

SAFEGUARDS

SOCIAL AND ENVIRONMENTAL SAFEGUARDS FOR REDD+ IN COLOMBIA



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Safeguards

Social and Environmental Safeguards for
REDD+ in Colombia



In the framework of this process, safeguards are understood to be “principles or inalienable conditions that are promoted and backed by both Government and forest communities to ensure that REDD+’s activities do not negatively affect the environment and the basic structure of collective societies, but instead that these activities turn out to be beneficial to all concerned.”

Janis Bristol Alcorn

SAFEGUARDS

SOCIAL AND ENVIRONMENTAL SAFEGUARDS FOR REDD+ IN COLOMBIA

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Ximena Barrera Rey
Carmen Candelo Reina

WWF-Colombia

1. EXECUTIVE SUMMARY

The United Nations Framework Convention on Climate Change (UNFCCC) agreed, in Appendix 1 of Decision 1/CP.16 of the Conference of the Parties (COP) held in Cancun, that in developing activities related to reducing emissions generated by deforestation and forest degradation, known as REDD+, consideration must be given to a series of safeguards. Countries implementing REDD+ agreed on the guidelines for these safeguards, which seek to reduce possible risks associated to the implementation of REDD+'s mechanism and to maximize potential benefits that go beyond reducing carbon emissions. These safeguards also guarantee that the rights of actors involved in REDD+'s initiatives should be protected and their obligations fulfilled.

Safeguards seek to mitigate the impact of social and environmental risks involved in the REDD+ mechanism, while promoting the different benefits of these activities, which go way beyond carbon capture. Among these other benefits are protecting biodiversity, guaranteeing land tenure, empowering interested stakeholders and strengthening forestry governance.

This document presents results of an initiative led by WWF-Colombia, with support from the German Cooperation Agency Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) and the Forest Carbon, Markets and Communities Program (FCMC), in conjunction with Colombia's Ministry of Environment and Sustainable Development (MADS), whose objective was to collectively develop guidelines for the construction of a National Social and Environmental Safeguard Scheme for REDD+ in Colombia. Different actors participated in the process, which involved indigenous, Afro-Colombian and peasant community organizations; a multidisciplinary team of experts (in social, legal and biodiversity issues); and a team of consultants from different fields who contributed to the final result of this process.

This process can be summarized in four stages:

1. Establishing a baseline, including a review of national and international legislation on the issue.
2. Constructing the proposed Principles and Criteria (P&C) relevant to the national context. These principles are established with support and participation of the stakeholders previously mentioned.
3. Defining the P&C for Colombia.
4. Providing overall recommendations for elaborating the Safeguards Information System (SIS) for Colombia.

Key issues were identified during the development process, secondary information was collected, experiences were shared, and legal issues were analysed in order to formulate a set of P&C that seek to counteract risks identified and bolster benefits for developing REDD+'s initiatives in Colombia. These guidelines and the overall process are presented here for consideration by the Colombian government, community organizations, civil society and other key stakeholders involved in REDD+'s initiatives, as a working tool for facilitating processes and supporting the development of similar initiatives.

2. OVERALL CONTEXT

Colombia is currently developing its National REDD+ Strategy (ENREDD+, from its name in Spanish). The objective of this strategy is to face climate change in an effective way within national capacities, and have a positive impact on the livelihoods and welfare of indigenous peoples; Afro-Colombian, Palenquera and Raizal populations; and peasant communities. Activities are facilitated by international support in the framework of the UNFCCC. One of its main actions is formulating the Readiness Preparation Proposal (R-PP), which operates as a guideline for ENREDD+, containing an overall diagnosis of problems affecting forests and proposing actions that the country must undertake, based on these issues, in preparation for implementing REDD+.

Within the needs for implementing the REDD+ mechanism, the international community has recommended that social and environmental safeguards be taken into account to protect biodiversity and communities' rights in areas where these initiatives are carried out (Appendix 1 of Decision 1/CP.16 of the COP held in Cancun). In this context, the Colombian MADS identified the need for developing guidelines for a National Social and Environmental Safeguard Scheme for REDD+, taking into account national distinctive features. This scheme guarantees protection of rights and fulfilment of commitments of all stakeholders involved in the REDD+ processes.

The REDD+ safeguards of the UNFCCC provide a global framework of social, environmental and governance principles for implementing REDD+'s activities and measures. In complying with this global framework, countries reduce risks associated to REDD+'s measures and increase the feasibility of obtaining benefits, in terms of carbon capture and in other aspects.

Since early 2013 and in this framework, WWF has been working with support from GIZ and FCMC, in conjunction with MADS, in developing guidelines for constructing a National Social and Environmental Safeguard Scheme for REDD+ in Colombia. The process has been led by the civil society, again in conjunction with MADS, following the "bottom-up" approach —constructed from the point of view of stakeholders in the territory and experts in these issues, to be then adopted by the National Government.

Construction of these guidelines would involve safeguards of all stakeholders involved in the REDD+ initiative. The importance of working with communities (indigenous peoples; Afro-Colombian, Palenquera and Raizal populations; and peasants) directly affected by any REDD+ activity was emphasized.

3. PROCESS FOR CONSTRUCTING GUIDELINES OF A NATIONAL SOCIAL AND ENVIRONMENTAL SAFEGUARD SCHEME FOR REDD+ IN COLOMBIA

A technical working team was established for constructing the guidelines of a National Social and Environmental Safeguard Scheme for REDD+ in Colombia. The team included a social expert, a safeguard expert and a legal expert, as well as an advisory group representing the communities and composed of a representative of each of the indigenous, Afro-Colombian and peasant populations to provide the insight of their communities in constructing this proposal. A Technical Advisory Committee (TAC) was also established, composed of technical experts with ample experience in environmental, social and economic issues having to do with forests, REDD+, legislation, biodiversity and communities. These advisors have reviewed first-draft documents and provided input on relevance, applicability and legitimacy of the inputs generated by the working team, based on secondary information and workshops held with the different communities mentioned. TAC has organized meetings with thematic groups in order to generate in-depth discussion on the following issues: 1) Land-use planning, risks in reversal and displacement of emissions, 2) Forestry and biodiversity governance and 3) Traditional knowledge, prior consultation and distribution of benefits.

Development of the guidelines of the National Safeguard Scheme includes the following phases:



PHASE 1: WHAT IS IT AND HOW THE BASE LINE IS BUILT?

The process for identifying social and environmental safeguards is based on two main elements: the first is building on what has been built, and the second is building in a participatory way by establishing two-way dialogues with different stakeholders. For the safeguards, the vision of different groups of stakeholders was incorporated in the construction of the national scheme.

In order to “build on what has been built”, a **baseline** was constructed, including three components: the technical component on existing safeguard mechanisms in the international arena, and the legal and social components. The baseline took into account efforts carried out by different international organisms to establish environmental and social principles and criteria for REDD+, the development of social and participatory processes as a result of early dialogue regarding REDD+ with stakeholders (in the framework of capacity building and formulating R-PPs), and existing regulations and policies in the country. The first step in the process was collecting available information and proceedings of the different dialogues conducted in Colombia in relation to REDD+ with Afro-Colombian, indigenous and peasant communities; proceedings of events developed on R-PPs and ENREDD+, as well as results of meetings of the Strategic Evaluation and Social Assessment (SESA) process. The latter was developed at the same time that the baseline was being constructed. Colombia is currently carrying out different REDD+ processes and therefore the social baseline document is being constantly updated (as information of each of the mentioned processes is made publicly available).



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Baseline Components

1. Social Baseline

Based on a review of secondary information, as previously mentioned, the social component of the baseline was constructed in response to three basic questions:

- 1) What events have taken place to date, where, with participants of which communities, led and convened by who, and covering which issues?
- 2) Which issues are mentioned repeatedly in terms of fears, expectations and gaps of the REDD+ initiatives by the different community groups participating in these activities?
- 3) How do the different population groups contribute to principles, criteria and guidelines for a national safeguard scheme?

