

**Ministry of Water and Environment (MWE)**

Forestry Sector Support Department (FSSD)

BACKGROUND DOCUMENT AND PROVISIONAL ROADMAP[[1]](#footnote-1) TO INFORM THE DESIGNING OF A NATIONAL AND SUB-NATIONAL SAFEGUARDS SYSTEM FOR UGANDA’S NATIONAL REDD+ PROGRAMME**[[2]](#footnote-2)**

REDD+ Secretariat (with UNEP-WCMC Technical Support)

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**Background document and roadmap1 to inform the designing of a national and sub-national safeguards system2 for Uganda’s National REDD+ programme**

**Part 1: Introduction and Mandate**

1. Uganda completed the preparation of REDD+ Readiness Proposal (R-PP) in May 2012. The R-PP identified, among other things, initial drivers of deforestation and forest degradation, and potential options for addressing them (R-PP 2012). The outcome of an implemented R-PP will be (a) A national strategy or action plan; (b) A national forest baseline scenario (reference emission level and/or forest reference level) (FREL/FRLs); (c) a national forest monitoring system (NFMS); and (d) a system for providing information on how the safeguards are being addressed and respected throughout the implementation of REDD+ activities.
2. Whereas REDD+ Strategy will include policy measures and actions that address the drivers of, as well as reduce emissions from deforestation and forest degradation (REDD) and contribute to conservation, sustainable management of forests and enhancement of forest carbon stocks (REDD+) have the potential to deliver significant social and environmental benefits; many of these solutions may pose risks notably for Indigenous Peoples and local communities (REDD+ Initiative 2012; UN-REDD 2012; FCPF 2010), and in particular for marginalized and/or vulnerable social groups within these communities.
3. REDD+ activities could bring significant benefits for people and the environment through, for example, creation of employment or protection of ecosystem services. If implemented inappropriately however, REDD+ could have negative impacts, such as restricting access for local people to forest products or financing forest management strategies that harm biodiversity. Such concerns about the impacts of REDD+ led to the establishment of REDD+ “safeguards” within United Nations Framework Convention on Climate Change decisions. Safeguards are procedures and approaches that can help to ensure that REDD+ activities “do no harm” and enhance the benefits to people or the environment. The UNFCCC safeguards are general guidelines that need to be operationalized in the national context, with Decision 1/CP.16 of UNFCCC from 2010 stating that safeguards should be ‘promoted and supported’. There are several reasons for establishing strong REDD+ safeguards, as they will, among other things, help to:
   1. Ensure that there is more equitable distribution of the benefits and costs of REDD+;
   2. Design REDD+ schemes that will be more sustainable by taking into account wider socio-economic issues and environmental concerns that are likely to be important in addressing the underlying drivers of deforestation;
   3. Increase investment in REDD+ because safeguards can reduce risk, a key factor in investment decisions;
   4. Meet the safeguard requirements of many of the international organizations funding (or likely to fund) REDD+;
   5. Reduce risks, thus helping to deliver social and environmental benefits of REDD+.
4. Recognizing the need for effective social and environmental safeguards, the R-PP included approaches for addressing them. These approaches are outlined in: (a) Component 2 (d): Social and Environmental Impacts; and (b) Component 4 (b) Multiple Benefits, other Impacts and Governance. These approaches were considered in the context ofearly activities and were, and still are, subject to (1) guidance under the UNFCCC inline with relevant decisions of the UNFCCC on REDD+ (see annex 1), and all other subsequent decisions adopted by the COP, and (2) national circumstances and development priorities.
5. A functional National and Sub-national safeguards system[[3]](#footnote-3) for Uganda’s National REDD+ Programme will serve to:
   1. Enhance the multiple benefits of, and reduce risks from, REDD+ ; (UN-REDD 2012);
   2. Seek to integrate social and environmental considerations into the REDD+ policy-making process, leading to sustainable REDD+ policies and programs (FCPF 2010);
   3. Link REDD+ to Uganda’s Climate Change Policy Goal of a “climate-resilient and low-carbon development path for sustainable development”;
   4. Link to Uganda’s second National Development Plan
   5. Encourage private sector involvement by identifying and addressing barriers, challenges and risks to their involvement in REDD+ (UNEP FI 2011);
   6. Support the development, and or implementation of:
      1. The national REDD+ strategy or action plan;
      2. The National Forest Monitoring System (NFMS);
      3. The Forest Reference Emissions Level and/or Forest Reference Level (FREL/FRL);
      4. A system for providing information on how the Cancun safeguards are being addressed and respected throughout the implementation of REDD+ activities;
      5. The requirements for obtaining and receiving results-based payments;
      6. Other measures and actions that impact, and or with implications for the forestry sector and REDD+;
      7. A grievance and redress mechanism that enables stakeholders affected by REDD+ to receive feedback and appropriate responses related to the implementation of safeguards and a safeguards information system for monitoring and reporting on safeguards implementation (REDD+ SES Initiative. 2012);
      8. Benefit sharing mechanism
   7. Meet the requirements for, and demonstrating compliance with national safeguards[[4]](#footnote-4) (e.g. the National constitution of Uganda, the Environment Act, Cap 153; Uganda Land Policy; Land use Policy);
   8. Meet the requirements for, and capacity to demonstrate compliance with donor safeguards (e.g. World Bank operational policies which apply to activities, projects and programmes supported by FCPF);
   9. Meet/and achieve[[5]](#footnote-5) Uganda’s commitment to other international agreements and the relevant decisions taken by their conference of parties (COPs) and or meetings of parties (MOPs) (UN-REDD 2012) including but not limited to:
      1. United Nations Framework Convention on Climate Change (UNFCCC)
      2. Convention on Biological Diversity (CBD)
      3. Non-Legally Binding Instrument on all Types of Forest (NLBI)
      4. UNCCD
      5. Convention on the Elimination of All Forms of Discrimination against Women (CEDAW)
      6. International Labour Organization Convention 169 (ILO 169)
      7. United Nations Convention Against Corruption (UNCAC)
      8. United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP)
      9. United Nations Convention on the Elimination of All Forms of Racial Discrimination (UNCERD)
      10. The Millennium Development Goals (MDGs) or the new Sustainable Development Goals (SDGs)
      11. Others relevant commitments
   10. Meet the Consultation and Participation requirements as elaborated in the R-PP

