeguards, Standards, and Safeguard Information Systems**	Paula
	12:00 pm	**Lunch**	
	1:00 pm	*Session 10:* **Social and Environmental Assessments, Indicators, Information, Monitoring, Reporting, and Verification**	Evan & Diane
	2:45 pm	**Coffee Break**	
	3:00 pm	*Session 11:* **Land and resource tenure and carbon rights**	Paula
	4:30 pm	**Thank you and announcements for the next day**	Paula
	Timing	**Event**	**Presenter or Facilitator**
Day 4	8:30 am	**Welcome back, announcements** **Reflections on key messages from previous day**	Peter Steven & 2 participants
	9:00 am	*Session 12:* **Technical working session**	**Diane**
	10:00 am	**Coffee Break**	
	10:15 am	*Session 13:* **Working Groups by Country**	**Peter**
	12:00 pm	**Lunch**	
	1:00 pm	*Session 13:* **Working Groups by Country** *(continued)*	**Peter**
	2:30 pm	**Coffee Break**	
	2:45 pm	*Session 14:* **Final plenary and wrap up**	**Diane**
	4:30 pm	**Thank you and announcements for the next day**	Diane & Paula

Optional, second part of training – Friday, November 9, 2012:

	Timing	Training for USAID staff and partners	Presenter
Day 5	8:30 am	**Recap of major points from last 4 days, any updates or announcements**	Diane
	8:45 am	*Session I:* **How to incorporate regulations, earmark definitions and USAID approaches into the USAID project design, implementation, and monitoring and evaluation**	Diane
	10:30 am	*Session II:* **Required USAID analyses in relation to Sustainable Landscapes and REDD+**	Diane & Natalie
	11:00 am	**Coffee Break**	
	11:15 am	*Session III:* **Environmental compliance**	Danielle & Saengroaj
	12:00 pm	*Session IV:* **Social safeguards in USAID**	Diane
	12:30 pm	***Workshop closes***	