Indigenous, Afro-Colombian and peasant populations prioritized several issues for discussion, expressed common concerns and made proposals during the different events carried out during the process. These were identified by establishing categories and classifying the information, and were taken into account for developing the P&C. Several elements stood out as being common to all the population groups, while other issues were group-specific.

The main questions and considerations of the population groups were:

- Is this a binding mechanism?
- Which are the legal mechanisms and guarantees that insure observance of safeguards?
- How can strategic non-government partners be identified, willing to support observance of safeguards?
- How will the process be organized, honoring free, prior and informed consent (International Labour Organization- ILO- Convention No. 169) in the REDD+ process and in the safeguards?
- The safeguards process must be led and coordinated by both the State and the People.
- The process must not reflect only international interests and structures, but must be designed to account for the conditions, needs and cultures of the people involved and their dynamics.

The social baseline document was distributed among the different groups that participated in the process, with the objective of identifying which elements were missing, provide feedback on proposals and nail down aspects that are relevant to the communities but had not been included in the documents reviewed.

2. Legal baseline

Analysis of existing national legal elements (laws, decrees and institutions), considered relevant for the safeguards framework, led to developing the legal baseline. These elements were then paired to the safeguards proposed by the COP in Cancun 2010. Identification of legal grounds enabled characterizing possible risks in carrying out the REDD+ initiatives in Colombia.

Risks identified to date include:

1. Unclear legal frameworks. For example, ownership of natural resources (carbon) for distributing benefits.
2. Uncertainty regarding long-term land tenure processes (not clear which type of user has access to benefits)
3. Promoting conversion of forests to other land cover options with less biodiversity.
4. Lack of knowledge on positive or negative impacts of developing REDD+ initiatives.
5. Uncertainty regarding the role of communities in developing REDD+ initiatives.
6. Lack of adequate consultation with communities prior to developing REDD+ initiatives.
7. Lack of clarity regarding the State's responsibility in developing projects in the voluntary carbon market and in guarantees for stakeholders involved.
8. Scarce coordination of REDD+ with productive sectors driving deforestation and with land planning policies.
9. Lack of clarity and absence of an institutional framework for responding to the needs of stakeholders involved in REDD+ projects.

3. Technical baseline

The technical baseline was constructed after identifying the international frameworks, treaties, mandates and suggestions defined at the national and international levels for developing REDD+'s initiatives, in addition to identifying and collecting information regarding the construction of safeguard schemes in other countries, as an input for developing national guidelines.

Information compiled pointed to the need for support from TAC, and for working hand in hand with a community advisory team in order that guidelines for a Social and Environmental Safeguard Scheme for REDD+ in Colombia would include the local point of view of communities and identify elements that are decisive at the national level, evidencing key aspects that safeguards must guarantee for the different stakeholders described below:

- Governments: a set of guiding principles for defining the national framework and integrating social and environmental considerations to sustainable development.
- Donors and investors: resources are directed at minimizing negative impact and enhancing social and environmental benefits, thus reducing the risk of investing in REDD+.
- Multilateral organisms: stability for achieving legal commitments and policies.
- Communities (the group potentially being more "affected" by REDD+): rights and interests are honoured during the decision-making process and in developing REDD+ initiatives.
- Civil society stakeholders guarantee that social and environmental issues be included in national program planning. Civil society stakeholders promote that standards be met by REDD+'s activities.

Cross-process phase 1: Stakeholders involved in the process

Technical Advisory Committee (TAC)

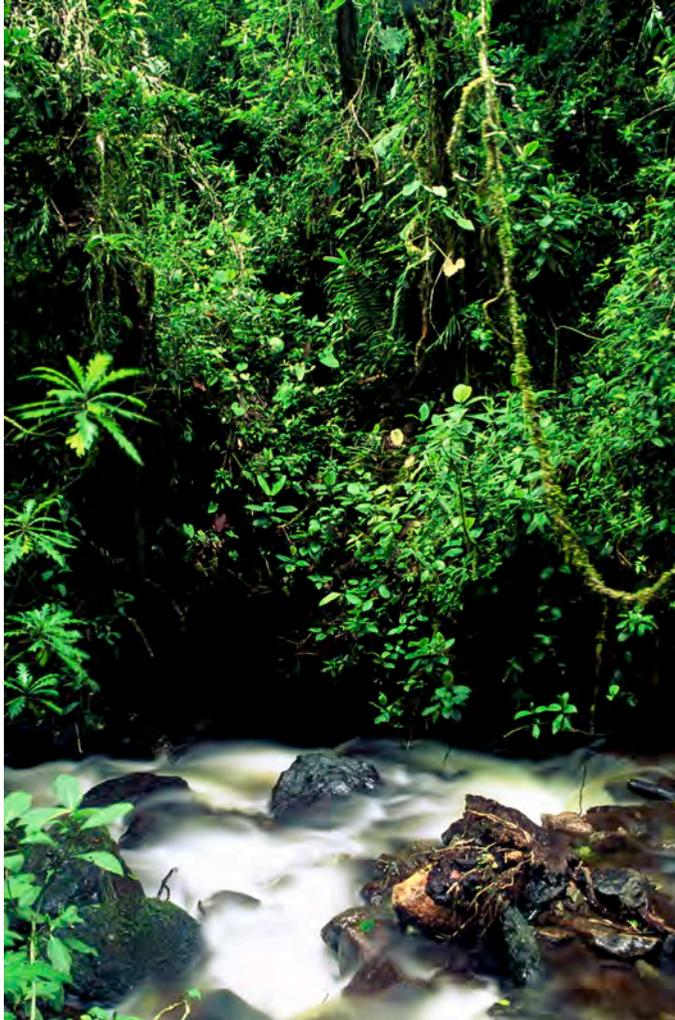
The need for an interdisciplinary technical team, with ample knowledge of issues related to social and environmental safeguards, arose during discussions in the process of formulating the National Safeguards Scheme. The objective of this team was to generate technical recommendations and inputs during the process of formulating guidelines for REDD+ safeguards in Colombia.

Thus, the TAC of REDD+ Safeguards was established, composed of experts in different areas related to social and environmental safeguards. The Committee was responsible for technical inputs for discussion in the framework of the National Safeguard Scheme and was a key element in developing a participatory two-way process in the national context and integrating lessons learned from experiences in other countries in the region.

TAC conducted meetings focusing on identifying key elements to be included in the framework for constructing safeguards and made recommendations on processes carried out jointly with communities and other relevant stakeholders. It also guided and made conceptual contributions for identifying the context in which safeguards could be applied within the framework of an eventual National Scheme. TAC contributed to writing the P&C document, mainly providing the legal framework. In the context of constructing national guidelines and with facilitation from WWF, TAC carried out thematic meetings addressing the following priority issues:

- Land-use planning, risks in reversal and displacement of emissions
- Forestry and biodiversity governance
- Traditional knowledge, prior consultation and distribution of benefits.

Node Groups



To ensure the inclusion of the different points of view of all community groups in the country, work was carried out with indigenous, peasant and Afro-Colombian nodal groups. Their participation helped identify group-specific as well as common elements in the social and legal areas. During the workshops organized, participants provided feedback on the baseline and contributed key elements to the P&C document. This two-way process enabled including the vision of different stakeholders which contributed to the construction of an eventual National Scheme including local and regional realities of these communities.