**Part 2: Objective of designing of a functional National and Sub-national safeguards system[[6]](#footnote-6) for Uganda’s National REDD+ Programme**

1. To elaborate an integrated approach for identifying and managing social and environmental risks and benefits that will arise from the implementation of REDD+ activities; in such a way that it is consistent and complies with national, regional, international and Development Partners (donor) safeguard frameworks; including but not limited to:
   1. To develop National REDD+ Safeguard Standards (Criteria and Indicators)[[7]](#footnote-7):
      1. In a manner consistent with Uganda’s policies, laws and regulations;
      2. That address social and environmental issues in UN-REDD National Programmes and other UN-REDD Programme funded activities;
      3. In line with the United Nations Framework Convention on Climate Change (UNFCCC and other relevant conventions);
      4. In a manner consistent with other development partners
   2. To conduct a participatory Strategic Environmental and Social Assessment (SESA)of REDD+ Strategy options and integrate environmental and social (ESA) considerations into Uganda’s REDD+ Strategy in a manner consistent with:
      1. Uganda’s policies, laws and regulations;
      2. World Bank’s operational policies;
      3. Other development partners (donors);
      4. REDD+ safeguards (under the UNFCCC, and other relevant conventions);
   3. To identify and map prioritized biodiversity and ecosystem-based multiple benefits of REDD+;
   4. To elaboration an Integrated Safeguard Systems architecture that brings different safeguards together is a Safeguard Information System including, as necessary, linkage with the national forest monitoring system (NFMS) and its associated registry

Part 3: Products of the National/sub-national Safeguards System

1. The productise of the national and sub-national safeguards system include:
2. National REDD+ Safeguards
3. National/sub-national system of monitoring and providing information on how safeguards are being addressed and respected during the implementation of REDD+ activities
4. An Environmental and Social Monitoring Framework, developed through the Strategic Environmental Social Assessment process
5. Spatial information products to facilitate the design of REDD+ actions that can respect the National REDD+ Safeguards and realise multiple benefits
6. Elaboration of an Integrated Safeguard Systems architecture including, as necessary, linkage with the national forest monitoring system (NFMS) and its associated registry.

Part 4: Approach for National REDD+ Safeguard Standards (Criteria and Indicators)

1. It is proposed that a national approach to safeguards takes a phased approach; whereby the first phase will involve drafting a set of national standards (including criteria and indicators) for REDD+ safeguards. To facilitate this phase activities, the National Technical Committee (NTC) for REDD+ will set up a SESA/Safeguard Taskforce[[8]](#footnote-8).
2. The development of the National REDD+ Safeguard Standards (Criteria and Indicators) will follow the “REDD+ SES Initiative[[9]](#footnote-9)” but will integrate “UN-REDD Programme Social and Environmental Principles and Criteria”, SESA and other relevant tools using the following steps[[10]](#footnote-10):
   1. **Step 1.** Awareness-Raising and Capacity-Building
   2. *Governance:* The REDD+ SES will work within the National REDD+ Programme process. The National Climate Change Policy Committee (CCPC will make decisions that will govern the REDD+ SES process. The National Technical Committee (NTC) will constitute the “REDD+ Safeguards Standards Committee”; and it will report to the National Climate Change Policy Committee (CCPC). SESA/SIS Taskforce will facilitate the process. Consultation and Participation will follow the national C&P framework prepared as part of the R-PP. Thus the steps involved are:
      1. Step 2. Establish the Facilitation Team
      2. Step 3. Create the Standards Committee
   3. *Interpretation:* Uganda will interpret, integrate and adapt the REDD+ SES content and process to the country context, making the international REDD+SES relevant and effective for the country by: (1) Creating Uganda-specific indicators (the principles and criteria shall be viewed in light of the requirements for national, FCPF (SESA/ESMF) and UN-REDD); and (2) Designing of the country-specific assessment process. Thus the steps involved are:
      1. **Step 4.** Develop Plan for the REDD+ SES Process
      2. **Step 5.** Develop Draft Country-Specific Indicators
      3. **Step 6.** Organize Consultations on Indicators
   4. **Assessment***:* The process for assessing performance of the REDD+ program against the country-specific indicators involves:
      1. Monitoring – A monitoring plan defining what specific information will be collected, where it is found, how it will be gathered and analyzed and who will be responsible will be prepared;
      2. Reviewing - Consultations shall be organized to facilitate stakeholder review of the draft assessment report to enhance quality and credibility;
      3. Reporting – After approval of the assessment report by the National Climate Change Policy Committee (CCPC), the full report of performance against the indicators of the REDD+ SES shall be made public[[11]](#footnote-11). The assessment process shall promote participation and ownership by stakeholders to ensure transparency and accountability and to enhance the quality and credibility of the assessment. The resulting report shall provide a fair and accurate assessment of the performance of the REDD+ program against the principles and criteria of the REDD+ SES that can be used to communicate to national and international stakeholders and to encourage improved performance. Thus the steps involved are:
         1. **Step 7.** Prepare Monitoring and Assessment Plans
         2. **Step 8.** Collect and Assess Monitoring Information
         3. **Step 9.** Organize Stakeholder Review of Draft Assessment Report;
         4. **Step 10.** Publish the Assessment Report

Part 5: Approach for conducting a participatory Strategic Environmental and Social Assessment (SESA) of REDD+ Strategy options and integrate environmental and social (ESA) considerations into Uganda’s REDD+ Strategy

1. A separate set of T.o.Rs have been prepared. These T.o.Rs specify how to conduct a participatory Strategic Environmental and Social Assessment (SESA)of REDD+ Strategy options and integrate environmental and social (ESA) considerations into Uganda’s REDD+ Strategy in a manner consistent with:
2. Uganda’s policies, laws and regulations;
3. World Bank’s environmental and social safeguard policies;
4. Others
5. REDD+ safeguards (under the UNFCCC, and other relevant conventions);
6. The following are steps and approaches envisaged under the SESA implementation process:
   1. **Step #1: Scoping**
      1. This step will encompass Stakeholder gap analysis. It builds on the consultations carried out during the R-PP formulation. The SESA process will conduct a stakeholder gap analysis to identify any relevant stakeholders that might not have been considered during the R-PP formulation phase. Important among them would be community-level representatives, forest dependent Indigenous Peoples, traditional leaders, associations of tree growers, the private sector, firewood and charcoal producers, women’s organizations and forest concessionaires.
      2. The SESA Consultant shall assist the SESA Task force to prepare a comprehensive set of consultation and participation activities for the SESA (draft SESA Work plan and budget). This undertaking will seek to coordinate with the Policy Taskforce which will be in charge of preparing the REDD+ strategy options in order to avoid duplications and ensure consistency of timelines in particular for consultation activities.
      3. The output of this step is a draft SESA process workplan and budget for Uganda.
   2. **Step #2: Launching the SESA Work plan**
      1. The SESA Consultant together with the SESA Taskforce will present the draft SESA work plan and budget to a broader stakeholder validation in a national workshop in order to define the legitimacy of the workplan and all subsequent stakeholder consultation and participation processes. Views, comments and consensus from the validation workshop shall be integrated into the draft work plan before preparing final SESA work plan which shall be disclosed through appropriate means or platforms.
      2. The output of this step is a validated SESA workplan and budget for Uganda REDD-Plus options.

* 1. **Step #3: Identification of key environmental and social issues**
     1. This step aims at generating primary data on key environmental and social issues in forestry sector in Uganda to inform the selection of environmental and social priorities, using a variety of analytical tools. The SESA Consultant will facilitate the SESA taskforce to design standard tools including spatial analysis, case studies and participatory rural appraisal methods for application in selected communities. Spatial analysis will be applied in mapping and for overlaying different sets of information to identify critical areas of concentration of environmental and social issues. Case studies will be used to show opportunity costs of different land uses including environmental and ecosystems valuation. Case studies will also help to dig deeper into key issues, inter-sectoral linkages and potential trade-offs in key areas. Participatory rural appraisal will be the main vehicle for identifying key environmental and social issues at the community level.
     2. Building on the evidence and results of the above analyses, the SESA Consultant together with the Task force will produce a scoping report of key environmental and social issues in forests areas in Uganda. The scoping report will, among others:
     3. Identify environmental and social hotspots and discuss their main characteristics.
     4. Discuss key forest areas land use trade-offs by analyzing the opportunity cost of conserving forests versus developing these areas into alternative land uses such as housing/settlement, industrial estates, agriculture, among others.
     5. Analyze critical institutional, legal, regulatory, policy and capacity gaps underlying the key environmental and social issues identified.
  2. **Step #4: Selection of environmental and social priorities**
     1. The scoping report will be used during consultations with key stakeholders at multiple levels, who will engage in the selection of environmental and social priorities. The most appropriate medium of communication and outreach will be applied so as to ensure effective participation. In addition, institutional stakeholders identified in Step #1 (SESA Stakeholders) will review and prioritize environmental and social issues through culturally sensitive means of consultation.
     2. The SESA Consultant together will facilitate the SESA Taskforce to synthesize outputs from the SESA Stakeholders and prepare a report on selected environmental and social issues. This report will be subjected to discussion at a national workshop in order to reach a consensus on common set of priorities. The final report after the workshop will be published and publicly disclosed through appropriate means.
     3. The output of this step is the Report on priority environmental and social issues.
  3. **Step #5: Assessment of candidate REDD-Plus Strategy options**
     1. The SESA Consultant together will facilitate the SESA taskforce to assess the extent to which candidate REDD+ Strategy options address the previously defined environmental and social priorities and take into account in their formulation the opportunity cost of forests. REDD-Plus Strategy options will be assessed against Uganda’s legal and policy provisions as well as the World Bank safeguards. Based on this assessment, REDD-Plus Strategy Options will be improved and recommended to the National Technical Committee for further action.
     2. The output of this step is draft report on REDD-Plus Strategy Options.
  4. **Step #6: Validation of REDD-Plus Strategy Options**
     1. The SESA Taskforce and National Technical Committee will present the draft REDD-Plus Strategy options to a national validation workshop. Participants to the validation workshop will be selected from stakeholder defined in SESA work plan developed in step #1.
  5. **Step #7: Risk management/Environmental and Social Management Framework (ESMF)**
     1. The SESA process shall conclude with the formulation of an Environmental and Social Management Framework (ESMF) to address outstanding issues or risks during implementation of the REDD-Plus Strategy. The SESA consultant together with the SESA Taskforce will prepare the ESMF. The ESMF shall be subjected to a series of validation processes by stakeholders at national and community levels in selected locations.
  6. **Step 8: SESA Road Map and Estimated Budget**
     1. The SESA Consultant together with the SESA Taskforce will prepare a detailed SESA implementation plan, schedule and budget for the ESMF to be approved alongside the REDD-Plus Strategy for Uganda.