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PHASE 2. WORK ENVIRONMENT, AND PROPOSAL OF PRINCIPLES AND CRITERIA

Applying safeguards

One of the main points in developing guidelines for the National Safeguard Scheme was defining the environment for carrying out the process and applying these guidelines. The following areas were selected after discussions with the TAC and the thematic groups:

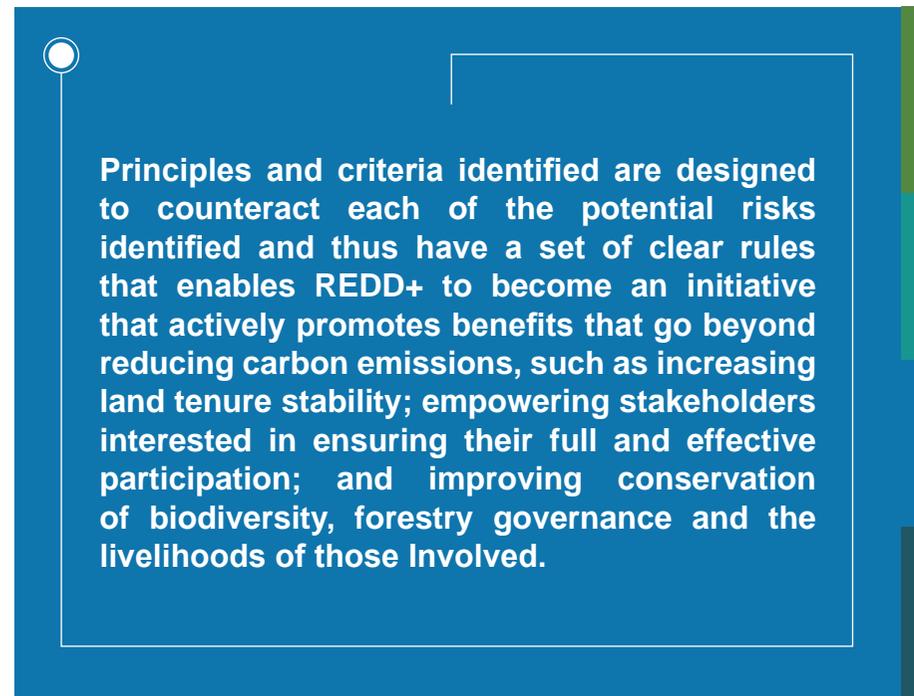
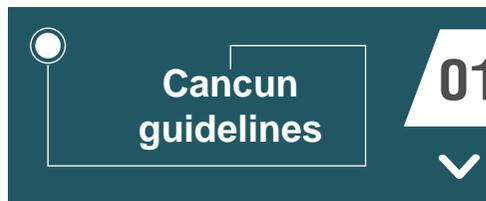
1. National REDD+ Strategy (ENREDD+)
2. Programs, projects, policies, regulations, activities and any set of actions deriving from the implementation of REDD+

This sphere of application was denominated as REDD+ INITIATIVES, and refers to different geographic levels (local, regional, national, ENREDD+). These initiatives are to be applied to all REDD+ stakeholders: Afro-Colombian, indigenous and peasant communities; investors; and private and government sectors. Safeguards can also apply to only policies, specific initiatives or both.



Construction of Principles and Criteria

Once the base line was elaborated, we identified the principles and criteria. The structure of this exercise was originated from the information obtained in the different components of the base line regarding the safeguards guidelines established in the 1/CP 16 decision of Cancun. This way, as a result of the feedback exercises and taking into account each guideline in Cancun, a text proposal was elaborated:



PHASE 3. GUIDELINES, PRINCIPLES AND CRITERIA

Following are the P&C, after adjustments, comments, feedback and input from the TAC and the Nodal Groups:



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GUIDELINES, PRINCIPLES AND CRITERIA

“RULES OF THE GAME” FOR REDD+ IN COLOMBIA

REDD+ initiatives follow an adaptive management approach, such that decisions are flexible and can respond to factors and threats not previously contemplated, as well as to new challenges.

A) CANCUN GUIDELINE:

Complementarity and compatibility of measures with objectives of national forestry programs and international conventions and agreements in this area.

PRINCIPLE 1. COMPLIANCE WITH NATIONAL AND INTERNATIONAL LEGISLATION: The National REDD+ Strategy (ENREDD+) and programs and projects (called “REDD+ initiatives” in this document) are interconnected and make part of the National Climate Change Policy, the Forest Policy, the National Forestry Development Plan and the National Policy for the Comprehensive Management of Biodiversity and Ecosystem Services; and of the framework for implementing the Convention on Biological Diversity, the United Nations Framework Convention on Climate Change, the United Nations Convention on Combat of Desertification, and other related agreements. These initiatives also comply with Colombian legislation, the Political Constitution, constitutional case laws, and international conventions and declarations on the matter; and with human rights in general and specifically with the rights of ethnic communities.

- **Criterion 1.1.** ENREDD+ and REDD+ initiatives are focus on both individual and collective rights, and act in compliance with regulations of the Political Constitution, the legislation, case laws, and national and international treaties and declarations on human rights ratified and signed by Colombia.
- **Criterion 1.2.** ENREDD+ and REDD+ initiatives honor the Nation’s multi-ethnic and multicultural nature and comply with standards on ethnic rights included in the Colombian Constitutional Order, specifically the jurisprudence of the Constitutional Court and of the ILO Convention No. 169.
- **Criterion 1.3.** ENREDD+ and REDD+ initiatives respect principles of environment rights established by the Colombian Constitutional Order, specifically the precautionary principle, the social and ecological functions of land tenure, the right to a healthy environment and the public utility and social interest nature of preserving the environment and its natural resources.
- **Criterion 1.4.** ENREDD+ is part of and promotes harmony with the National Policy on Climate Change, the National Adaptation Plan, the Colombian Strategy for Low Carbon Development, the Strategy

for Financial Protection against Disasters, the Policy on Forests, the National Forestry Development Plan, and the National Policy for the Comprehensive Management of Biodiversity and Ecosystem Services.

- **Criterion 1.5.** ENREDD+ foresees mechanisms in order that all REDD+ initiatives developed, promote integration among the different sectors and interest groups in the territories, geographies and administrative units.
- **Criterion 1.6.** ENREDD+ focuses its actions in zones defined as suitable by the National Forestry Information System (Sistema Nacional de Información Forestal, SNIF) and included in its inventory and in the country's zoning of forest areas. It also takes into account results and guidelines on the matter provided by the Forest and Carbon Monitoring

System (Sistema de Monitoreo de Bosques y Carbono, SMBYC).

- **Criterion 1.7.** ENREDD+ and REDD+ initiatives operate in harmony with international technical cooperation, and international, regional, national and bilateral strategic alliances that strengthen biodiversity conservation processes, community rights, forestry governance (e.g., Forest Law Enforcement, Governance and Trade - FLEGT) and market projections for products managed with a sustainable approach.



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B) CANCUN GUIDELINE: Transparency and efficiency of national forestry governance structures, in compliance with national legislation and sovereignty.

PRINCIPLE 2. TRANSPARENCY AND ACCESS TO INFORMATION: REDD+ initiatives have a complete, adequate, clear, relevant, timely and transparent information system which enables quick access to information in an economically, culturally and socially appropriate manner for defending the rights of all parties involved.

- **Criterion 2.1.** ENREDD+ must design and implement a system for recording and monitoring REDD+ initiatives, guaranteeing that information be public and available through a web-based platform and other means that facilitate access by different actors, with the exception of information classified by those participating in the initiatives.
- **Criterion 2.2.** Those in charge of developing REDD+ initiatives must report to ENREDD+'s recording and monitoring system all information required in order to guarantee transparency, symmetry and comprehensiveness of information among the parties.

The recording and monitoring system must include the following information—complying and aligned with the existing platform generated by the Colombian Institute of Hydrology, Meteorology and Environmental Studies (Instituto de Hidrología, Meteorología y Estudios Ambientales de Colombia, IDEAM):

- Nature of the funding involved
- Conditions of contracts signed (contract template specifying):
 - Parties involved and corresponding obligations
 - Geographic scope (coordinates)
 - Contract term
 - Obligations among contract signatories
 - Mechanism used to guarantee equitable distribution of benefits (explicitly indicated)
- **Criterion 2.3.** ENREDD+ sets in motion a dissemination mechanism that guarantees transparency of the process from the elaboration and construction of ENREDD+ all the way through the implementation of initiatives, activities and financial mechanisms.
- **Criterion 2.4.** REDD+'s initiatives are backed up by agreements constructed with partners in terms of how to guarantee the flow of information among all stakeholders involved in the initiative (those that develop the initiative; local authorities; leaders; and representatives of indigenous, small farmer, Afro-Colombian, Raizal and Palanquera communities, as appropriate).
- **Criterion 2.5.** Information of REDD+'s initiatives must be available to all parties involved, control entities and other competent state authorities to guarantee equal access to information, and under the following terms:
 - All written information (e.g., agreements, studies) must be at least in Spanish and, when pertinent, be translated (verbally or in writing) into the language(s) of the respective community(ies),
 - Information disseminated must include definition of technical terms used, and must be comprehensible, clear and provided in a timely manner.
 - Information must be disseminated using methodologies and methods

that are culturally appropriate for all stakeholders involved in the process and for public awareness.