1. The conducting of SESA will be done in such a way that its outputs are inform the proposed national approach to safeguards

**Part 6: Approach for Identifying and Mapping Prioritized biodiversity and ecosystem-based multiple benefits of REDD+**

1. Spatially and time based biodiversity and ecosystem-based multiple benefits of REDD+; including land-use and pressures on natural resources will be identified and mapped[[12]](#footnote-12)
2. Capacity building session on spatial analyses of potential multiple benefits and risks from REDD+; including land-use and pressures on natural resources and their policy relevance;
3. Field biodiversity and ecosystem-based multiple benefits of REDD+; including land-use and pressures on natural resources data will be collected and analysed. Component data sets shall be compiled in a format suitable for additional analyses, as well as GIS analysis tools shall be found specifically to support such analyses;
4. Data and information generated shall be linked to REDD+ Strategy preparation and decision-making processes at different levels

**Part 7: Roadmap to integrate the approaches**

1. The below steps aim to incorporate the approaches of the FCPF, UN-REDD Programme and REDD+ SES into one set of steps for a Country Approach to Safeguards and Safeguard Information System (SIS). The steps derive from the UN-REDD Country Approach to Safeguards Tool <http://www.un-redd.org/Multiple_Benefits/CAST/tabid/133448/Default.aspx>. Interspersed with the steps is information on relevant activities that are taking place/due to take place in Uganda. These activities are associated with the SESA (in green), REDD+ SES (in orange), Austrian Development Cooperation (ADC) (in red) and UN-REDD Programme (in blue).

| **Steps** | **Relevant activities that are taking place/due to take place in Uganda** | **Detail** |
| --- | --- | --- |
| 1. Stakeholder Mapping / Gap Analysis | SESA Scoping (Step #1) – stakeholder gap analysis that aims to identify relevant stakeholders that were not considered during the R-PP formulation phase, *inter alia*: additional community-level representatives, forest dependent indigenous peoples, traditional leaders, associations of tree growers, the private sector, firewood and charcoal producers, women’s organizations and forest concessionaires. | Identify stakeholders who should be part of safeguards process. Representation should include those who will participate in the implementation of REDD+ and/or be affected by REDD+. |
| 1. Awareness, Outreach, & Capacity Building (ongoing) | ADC (activity 3.2.1) / UN-REDD TS (activity 2.2 – ToRs for): Building capacity and awareness-raising of all key relevant stakeholders on multiple benefits, other impacts and governance and actual safeguards (especially protected area managers, private forested land holders, communal forest land representatives, policy makers, civil society, forest dependent communities, special interest groups)  ADC (activity 4.1): Capacity building session on spatial analyses of potential multiple benefits and risks from REDD+; including land-use and pressures on natural resources and their policy relevance;  ADC (activity 5.2): Hold stakeholder engagement events in each institutions and jointly to discuss the information systems linkage and data sharing protocols/M.o.Us; | Raise awareness and build capacity of REDD+ stakeholders on the concept of REDD+ safeguards, including potential social and environmental risks and benefits related to REDD+ at the country level.  - Develop a process to inform and engage REDD+ stakeholders  - Establish activities to ensure that stakeholders have the capacity to engage in the development of national REDD+ safeguards |
| 1. Establish a coordinating body to oversee the country approach to safeguards and safeguard information system | ADC (activity 3.2.2) UN-REDD TS (activity 2.3 – ToRs for): Setting up a multiple benefits, other impacts and Governance and actual safeguards taskforce to facilitate the process of interpreting and to ensure a balanced identification and prioritization of multiple benefits, other impacts; preparation of the criteria and indicators for Governance and actual safeguards; and designing the system and its components. | Building on existing groups bodies/groups, establish a multi-stakeholder safeguards working group, committee or task force. |
| 1. Develop a work plan for the country approach to safeguards and safeguard information system | Build on SESA work plan (SESA Step #2) | Components of a work plan include[[13]](#footnote-13): governance of the process; plans for ongoing stakeholder engagement; links to other processes; partners; roles, responsibilities; tasks and timeline, etc. |
| 1. Define the objectives of the country approach to safeguards and safeguard information system, building on identified social and environmental risks and benefits | See part 2 above table  ADC (activity 3.2.3) Adaptation of existing REDD+ relevant multiple benefits, other impacts and governance and actual safeguards | Objectives for all countries include:   1. To ensure the REDD+ Strategy (and its implementation) will address and respect the Cancun Safeguards 2. To ensure the country has in place a Safeguard Information System (SIS), that meets the requirements outlined in the Durban Agreements   *(In other words, two key objectives for all REDD+ countries should be:*   1. *To ensure that: a) REDD+ actions enhance positive social and environmental opportunities and benefits; b) adverse social and environmental risks and impacts from REDD+ actions are avoided, minimized, and mitigated* 2. *There is a system in place that allows countries to demonstrate the actions/measures they have put in place to ensure point 1 above. )*   For FCPF funding, an additional objective is to ensure the REDD+ Strategy (and its implementation) will be in compliance with the World Bank Operational Policies and Procedures (Safeguards)  A further additional objective may be the need to comply with safeguards of current or anticipated funders beyond FCPF.  Whilst undertaking this step, it is important to identify the desired impact of REDD+ in Uganda and relate that to the benefits to enhance and the risks to avoid (which both may already be prioritised at a national, e.g. through Uganda’s commitment to international agreements, or sub-national level) – see Step 7 – in order to inform the initial choice of REDD+ actions / REDD+ strategy options. |
| 1. Develop a national interpretation of the Cancun Safeguards |  | Uganda needs to determine how to interpret the Cancun Safeguards in the national REDD+ context, and combine it with requirements from national policies, laws and regulations. This would entail a multi-stakeholder process to agree upon a more specific definition and understanding of each Cancun safeguard, including for example, an elaboration of what it would mean for Uganda to address and respect each safeguard. The UN-REDD Programme developed the Social and Environmental Principles and Criteria (SEPC) with the aim of providing guidance to countries on the process of interpretation and elaboration of the Cancun Safeguards. The SEPC includes a table that illustrates how the different Principles and Criteria match up with each Cancun Safeguard.[[14]](#footnote-14)  REDD+ SES has also developed Social and Environmental Principles and Criteria for REDD+ that can be very useful in the process of national interpretation and elaboration. Guidance on REDD+ SES also includes a table that illustrates how the different Principles and Criteria match up with each Cancun Safeguard.[[15]](#footnote-15) Please note that the REDD+ SES do not fully cover Cancun Safeguards (f) and (g).  While the World Bank’s safeguards were not developed specifically for REDD+, they are very comprehensive and can also be very useful in the process of national interpretation and elaboration. Further, FCPF has stated that “While the verbatim texts of the World Bank environmental and social safeguard policies and the UNFCCC REDD+ safeguards are not identical, the required application of the World Bank’s safeguards (consisting of policies, procedures, and practices) to ER Programs supported by the FCPF Carbon Fund should be sufficient to ensure that the World Bank’s safeguards successfully promote and support the UNFCCC safeguards for REDD+”. FCPF has prepared a table that illustrates how the WB Safeguards match up with each Cancun Safeguard.[[16]](#footnote-16) They are called “World Bank Safeguard Policies and the UNFCCC REDD+ Safeguards” ( August 28, 2013) |
| 1. Identify the potential risks and benefits associated with REDD+ actions (or REDD+ Strategy options) [[17]](#footnote-17) | ADC (activity 3.2.3): identifying and prioritizing multiple benefits, other impacts; (likely to be informed by Step 5 and refined during Step 7 and Step 8)  SESA – Identification of key environmental and social issues (SESA Step #3)  Aims at generating primary data on key environmental and social issues in forestry sector in Uganda to inform the selection of environmental and social priorities, using a variety of analytical tools. SESA Consultant will facilitate the SESA taskforce to design standard tools including spatial analysis, case studies and participatory rural appraisal methods.  Spatial analysis will be applied in mapping and for overlaying different sets of information to identify critical areas of concentration of environmental and social issues.  ADC (activity 4.1)/UN-REDD TS (activity 1.1): Capacity building session on spatial analyses of potential multiple benefits and risks from REDD+; including land-use and pressures on natural resources and their policy relevance;  ADC (activity 4.2): Component datasets compiled on biodiversity and ecosystem-based multiple benefits of REDD+ in a format suitable for analysis, as well as GIS analysis tools developed specifically to support such analyses.  UN-REDD TS (activity 1.2): Technical support provided on designing a process for structuring and carrying out data collection, defining policy relevant analysis, and compiling component datasets in a format suitable for additional analyses of relevant forest related values and processes, including components of biodiversity and ecosystem services, land-use and pressure on natural resources.  SESA Step #3 cont. Case studies will be used to show opportunity costs of different land uses including environmental and ecosystems valuation. Case studies will also help to dig deeper into key issues, inter-sectoral linkages and potential trade-offs in key areas.  Participatory rural appraisal will be the main vehicle for identifying key environmental and social issues at the community level.  Building on the evidence and results of the above analyses, the SESA Consultant together with the Taskforce will produce a scoping report of key environmental and social issues in forests areas in Uganda. The scoping report will, among others:  Identify environmental and social hotspots and discuss their main characteristics.  Discuss key forest areas land use trade-offs by analyzing the opportunity cost of conserving forests versus developing these areas into alternative land uses such as housing/settlement, industrial estates, agriculture, among others.  Analyze critical institutional, legal, regulatory, policy and capacity gaps underlying the key environmental and social issues identified.  Stakeholders identified in the stakeholder mapping will review and prioritise environmental and social issues in the scoping report through culturally sensitive means of consultation (SESA Step #4)  ADC (activity 3.2.4) Undertaking consultations on identified and prioritised multiple benefits, other impacts... | If not already done so through Step 5, identify the desired impact of REDD+ in Uganda and relate that to the benefits to enhance and the risks to avoid (which both may already be identified at a national, e.g. through Uganda’s commitment to international agreements, or sub-national level). This should inform the REDD+ actions or REDD+ Strategy options being considered for risks and benefits during this step.  The UN-REDD Programme has developed the Benefits and Risks Tool (BeRT v.2) precisely to support countries to identify the potential risks and benefits associated with REDD+ actions. The BeRT supports countries to identify and prioritize risks and benefits with REDD+ actions in the context of the Cancun safeguards. |