- **Criterion 2.6.** REDD+ initiatives honor copyrights and acknowledge contribution of stakeholders involved, and hold respect for traditional knowledge in developing any research activity or study conducted before, during or after the establishment of said initiative.



PRINCIPLE 3. CAPACITY BUILDING: REDD+ initiatives guarantee strengthening of technical, legal and administrative/governance capacities of stakeholders directly involved or participating in the initiatives, in order that the parties can make decisions that are documented, analysed and informed.

- **Criterion 3.1.** REDD+ initiatives include and allocate financial resources for implementing capacity building plans with a multicultural approach, designed in collaboration with the pertinent indigenous peoples and other ethnic and local communities, and based on an analysis of needs—taking into consideration previous capacity building processes and employing personnel trusted by the communities.
- **Criterion 3.2.** Capacity building in REDD+ initiatives guarantee that indigenous peoples and other ethnic and local communities involved strengthen their capacity to follow agreements and comply with the objectives of the initiatives; to understand the methodologies for developing the REDD+ initiatives; and to participate in Monitoring, Recording and Verifying (MRV) activities in agreement with Principle 6, during the duration of the initiative.
- **Criterion 3.3.** REDD+ initiatives guarantee certified training of local actors in negotiation aspects inherent to REDD+’s activities.
- **Criterion 3.4.** REDD+ initiatives must carry out socialization and training activities with indigenous peoples and other ethnic and local communities on the environmental, economic, social and cultural implications of subscribing REDD+ agreements. Also, the initiatives guarantee that these processes be carried out in the appropriate language and include a cross-cultural approach.

PRINCIPLE 4. AUTONOMY: REDD+ initiatives hold respect for the authorities of indigenous peoples and of other ethnic and local communities; for their decision-making instances and vision of development; and for the ethnic and cultural integrity of stakeholders involved.

- **Criterion 4.1.** REDD+ initiatives hold respect for and recognize the Cosmo vision, cultural use and appropriation of resources of indigenous peoples and other ethnic and local communities; their way of relating with their territories; their symbols and languages; their formal and informal institutions; and their existing local economic structures.
- **Criterion 4.2.** REDD+ initiatives hold respect for and recognize the authorities and representative organizations; the social, cultural, political and spiritual spaces; and the decision-making procedures and instances characteristic of the indigenous peoples and other ethnic and local communities.

- **Criterion 4.3.** REDD+ initiatives developed in the context of communities prioritize allocation of resources obtained through the initiative for fulfilling objectives in the interest of the community and established by the community through their decision-making instances.
- **Criterion 4.4.** REDD+ initiatives accredit the traditional knowledge of indigenous peoples and other ethnic and local communities involved, as well as their practices (traditional or innovative) associated to the management, use and exploitation of natural resources in the manner determined by these stakeholders through their legitimate instances.
- **Criterion 4.5:** REDD+ initiatives, together with the relevant stakeholders, define measures to prevent and address possible threats to the cultural integrity and autonomy of the indigenous peoples and other ethnic and local communities; avoiding fragmentation of existing community units.

PRINCIPLE 5. GOVERNANCE: REDD+ initiatives strengthen existing governance structures and/or establish the required structures among the actors involved in the process.

- **Criterion 5.1.** Governance structures of the REDD+ initiatives are clearly defined with a transparent, efficient and responsible approach, are in the public domain and involve all initiative stakeholders (community, public and private) in making decisions. These initiatives accredit the relevant authority figures and the organizational structures of the different groups present in the territory.
- **Criterion 5.2.** Existing governance structures are strengthened by ENREDD+ and promote maintenance and/or creation of forums and processes for consensus building, coordination, dialogue and follow-up among the indigenous peoples and other ethnic and local communities with State (local, regional, national) agencies and private actors associated with ENREDD+. They also promote internal consultation within local representative forums.
- **Criterion 5.3.** REDD+ initiatives have a set of follow-up tools and procedures that ensure transparent accountability, which can be accessed by all stakeholders involved.
- **Criterion 5.4.** REDD+ initiatives have delegates legitimately assigned by the parties involved, in charge of carrying out periodical review, auditing and oversight of financial administration of the initiatives and the distribution of benefits.
- **Criterion 5.5.** **When considered convenient by the indigenous peoples and other ethnic and local communities and after prior agreement with the entity in charge of executing the project, technical support can be requested from approved sources; costs of support are covered by the project itself.**

PRINCIPLE 6. MONITORING, REPORTING AND VERIFICATION SYSTEM: ENREDD+ clearly and precisely defines the reporting system of REDD+ initiatives, as well as the monitoring and verification processes.

- **Criterion 6.1.** ENREDD+ has a MRV system that includes—in addition to carbon data—data on the effects and benefits for biodiversity and ecosystem services that may be derived from the implementation of REDD+ initiatives. Efficient, sound and inexpensive methods for measuring ecosystem services must also be promoted.
- **Criterion 6.2.** ENREDD+’s MRV system in Colombia, involves the indigenous peoples and other ethnic and local communities directly affected by the initiatives in the design and implementation of its strategy, thus generating employment opportunities and guaranteeing that these stakeholders have control over their territories.
- **Criterion 6.3.** ENREDD+’s MRV system identifies environmental and socioeconomic negative impacts that could be caused by REDD+ initiatives and establishes measures to prevent, mitigate or compensate these effects.



C) CANCUN GUIDELINE: Respect for the knowledge and rights of indigenous peoples and other ethnic and local communities—taking into account relevant international obligations, national circumstances and legislation, and approval by the General Assembly of the United Nations Declaration on the Rights of Indigenous Peoples.

PRINCIPLE 7. PRIOR CONSULTATION AND FREE, PRIOR AND INFORMED CONSENT: Any REDD+ initiative developed in Colombia which may directly affect one or several ethnic groups must be consulted in advance in accordance with the practices and customs of these peoples, have the approval of the Directorate of the Colombian Ministry of the Interior and be supported by the relevant control organisms.

- **Criterion 7.1.** Prior consultation is done before making decisions on the development of REDD+ initiatives.
- **Criterion 7.2.** A pre-consultation process must be carried out before initiating the prior consultation process in order to define the methodology and the logistic aspects of the process.
- **Criterion 7.3.** Prior consultation costs are covered by the entity in charge of developing REDD+ initiatives; this entity must be coordinated by the Directorate of the Ministry of the Interior and have the support of the relevant control organisms.
- **Criterion 7.4.** **The consultation procedure is carried out in good faith, explaining REDD+'s initiatives, their possible impacts and benefits. Stakeholders interviewed express their perception as to how they think these initiatives affect them.**
- **Parameters for the consultation process:**
 - Information is adequate, transparent, clear and comprehensible.
 - Meetings are organized with indigenous peoples and other ethnic and local communities to inform them on the initiatives and their impacts.
 - The indigenous peoples and other ethnic and local communities express their points of view and arrive at a decision following free, previous and informed consent processes.
 - Note: This process needs to go hand in hand with capacity building activities described in Principle 3.
- **Criterion 7.5.** The prior consultation procedure is agreed upon and appropriate in terms of the timing, rhythm, spaces and ways in which decisions are made by the indigenous peoples and other ethnic and local communities involved, in accordance to their practices and customs.
- **Criterion 7.6.** Consultation is carried out in the places and zones defined by the indigenous peoples and other ethnic and local communities, and through their legitimate authorities. Said authorities include, in each case:

- The legal representative and other members of the Community Council of Afro-Colombian, Raizal and Palenquera communities inhabiting a collective territory.
 - The organizational bodies of each Afro-Colombian, Raizal and Palenquera communities not inhabiting a collective territory.
 - The Cabildo (Council), traditional authorities, and local, regional and national organizations of the indigenous peoples inhabiting resguardos (reservations).
 - The Cabildo, traditional authorities, and local, regional and national organizations of indigenous peoples inhabiting on a regular and permanent basis traditional territories that do not have titles, and the sacred spaces of these peoples.
- **Criterion 7.7.** Information is provided at least in Spanish and translated (verbally or in writing) into the language(s) of the respective community(ies), in a comprehensible, clear and timely manner.
 - **Criterion 7.8.** There is no manipulation, prerequisites, coercion, or deceit by any stakeholder involved in the process, in such a way that consultation can be considered to have taken place in a free environment.
 - **Criterion 7.9.** REDD+ initiatives are executed after free, prior and informed consent by indigenous peoples and other ethnic and local communities.
 - **Criterion 7.10.** Prior consultation takes place during the first phase of the REDD+ initiatives.
 - **Criterion 7.11.** All agreements achieved during the prior consultation process are recorded in writing and signed by the parties involved.