| 1. a) Determine how the country’s existing policies, laws and regulations (PLRs)[[18]](#footnote-18) already address the risks or promote the benefits identified in the step above;   and  b) Assess gaps in the PLR framework that may need to be addressed in order to fully address and respect the Cancun safeguards in REDD+ implementation | UN-REDD TS activity 4.1 on legal preparedness – this may support the legal analysis | The UN-REDD Programme has developed the Benefits and Risks Tool (BeRT v.2) precisely to support countries to carry out this activity. The process involves identifying a list of relevant PLRs by working with those with a deep understanding of relevant PLRs and the status/effectiveness of their implementation, and then considering the extent to which they already address the risks or promote the benefits identified in the previous step.  Legal analysis may then be necessary to identify possible amendments to PLRs to address identified gaps in the manner in which the PLRs address the risks or promote the benefits identified in the previous step. |
| 1. Utilize the information gathered from steps 7 and 8 above to refine the REDD+ Strategy (options) | SESA – Assessment of candidate REDD+ Strategy options (SESA Step #5)  Use prioritised environmental and social priorities and a consideration of opportunity cost of forests to assess the candidate REDD+ Strategy options. | The analysis of the risks and benefits and the PLRs to address them can be used to inform a decision on which actions to prioritize, revise and/or include in the REDD+ Strategy. A process could be included to assess the extent to which potential REDD+ Strategy options address the identified social and environmental risks and benefits. In cases where the REDD+ Strategy options address partially or do not address some of the risks/benefits; gaps will be identified and specific recommendations will be made to refine the REDD+ strategy options to close these gaps. |
| 1. Develop a framework for managing and mitigating the environmental and social risks and impacts for future investments associated with implementing a country’s REDD+ strategy (referred to by FCPF as an Environmental and Social Management Framework (ESMF)) | SESA – Risk management / Environmental and Social Management Framework (SESA Step #7) | This usually outlines for example how a country will ensure institutions are in place to manage risks in the longer term.  Components include:   * Potential S&E benefits and risks associated with REDD+ Strategy * Procedures for screening & assessment of site-specific S&E impacts * Action plans for reducing, mitigating, and/or offsetting adverse impacts * Monitoring – please see overlaps with Steps 11-19 |
| 1. Conduct a gap analysis of existing information systems. | ADC (activity 3.3.2) / UN-REDD TS (activity 2.6ii – ToRs for): Assessing and reviewing any existing monitoring systems of multiple benefits; | Existing information sources and systems may include national population censuses, forest inventories, and Living Standards Measurement Studies (LSMS), national biodiversity strategies and action plans, among others. |
| 1. Develop indicators for the provision of information on how the Cancun [and WB] safeguards are being addressed and respected.   *(Or in other words, how the measures to address the adverse impacts/risks and enhance the benefits, as identified in steps 8, 9 and 10 above, are being implemented)* | Using REDD+ SES:  Develop a monitoring plan defining what specific information will be collected, where it is found, how it will be gathered and analysed and who will be responsible (also relates to steps 13-15, 18)  ADC (activity 3.1) / UN-REDD TS (activity 2.1) – Defining objectives of a national and subnational system for monitoring multiple benefits, other impacts and governance and actual safeguards  ADC (activity 3.3.3) / UN-REDD TS (activity 2.6iii – ToRs for): selecting multiple benefits to include in the monitoring system  ADC activity 3.3.4/ UN-REDD TS (activity 2.6iv – ToRs for) Describe how the monitoring system will address key governance issues pertinent to REDD-plus implementation;  ADC (activity 3.2.3): creating Uganda -specific Governance and other safeguards indicators; and designing country-specific assessment processes;  ADC (activity 3.3.1) / UN-REDD TS (activity 2.6i – ToRs for): Determination of specific information that will be collected, where it is found, how it will be gathered and analyzed and who will be responsible;  UN-REDD TS (activity 1.2): Technical support provided on designing a process for structuring and carrying out data collection, defining policy relevant analysis, and compiling component datasets in a format suitable for additional analyses of relevant forest related values and processes, including components of biodiversity and ecosystem services, land-use and pressure on natural resources.  ADC (activity 3.3.5) / UN-REDD TS (activity 2.6v – ToRs for): Determine how the Plan will monitor social and environmental impacts and other multiple benefits;  ADC (activity 3.3.7) Assess existing capacities and future capacities required to implement the Plan  ADC (activity 3.3.8)/ UN-REDD TS (activity 2.7): Assess the financial support required; | Once the measures to address the adverse impacts/risks and enhance the benefits have been identified, work can be undertaken to develop a system for providing information on how the measures will be/are being implemented.  REDD+ SES has developed different types of indicators to support countries in assessing the performance of a country’s REDD+ program against REDD+ principles and criterion.  Relevant indicators may exist as part of other systems of information, and may simply need to be updated within the context of the country approach to safeguards. |
| 1. Apply methods and methodologies for the collection of information. | UN-REDD TS (activity 1.2): Technical support provided on designing a process for structuring and carrying out data collection, defining policy relevant analysis, and compiling component datasets in a format suitable for additional analyses of relevant forest related values and processes, including components of biodiversity and ecosystem services, land-use and pressure on natural resources.  ADC (activity 5.1) Identification of relevant information (including data) stakeholder institutions, individuals and the information (including) the data sets they hold  ADC (activity 3.3.6) / UN-REDD TS (activity 2.6vi – ToRs for): Defining procedures for multi-stakeholder participation in Monitoring Plan implementation  ADC (activity 3.3.9) Plan of how the system will integrate across sub-national, ecological, institutional and economic contexts | Methods used to collect relevant information may include desk reviews, focus group discussions and interviews, biodiversity surveys, among others. |
| 1. Validate the methodological approach for the collection of safeguard information. | ADC (activity 3.2.4) / UN-REDD TS (activity 2.5 – ToRs for): Undertaking consultations on identified and prioritized multiple benefits, other impacts; and creating Uganda -specific Governance and other safeguards indicators; including on agreed upon assessment process; | Validation through consultation with stakeholders. |
| 1. Develop a framework for the provision of information. | ADC (activity 4.3): Data and Information generated is linked to REDD+ Strategy preparation and decision-making processes at national and subnational levels including potential links to REDD+, NAMA, Biodiversity, Land registries, safeguards, UBOS’ the FAOSTAT forestry statistics database, National biodiversity exchange mechanism and other relevant information systems  ADC (activity 5.2): Hold stakeholder engagement events in each institutions and jointly to discuss the information systems linkage and data sharing protocols/M.o.Us;  ADC (activity 5.3): Draft and negotiate information systems linkage and data sharing protocols/M.o.Us with stakeholders that address stakeholder concerns while enabling systems linkage and mutual data sharing;  ADC (activity 5.4): Prepare and operationalize a web-based linkage mechanism for linking all relevant information systems; (i.e. forest monitoring system (including a system for monitoring and providing information on how multiple benefits, other impacts, governance, and actual safeguards) is fully linked and compatible with REDD+, NAMA, Biodiversity, Land registries, safeguards, UBOS’ FAOSTAT forestry statistics database, National biodiversity exchange mechanism and other relevant information systems) | This framework for how information on safeguards will be provided at both a domestic and international level may be included in the ESMF. |
| 1. Develop quality assurance procedures for the safeguard information. |  | A description of the procedures for quality assurance of safeguards information may be included in the ESMF. |
| 1. Conduct a multi-stakeholder analysis and assessment of safeguard information. | Using REDD+ SES:  Facilitate stakeholder review of a draft assessment report to enhance quality and credibility  SESA – Validation of REDD+ Strategy Options (SESA Step #6) |  |
| 1. Develop an approach to store and manage safeguard-related information over time. | ADC (activity 4.2): Component datasets compiled on biodiversity and ecosystem-based multiple benefits of REDD+ in a format suitable for analysis, as well as GIS analysis tools developed specifically to support such analyses.  ADC (activity 5.4): Prepare and operationalize a web-based linkage mechanism for linking all relevant information systems; (i.e. forest monitoring system (including a system for monitoring and providing information on how multiple benefits, other impacts, governance, and actual safeguards) is fully linked and compatible with REDD+, NAMA, Biodiversity, Land registries, safeguards, UBOS’ FAOSTAT forestry statistics database, National biodiversity exchange mechanism and other relevant information systems) | Use of existing technical platforms will most likely be an important consideration here.  The information management approach and the supporting institutional arrangements may be described in the ESMF. |
| 1. Share publically information on how safeguards are being addressed and respected. | ADC (activity 5.4): Prepare and operationalize a web-based linkage mechanism for linking all relevant information systems; (i.e. forest monitoring system (including a system for monitoring and providing information on how multiple benefits, other impacts, governance, and actual safeguards) is fully linked and compatible with REDD+, NAMA, Biodiversity, Land registries, safeguards, UBOS’ FAOSTAT forestry statistics database, National biodiversity exchange mechanism and other relevant information systems) | Provision of information refers to the national government making the REDD+ safeguards information that has been collected available to both national and international stakeholders.  • Examples include web-based distribution and the summary information provided in the National Communication submission to the UNFCCC. |