PRINCIPLE 8. TRADITIONAL KNOWLEDGE: REDD+ initiatives acknowledge and respect—in compliance with national Colombian legislation and with international conventions—traditional knowledge systems and visions of the peoples.

- **Criterion 8.1.** REDD+ initiatives are designed and implemented with respect for, and preserving and maintaining, innovations and traditional practices of ethnic and local communities.
- **Criterion 8.2.** REDD+ initiatives establish dialogue between traditional knowledge and other forms of knowledge, as established in the agreements made with indigenous peoples and other ethnic and local communities at the beginning of the process.
- **Criterion 8.3.** REDD+ initiatives provide forums for reaching agreements on how traditional knowledge will be shared and on how to respect property rights on this knowledge when used to develop the initiatives. These agreements are done at the beginning, during the process and after finishing activities established in the initiative, as considered appropriate.
- **Criterion 8.4.** REDD+ initiatives are developed on the basis that transmission of traditional knowledge takes place after prior, free and informed consent by the indigenous peoples and other ethnic and local communities, and that said consent is expressed in a written agreement.
- **Criterion 8.5.** REDD+ initiatives arrive at a consensus with indigenous peoples and other ethnic and local communities as to the use of technologies, and specialized knowledge and innovations having to do with conservation and sustainable use of biological diversity for the development of initiatives in their territories.

PRINCIPLE 9. DISTRIBUTION OF BENEFITS: REDD+ initiatives guarantee participation, and fair and equitable distribution of benefits, among the indigenous peoples and other ethnic and local communities, generated by these initiatives and by other traditional knowledge, practices and innovations for conservation and sustainable use of biodiversity and its components.

- **Criterion 9.1.** REDD+ initiatives reach an agreement with all stakeholders involved as to how responsibilities and benefits are distributed, as well as regarding the mechanisms employed for effective implementation. In the same manner, means of verification are established, as well as the consequences of not complying with these commitments.
- **Criterion 9.2.** Fair and equitable distribution of responsibilities and benefits generated by REDD+ initiatives are established once prior, free and informed consent has been given by the indigenous peoples and other ethnic and local communities.
- **Criterion 9.3.** Accountability shows that distribution of benefits is fair and equitable (in compliance with Principles 2 and 5—Transparency and Governance—of this safeguard scheme).
- **Criterion 9.4.** ENREDD+ and the commercial contracts and transactions developed in the framework of implementing REDD+ initiatives adhere to at least the following parameters:
 - Are fair, participatory and transparent.
 - Generate the greater benefit for the indigenous peoples and other ethnic and local communities.
 - Comply with national and international legislation, and with the norms of the indigenous peoples and other ethnic and local communities involved.
 - Take into consideration differentiated social benefits, costs and risks.
- **Criterion 9.5.** REDD+ initiatives encourage that benefits derived from the use of traditional knowledge and practices, and innovations, be acknowledged and shared in a fair and equitable manner.

PRINCIPLE 10. TERRITORIAL RIGHTS: REDD+ initiatives respect collective and individual territorial rights of indigenous peoples and other ethnic and local communities, their utilization, and cultural, economic and spiritual significance.

- **Criterion 10.1.** REDD+ initiatives explicitly acknowledge the different legal, material and spiritual bonds established by indigenous peoples and other ethnic and local communities with their territories and lands and include a definition—with consent of all parties involved—of the traditional and spiritual use of the territory, the land and its resources, that is compatible with the objectives of the initiative in such a manner that agreements on access (and/or restriction), use and management of sacred sites and natural resources are honoured.
- **Criterion 10.1.1.** Indigenous peoples and other ethnic and local communities have the right to traditional use of natural resources, and access (and/or restriction), use and management of sacred sites is honoured; all parties involved determine if the objectives of the initiative are compatible with traditional practices.
- **Criterion 10.2.** REDD+ initiatives respect the social and ecologic function of ownership.
- **Criterion 10.3.** REDD+ initiatives honor individual ownership and occupation in areas where these are developed³.
- **Criterion 10.4.** In no case will REDD+ initiatives interfere in collective titling of territories, be it for indigenous or Afro-Colombian communities, or for the creation of small farmer reserve areas, or with processes of land redistribution or restoration.
- **Criterion 10.5.** REDD+ initiatives in no case go against land restoration processes or in favour of land dispossession.



D) CANCUN GUIDELINE: Full and effective participation of stakeholders, especially indigenous peoples and other ethnic and local communities, in measures mentioned in paragraphs 70 and 72 of the present decision⁴.

PRINCIPLE 11. PARTICIPATION: REDD+ initiatives guarantee the right to full and effective participation of all stakeholders involved.

- **Criterion 11.1.** REDD+ initiatives define and apply mechanisms to guarantee the right to effective participation of all interested stakeholders in all phases, actions and decisions related to the design, implementation and follow-up of REDD+ initiatives, including methodologies for delivering, agreeing on and systematizing information. In the same manner, it is indigenous peoples and other ethnic and local communities who decide what type of information is shared; and establish the way to do so without affecting their rights.
- **Criterion 11.2.** REDD+ initiatives are executed after free, prior and informed consent by the different stakeholders involved.
- **Criterion 11.3.** REDD+ initiatives guarantee the participation of all relevant actors, taking into account gender and intergenerational balance when culturally appropriate.
- **Criterion 11.4.** REDD+ initiatives facilitate resources and mechanisms so that interested stakeholders can seek support from external actors—experts, non-government organizations, academia or state entities (including the Colombian Public Ministry)—following principles of reasonableness, low-cost and impartiality for these type of projects, considered necessary to achieve the appropriate conditions and capacities of participation and collaboration.
- **Criterion 11.5.** Costs generated to guarantee participation in REDD+ initiatives are covered by the entity in charge of executing the initiative.
- **Criterion 11.6.** REDD+ initiatives guarantee there is no manipulation, offering or delivery of perquisites, coercion and/or deceit intended to manipulate the free will and consent of stakeholders involved.
- **Criterion 11.7.** Good faith is the ruling factor in forums where participation takes place, honoring the written and spoken word, and acknowledging the different visions on the use and management of the territory (as established in Principle 10).
- **Criterion 11.9.** The Public Ministry and environmental authorities can attend ex-officio or by invitation to all participation forums, and follow-up on the process.

³Individual ownership or occupation is still an unresolved issue, especially for small farmer communities. This is one of the issues that must be dealt with in the future and that is pending discussion in the context of constructing the National Social and Environmental Safeguard Scheme for REDD+ in Colombia. Paragraph 70 states: Parties that are developing countries are encouraged to contribute to the mitigation effort in the forestry sector adopting the following measures on a discretionary basis and subject to their respective capacities and national circumstances: a) Reduction of emissions due to deforestation; b) Reduction of emissions due to forest degradation; c) Conservation of forest carbon reserves; d) Sustainable forest management; and e) Increase in forest carbon reserves.

⁴Paragraph 72 states: Requests that Parties that are developing countries—when elaborating and applying their national strategies or action plans—address among other issues indirect factors of deforestation and forest degradation, land-tenure issues, forestry governance, gender considerations and safeguards mentioned in Paragraph 2 of Appendix I of the present decision, guaranteeing full and effective participation of stakeholders such as indigenous peoples and local communities.