**Part 7: References extensively used and acknowledged in preparation of these ToRs**

1. East African Community Lake Victoria Basin Commission Secretariat. *September 2012.* Mount Elgon Regional Ecosystem REDD+ Strategy;
2. FCPF 2013. FCPF Carbon Fund Methodological Framework; Final, December 20, 2013;
3. GFOI (2013) Integrating remote-sensing and ground-based observations for estimation of emissions and removals of greenhouse gases in forests: Methods and Guidance from the Global Forest Observations Initiative: Pub: Group on Earth Observations, Geneva, Switzerland, 2014. ISBN 978-92-990047-4-6;
4. Global Observation of Forest Cover and Land Dynamics (GOFC-GOLD). 2013. A sourcebook of methods and procedures for monitoring and reporting anthropogenic greenhouse gas emissions and removals associated with deforestation, gains and losses of carbon stocks in forests remaining forests, and forestation. GOFC-GOLD Report version COP19-2, (GOFC-GOLD Land Cover Project Office, Wageningen University, The Netherlands);
5. Government of Uganda. 2011. REDD Readiness Preparation Proposal for Uganda. Submitted to the forest carbon partnership fund (FCPF);
6. Leo Pesketta, Kimberly Todda. 2012. UN-REDD Policy Brief Issue #03. Putting REDD+ Safeguards and Safeguard Information Systems Into Practice
7. REDD+ SES Initiative. 2012. REDD+ Social & Environmental Standards; Version 2; 10th September 2012
8. The World Bank. 2011. Guidelines for selection and employment of consultants under IBRD loans and IDA credits & grants by World Bank borrowers;
9. The United Nations Environment Programme Finance Initiative (UNEP FI). 2011. REDDySETGROW: Part 2: Private sector suggestions for international climate change negotiators; Designing an effective regime for financing forest-based climate change mitigation. A study by the UNEP Finance Initiative’s Biodiversity and Ecosystems Workstream (BEWS) and Climate Change Working Group (CCWG). September 2011
10. UN-REDD. 2013. National Forest Monitoring Systems: Monitoring and Measurement, Reporting and Verification (M & MRV) in the context of REDD+ Activities;
11. UN-REDD. 2012. UN-REDD Programme Social and Environmental Principles and Criteria;