E) CANCUN GUIDELINE: Compatibility of measures with conservation of natural forests and biological diversity, making sure that those indicated in Paragraph 70 of the present decision are not used for the conservation of natural forests, but instead help incentivize protection and conservation of these forests and the services derived from their ecosystems, and synergize other social and environmental benefits.

PRINCIPLE 12. CONSERVATION: REDD+ initiatives contribute to forest conservation and to the implementation of measures established to that end.

- **Criterion 12.1.** ENREDD+ is designed and implemented with a landscape focus and incorporates instruments for comprehensive assessment of biodiversity and its ecosystem services.
- **Criterion 12.2.** REDD+ initiatives use the National Policy for Comprehensive Management of Biodiversity and its Ecosystem Services (Política Nacional para la Gestión Integral de la Biodiversidad y sus Servicios Ecosistémicos, PNGIBSE) as a conceptual and regulatory framework of reference; in addition the initiatives honor and promote the concept of the social and ecologic function of forests and other key elements established in the Forest Policy (CONPES 2834 1996) and the National Forestry Development Plan, among others.
- **Criterion 12.3.** REDD+ initiatives include maintenance and development of knowledge, traditional practices and sustainable innovations that have contributed to the protection and conservation of different forms of life in the territory, to the supply of ecosystem services and to the sustainable use of biodiversity, and to improving the livelihoods of local communities and stakeholders. Said actions are identified and defined through common agreement by the parties as being compatible with the objectives of the initiative.
- **Criterion 12.4.** REDD+ initiatives recognize the importance of individual institutional arrangements for decision making and forestry governance. These arrangements are identified and strengthened through the development of initiatives.
- **Criterion 12.5.** REDD+ initiatives are designed and implemented in such a way that they guarantee that the forest provide all its ecosystem and cultural services. To this end generation of food, water, traditional medicines, and cultural, spiritual and recreational uses are honoured, as these are a means of subsistence and maintain the economic structures of local actors linked to these services.
- **Criterion 12.6.** REDD+ initiatives are coordinated with efforts developed by public authorities to stop deforestation and degradation of natural forests. The initiatives also contemplate actions for reducing the pressure on exiting forests.

F) CANCUN GUIDELINE: The adoption of measures for confronting risks of reversals

PRINCIPLE 13. LAND-USE PLANNING: REDD+ initiatives promote the adoption of long-term measures for the conservation and sustainable use of the territory, through land-use planning instruments.

- **Criterion 12.7.** REDD+ initiatives promote restoration of natural forests and recovery of degraded zones within these forests.
- **Criterion 13.1.** ENREDD+ and REDD+ initiatives comply with the principles that back up land-use planning: 1. The social and ecological function of ownership. 2. The prevalence of general interest over private interest. and 3. The equitable distribution of responsibilities and benefits.
- **Criterion 13.2.** REDD+ initiatives are immersed in land-use planning and promote synergies with state, community and private initiatives for conservation and sustainable use of biodiversity, acknowledging previous land-use planning processes.
- **Criterion 13.3.** REDD+ initiatives are established in areas that are appropriate for these processes, consistent with the forestry vocation of soils, and the classification, land use planning and zoning, and the regime for using forest areas.
- **Criterion 13.4.** REDD+ initiatives comply with regulations, plans, decisions and land use and environmental planning ways of the indigenous peoples and other ethnic and local communities—e.g. those defined by the Indigenous Territorial Entities (Entidades Territoriales Indígenas, ETI).
- **Criterion 13.5.** REDD+ initiatives are in harmony with the main ecological structure defined by the national government, and regional and local ecological structures; or otherwise are based on structures defined by IDEAM in 2003 at a scale of 1:1.500.000.
- **Criterion 13.6** REDD+ initiatives include an environmental management and planning strategy based on ecological processes that seek to integrate ecological networks with areas protected by the National System of Protected Areas (Sistema Nacional de Áreas Protegidas, SINAP) and/or other protected areas.
 - **Criterion 13.6.1.** REDD+ initiatives are executed in harmony with forest planning; these plans are delimited and defined by national, regional and local environment authorities (when the plans exist and are in force) in such a way that conservation of the territory included in these initiatives continues once these initiatives have been concluded.
 - **Criterion 13.6.2.** REDD+ initiatives comply with planning instruments such as the Regional Environmental Management Plan (Plan de Gestión Ambiental Regional, PGAR), and the Triennial Action Plan (Plan de Acción Trienal, PAT) of the Regional Autonomous Corporations (Corporaciones Autónomas Regionales, CAR), considering development nested in ENREDD+’s strategy.
 - **Criterion 13.6.3** ENREDD+ operates hand in hand with existing land-use planning tools to guarantee long-term conservation of the territory.
- **Criterion 13.7.** Environmental authorities and other sectorial authorities (infrastructure, hydrocarbons, mining and agriculture) harmonize regulations and policies related to areas which by their nature are defined and included in the ENREDD+, to guarantee long-term use of the soil and provide legal certainty to the parties involved (in agreement with Criterion 1.1).

- **Criterion 13.7.1.** Management instruments used to mitigate impact of productive sectors on biodiversity, as well as environmental impact studies, take into account guidelines established by ENREDD+ and the activities derived from this strategy, to avoid superimposing actions or determining activities that affect the REDD+ initiatives (in compliance with Criterion 1.3).
- **Criterion 13.7.2.** The development of new projects in the sectors mentioned is planned in accordance with information on REDD+ initiatives in the country, trying that these projects generate the minimum negative impact possible.
- **Criterion 13.7.3. Environmental licencing processes and compensations for losses of biodiversity contemplate guidelines proposed by ENREDD+ and consider REDD+ initiatives present in the region.**



- **Criterion 13.8.** In the framework of a REDD+ initiative all interested stakeholders together analyse internal and external reversion risks and define measures to prevent or confront them.
- **Criterion 13.9.** ENREDD+ promotes the development of financial sustainability strategies that support long-term forest conservation and associated services. Also, REDD+ initiatives promote the development of integrated conservation proposals that contemplate alternative incentives—not based on carbon—and economic instruments that strengthen local capacities to give continuity to these measures.
- **Criterion 13.10.** REDD+ initiatives contribute effectively to planning and execution of management plans for the sustainable use of forest resources, to land-use planning, to life plans, to ethnic safeguard plans, to ethnic development plans, to small farmer development plans and to other relevant instruments employed in the territories of indigenous peoples and other ethnic and local communities. Sustainable commercialization of products based on biodiversity, ecotourism, and/or payment for environmental services are all included in the actions.
- **Criterion 13.11.** ENREDD+ provides guidelines on which zones are suitable for REDD+, based on technical criteria such as deforestation rate, soil uses and aptitudes, and carbon reserves.

⁵Article 203 of the Law 1450 of 2011 National Development Plan 2010 - 2014 CHAPTER V. Environmental Sustainability and Risk Prevention.



G) CANCUN GUIDELINE: Adoption of measures to reduce displacement of emissions.

PRINCIPLE 14. DISPLACEMENT OF EMISSIONS: REDD+ initiatives incorporate measures to reduce displacement of emissions.

- **Criterion 14.1.** REDD+ initiatives are designed and implemented in such a way that they promote sustainable human development practices required to reduce deforestation in the areas of the initiative and in neighbouring areas. Initiatives are presented with a landscape approach including landscape monitoring tools (LMT).
- **Criterion 14.2.** REDD+ initiatives take into account neighboring protected areas and try to minimize negative impacts on these areas.
- **Criterion 14.3.** REDD+ initiatives are designed and implemented taking into account forces driving deforestation and degradation, and providing low-cost solutions, that are socially and culturally sustainable for the indigenous peoples and other ethnic and local communities involved in the initiatives, to avoid displacement of emissions to neighbouring areas.



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PHASE 4: DEVELOPING OVERALL RECOMMENDATIONS FOR ELABORATING A SAFEGUARD INFORMATION SYSTEM (SIS) FOR COLOMBIA

Once P&C had been defined for the National Safeguard Scheme in Colombia, a document was prepared containing overall recommendations for constructing a safeguard information system in Colombia. This document analysed Cancun's regulations on this issue and the international framework of other safeguard systems (such as those in Ecuador, Tanzania and the Democratic Republic of Congo). With this information at hand, a comparative analysis was conducted of safeguard processes and initiatives in other countries. Experiences collected provide lessons learned and important knowledge to consider when developing REDD+'s SIS in Colombia.

This comparative analysis and international decisions led to the conclusion that Colombia needs a framework of synchronized safeguard information for REDD+ (data collection, presentation and verification) that meets the UNFCCC requirements, as well as the requirements of donors of REDD+'s activities in the country. This includes coordinating data collection on safeguards with other processes, in order to guarantee coherence and avoid duplication of efforts. In the face of technical and operational capacity challenges, processes to generate safeguards reports must include already established procedures for existing systems.

Several recommendations arise from this work regarding definition of indicators that need to be established, in order to do follow up on the implementation of social and environmental safeguards for REDD+ in Colombia. The following chapter discusses the main recommendations.

4. RECOMMENDATIONS FOR DEFINING INDICATORS FOR SOCIAL AND ENVIRONMENTAL INDICATORS FOR REDD+ IN COLOMBIA

According to Janis Bristol Alcorn (scientist with ample experience in advising governments of more than 24 countries in Asia, Latin America and Africa), “Safeguards are principles or inalienable conditions that are promoted and backed by both Government and forest communities in order that the environment and the collective society are not structurally effected by the REDD+ activities, while they are benefiting from REDD+ activities. Safeguards are based in a national system that contains 3 key elements: first, the policies, laws and regulations that create the guarantees established for REDD+; secondly, the Safeguard Information System that permits the monitoring and reporting on safeguard implementation; and thirdly, a system for receiving and addressing complaints that can improve the transparency of the REDD+ Strategy’s implementation”.

In designing the Safeguard Information System (SIS), the need was identified for proposed indicators to be consistent with activities developed in the country in the framework for constructing ENREDD+ and the National Safeguard Scheme for REDD+. The system must have broad platforms that can integrate information generated at the national level and that enable generating reports from the information processed. For example, the SIS

could facilitate preparing the National Communications to the UNFCCC, among other national and international reports required.

The SIS design must take into account platforms developed by the Colombian government and that could facilitate integrating information at the national level, addressing information needs without generating new systems that could be incompatible with those already implemented by the Government. Worth highlighting is the need for information fed to the SIS to be complete, accurate, pertinent, clear, timely and transparent. The SIS then becomes a trusted source of information for both the Government, and investors and developers, thus facilitating reporting at all levels.

The proposal for developing indicators that standardize information to be collected must be based on the P&C included in the proposal of the National Social and Environmental Safeguard Scheme for REDD+ in Colombia.

Indicators must be constructed taking into account the technical, political and social context. Indicators for each of the components must be consistent with national policies (in as much as possible, they must use indicators that have already been implemented and for which data have already been

collected, thus avoiding duplicating measurements for specific elements). Indicators must also be suited to a multicultural context, and be technically measurable and comparable, evidencing advances in the implementation of REDD+ initiatives and their benefits, differentiating national from regional and local level progress. (These levels can be classified on the basis of the initiative being in the hands of the national government or of private entities.) The scale of each initiative will define who reports to whom and how. The SIS must be designed to consolidate information generated at the local and regional levels, in order to feed information to the national platform.

The number of indicators does not necessarily reflect their quality. A set of indicators containing shared indicators could be developed, highlighting those indicators administered at the national and regional levels. At the national level, indicators could reflect progress in implementing the ENREDD+; at the regional level, indicators of shared administration could reflect progress in relating the ENREDD+ to other management instruments adopted by the national government. In a similar way, REDD+ initiatives developed at the regional level could provide inputs that show their relationship with other regional management instruments, and their contribution to the ENREDD+.

Impact indicators must measure if REDD+ initiatives are having social and environmental impact on beneficiaries. (If needed, specific indicators must be developed for indigenous peoples and other ethnic and local communities.) This helps strengthen the complaint system, which can validate information based on indicators adopted for each case. In addition, measurement of impact indicators can facilitate evaluating the reduction in risks as REDD+ initiatives are implemented in an appropriate way and consistent with determinations of ENREDD+ and the National Safeguard Scheme.

Even though national and regional level indicators are subdivided into management and impact indicators, and are part of an SIS, they need to be designed in such a way that they are independent from each other, that they are complementary, measurable and comparable, but that they do not depend on each other, thus avoiding that those elements that cannot be measured alter or delay the measurement of those that already have data and can be fed to the SIS.

The span of time during which indicators will be measured will depend on the scope of operations and will be determined based on progress in implementing national regulations. Although several REDD+ initiatives are currently in progress, there is no indication as to how these initiatives must report and following which parameters so that they can be compatible in the future with the SIS and can later be associated in retrospective with specific elements of the ENREDD+ implementation. One possible time span could be determined by fiscal years, which would make measurements compatible with annual progress reports that government agencies must present. This would facilitate identifying complementarity among local, regional and national management instruments and the parameters defined in the SIS. Reporting periods for REDD+ initiatives must be defined on the basis of the management scope, the objectives and the beneficiaries.

Considering progress achieved with the proposal of the National Social and Environmental Safeguard Scheme for REDD+ in Colombia and adopting the REDD+ scheme, the SIS proposes the following scheme for structuring indicators:

⁶Ministerio de Ambiente y Desarrollo Sostenible. <https://www.siac.gov.co/contenido/contenido.aspx?conID=1467&catID=41>



NATIONAL SOCIAL AND ENVIRONMENTAL SAFEGUARD SCHEME FOR REDD+ IN COLOMBIA

CANCUN GUIDELINE: international framework

PRINCIPLE: national framework

CRITERIA: elements that define the road map for compliance with the national framework

INDICATOR: tool for measuring compliance with the national and international frameworks

MEANS OF VERIFICATION: instrument used to feed information into the SIS and verify fulfilment of indicators

5. LESSONS LEARNED DURING THE PROCESS

During the process of constructing guidelines on social and environmental safeguards for REDD+ in Colombia, lessons were learned in an exercise of analysis done by members of the TAC that provided support to those that presented their vision of the process, the Afro-Colombian, indigenous and peasant communities, and including the perspective of technical, legal and social consultants.

Outstanding aspects of the process for developing the guidelines were identified. The most important were:

- Previous work with Afro-Colombian communities enabled significant progress in a participative construction. Outstanding was their familiarity with the issue and the facility to propose alternatives for the participative construction.
- The TAC was critical and constructive. Its members made important contributions for achieving results.
- Flexibility in adjusting the consultancy strategy as the exercise of developing safeguards advanced, enabled complementing profiles and strengthening groups required by the process.
- Even though a gender perspective was not applied throughout the exercise, efforts were made to include both men and women as participants in the workshops.
- Understanding concepts, conceptual levelling—which was the starting

point for the forums—and workshops were key in achieving progress in the definition of P&C.

- Dialogue of different interests—having organized an inclusive exercise, not only in disciplinary terms but also on cultural, organizational and institutional issues was key for achieving progress in designing guidelines for the National Safeguard Scheme.
- Participatory construction with different social stakeholders, including indigenous peoples, Afro-Colombians and peasants, and national and international experts speaking the same language (safeguards focused on rights).
- Relevance of the issue: the REDD+ issue has become important in Colombia and its resources have increased. It is urgent to act and define these type of tools since REDD+ is no longer a rhetorical issue, but is now working in the territories, independently of the fact that these territories are ready or not to receive the initiatives.
- The capacity building process dealt with several issues, of which the most important were: empowering of community leaders, forums for discussions on the baseline and construction of P&C
- Support received by the initiatives from international cooperation was key for carrying out the process.