**Annex 1: Relevant UNFCCC decisions**

UNFCCC Decisions on REDD+ that have implications for the development of the Sub-national system for Multiple Benefits, Other impacts & Governance; and actual safeguards for Uganda’s National REDD+ Programme are as follows:

1. Decision 2/CP.13 Reducing Emissions from Deforestation in Developing Countries: Approaches to Stimulate Action (from Bali);
2. Decision 4/CP.15 Methodological Guidance for Activities Relating to Reducing Emissions from Deforestation and Forest Degradation and the Role of Conservation, Sustainable Management of Forests and Enhancement of Forest Carbon Stocks in Developing Countries (from Copenhagen);
3. 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 (from Cancun);
4. Decision 2/CP.17 Outcome of the work of the Ad Hoc Working Group on Long‐term Cooperative Action under the Convention (from Durban);
5. Decision 12/CP.17 Guidance on systems for providing information on how safeguards are addressed and respected and modalities relating to forest reference emission levels and forest reference levels as referred to in decision 1/CP.16 (from Durban)
6. Decision 1/CP.18 Agreed outcome pursuant to the Bali Action Plan (from Doha)
7. Decision 9/CP.19 Work programme on results‐based finance to progress the full implementation of the activities referred to in decision 1/CP.16, paragraph 70 (from Warsaw)
8. Decision 10/CP.19 Coordination of support for the implementation of activities in relation to mitigation actions in the forest sector by developing countries, including institutional arrangements (from Warsaw);
9. Decision 11/CP.19 Modalities for national forest monitoring systems (from Warsaw);
10. Decision 12/CP.19 The timing and the frequency of presentations of the summary of information on how all the safeguards referred to in decision 1/CP.16, appendix I, are being addressed and respected (from Warsaw); Decision 13/CP.19 Guidelines and procedures for the technical assessment of submissions from Parties on proposed forest reference emission levels and/or forest reference levels (from Warsaw);
11. Decision 14/CP.19 Modalities for Measuring, Reporting and Verifying (from Warsaw);
12. Decision 15/CP.19 Addressing the Drivers of Deforestation and Forest Degradation (from Warsaw);
13. Decision 10/CP.19 Coordination of support for the implementation of activities in relation to mitigation actions in the forest sector by developing countries, including institutional arrangements;
14. Decision 11/CP.19 Modalities for national forest monitoring systems 12/CP.19 The timing and the frequency of presentations of the summary of information on how all the safeguards referred to in decision 1/CP.16, appendix I, are being addressed and respected;
15. Decision 13/CP.19 Guidelines and procedures for the technical assessment of submissions from Parties on proposed forest reference emission levels and/or forest reference levels; and
16. Decision 14/CP.19 Modalities for measuring, reporting and verifying 15/CP.19 Addressing the drivers of deforestation and forest degradation

1. Materials and references heavily used in preparing these terms of reference are listed at the end and are hereby fully acknowledged by inference [↑](#footnote-ref-1)
2. [↑](#footnote-ref-2)
3. For multiple benefits, other impacts, governance, and actual safeguards [↑](#footnote-ref-3)
4. Policies, Legislation and Regulations (PLRs) [↑](#footnote-ref-4)
5. Requirements [↑](#footnote-ref-5)
6. For multiple benefits, other impacts, governance and actual safeguards [↑](#footnote-ref-6)
7. Uganda will benefit if it could integrate the REDD+ SES process, CCB Standards for forest-related CDM projects with other safeguards. However, to be able to have accreditation of CCBA as well, we need to confirm with the Director of CCBA. Joanna Durbin (Director of CCBA) is happy to be contacted (and UNEP-WCMC is happy to facilitate such a discussion) and can share a draft about the relationship. Whereas REDD+SES materials can be drawn upon without necessarily undertaking the whole process, it would be useful if Uganda would make an agreement with REDD+SES to modify their process in such a way that there is reduced or no overlap with the other activities that Uganda is committed to with the WB, Austria and UN-REDD Programme. [↑](#footnote-ref-7)
8. The SESA/Safeguards Taskforce will then undertake the process; [↑](#footnote-ref-8)
9. An application will be submitted to the REDD+ SES Initiative [↑](#footnote-ref-9)
10. These steps are modified with acknowledgement from “REDD+ SES Initiative” [↑](#footnote-ref-10)
11. Compare with the “disclosure” requirement under the World Bank [↑](#footnote-ref-11)
12. The Second National Biodiversity Strategy (NBSP II) will form the basis for this elaboration [↑](#footnote-ref-12)
13. This document forms the basis for a work plan. [↑](#footnote-ref-13)
14. <http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=6985&Itemid=53> [↑](#footnote-ref-14)
15. <http://www.redd-standards.org/index.php?option=com_eywafm&task=cat_view&gid=45&Itemid=185> [↑](#footnote-ref-15)
16. <https://www.forestcarbonpartnership.org/sites/fcp/files/2013/june2013/FMT%20Note%20CF-2013-3_FCPF%20WB%20Safeguard%20Policies%20and%20UNFCCC%20REDD%2B%20Safeguards_FINAL.pdf> [↑](#footnote-ref-16)
17. Note that the Warsaw Framework (decision 9/CP.19, paragraph 22) recognizes the importance of incentivizing non-carbon benefits for the long-term sustainability of the implementation of the REDD+ activities [↑](#footnote-ref-17)
18. Policies, laws and regulations (PLRs), understood broadly include relevant local, national and international policies, laws, regulatory frameworks and legally binding agreements. [↑](#footnote-ref-18)