6. CHALLENGES AND WEAKNESSES OF THE PROCESS

- The MADS played a limited role, considering internal levels of discussion and the work agenda. However, MADS was present in some activities carried out as part of the process and participated in several discussions.
- Development of a workshop with the nodal groups is a first step for developing the scheme. However, more activities need to be developed with these groups since support from and participation of communities is basic for successfully developing the National Safeguard Scheme.
- There is still confusion in the communities and even in the TAC regarding REDD+ initiatives and ENREDD. Communities expressed their nonconformity with the lack of differentiation of processes; specifically some regretted not having participated in the development of the R-PP.
- Lack of information and clarity on the REDD+ tool among members of communities generated very interesting technical discussions, but evidenced overall lack of awareness of the processes at the local level.
- Technical complexities of the REDD+ tool confuse the communities; this results in starting the process in a climate of mistrust among communities when the name REDD+ is mentioned
- There are legal gaps, especially those related to the rights of small-farmer communities, which hinder developing safeguards specific for these communities.
- All stakeholders are concerned about the follow-up of processes developed around the REDD+ initiatives. It is worth highlighting that this concern can be turned into an opportunity for establishing a permanent dialogue with interested stakeholders.
- One of the biggest challenges during the process was explaining the different roles to be played by stakeholders involved in REDD+ initiatives. The role to be played by public regional and local institutions is not clear, nor what is the interest of NGOs in participating in the processes, nor what is the interest of entities in charge of executing the projects.

7. SUGGESTED ACTIONS

- Make progress in having the National Government adopt the guidelines on social and environmental safeguards for REDD+, trying that these be in harmony with other initiatives.
- Organize intercultural and multi-stakeholder events.
- Provide forums in the regions, fomenting participation of local leaders.
- Exhibit respect for prior consultation, and free, prior and informed consent, as a fundamental right.
- Strengthen the capacity of the peoples to speak up in different scenarios and with different stakeholders.
- Regulate the market of carbon credits.
- Continue working hand in hand with key representatives that have leadership capacity and are knowledgeable in this field in order to position this safeguards process at the national level and make the necessary adjustments to include relevant elements that improve management of REDD+ initiatives in the territories, hoping that in the end there is complementarity among all policy elements.
- Make progress in defining indicators and reporting mechanisms for the safeguards.
- Provide more information and improve dissemination of processes executed.
- Work from the general to the specific, from the fundamental to the details.

8. OVERALL LESSONS LEARNED

1) Many mention REDD+, but few understand what it means: This paradox suggests that—more than the core concepts—the content and methodology of training workshops in this area need to be carefully reviewed so that they are designed based on what is known about what people fear, propose, assume, imagine or point out with regard to REDD+.

2) REDD+ and the confusion regarding the real scope of the initiatives: So much money and efforts managed by different actors trying to explain and develop REDD+ initiatives have distorted the real achievements of the REDD+ project in the minds of many persons and organizations. Communities have an oversized expectation in financial terms of the REDD+ market, which leads to making the wrong decisions and putting their rights at risk and contributing afterwards to a negative image of the REDD+ market.

3) Ethnic-cultural safeguard protocol as a subsidiary instrument of the national framework: Considering that Colombia is a pluriethnic and multicultural country, with great regional diversity, it is difficult that a national safeguard policy address all these specificities in a structural way. Therefore, this process indicates that the safeguard policy must operate as a system coordinated by the national P&C and the regional instruments that function as subsidiaries and are complementary in relevant issues not addressed or contemplated by the overall framework.

4) The ethnic safeguard protocol needs to be coordinated with other instruments of community government: The safeguard protocol and principles need to be consistent with the instruments of community

government in the territory as a way to incorporate guidelines in the people's government, thus avoiding fragmentation/dispersion of instruments leading to the same end.

5) Better understanding enables contributing to processes and understanding national and international frameworks and their implications at the local level: Participants in the process for collectively developing the guidelines for social and environmental safeguards for REDD+ have concentrated on improving their knowledge on this issue by participating in technical and social collective development forums; better understanding of the issue is reflected in improved selection of suitable information for updating the social baseline and greater support in workshops, serving as work group facilitators in specific areas.

6) Strengthening capacities so that community organizations can handle the issue and set out clearly their position. Greater participation in forums for collective construction and understanding the way organizations manage the issue, results in evident commitment to keep informed and to see possibilities for applying REDD+ issues, as well as their implication at the territorial, social and environmental levels. Collective forums enable strengthening knowledge which in turn can be translated into better information and tools for working in the territories. Commitment of leaders demonstrates the importance of the issue and—in spite of conflicting positions—the spirit of constructing collectively is the driving force behind the leaders, who in turn facilitate greater knowledge at the local level.

7) Empowering civil society and community organizations to deal with issues that must be managed by the Government.

The lack of commitment of relevant government agencies, existing legal vacuums and the imminent arrival of different initiatives to the territories, force civil society and local organizations to empower themselves to deal with the relevant issues and find alternatives to address them, putting in evidence the institutional weakness in this area in Colombia. Collective processes for developing and exchanging experiences contribute to strengthening local and regional points of view, which in the end translates in national proposals that MADS needs to lead. The advantage of these situations is that greater empowerment and governance is evidenced at the community organizational level (ethnic and small farmers). This could in turn result in social movements that demand fulfilment of local decisions which comply with national regulations. This aspect also has the advantage of being constructed from the bottom-up.

8) Interdisciplinary and collective work around an issue: Work must be coordinated from the point of view of different disciplines and ways of addressing the REDD+ subject combined in one space for participative construction. Different stakeholders with specialization in different disciplines, community organizations and work volunteers have worked to define the rules of the game. REDD+ developers, communities, organizations and possible project beneficiaries have come together to discuss the same issue, from their local, national or regional knowledge, with different points of view, defining the issues to be considered and how the initiatives must be

applied and what are the implications for the everyday life of projects and communities. In the end, different ways of seeing the same issue enrich discussion and provide key elements to be considered at the government level.

9) Perceptions on REDD+ of the different stakeholders vary and it is important to reach consensus.

The fact that different stakeholders have opposing discourses on the REDD+ mechanism implies a challenge. Perceptions range from optimism to scepticism or extreme pessimism, and languages, budgets and alternatives of the stakeholders are also different. It is important to analyse these discourses in order to identify common worries and/or alternatives, thus constructing the bridges that facilitate dialogue on the feasibility and conditions of the mechanism.

10) Including approaches and contributions of different stakeholders, especially those of the communities.

Open dialogue is very relevant in facing this challenge. The project's methodology rightly included different forums where diverse stakeholders could give their feedback on progress achieved. These forums are relevant and important to encourage actions and make the project progress in a transparent and participatory manner. Communities and/or their organizations affected by the project need to be included in discussion forums and not in an isolated manner.

9. ANNEXES

Work group for developing the National Social and Environmental Safeguard Scheme for REDD+ in Colombia.

Nodal Groups

- Ethnic consultant of the peasant nodal group: José Eliecer Marin, organization: CORPOAMEM
- Ethnic consultant of the Afro-Colombian node group: Jose Absalon Suarez, organization: Proceso Agenda Comun.
- Ethnic consultant of the indigenous node group: Anibal Moya, organization: CAMAWA, Colombian Pacific.
- Ethnic consultant of the indigenous node group: Julio Cesar Lopez, organization: OZIP, Colombian Amazon region.

Technical Advisory Committee (TAC)

The following persons participated and contributed their work:

Alberto Galan	Jorge Higinio Maldonado
Alejandra Laina	Juan Carlos Riascos
Alejandro Silva	León Valencia
Angelica Beltran	Margarita Flórez
Aura Robayo	María Carolina Rodríguez
Brodie Ferguson	María Claudia García
Elizabeth Valenzuela	María del Pilar Pardo
Eugenia Ponce de Leon	María Elfi Cháves
German Corzo	Mauricio Cabrera
Gloria Amparo Rodriguez	Mauricio Salazar
Horacio Guerrero	Natalia Orduz
Hernando Garcia	Olga Lucía Caro
Hugo Giraldo	Paola García
Kristina Van Dexter	Rodrigo Moreno
Javier Blanco	Rubén Darío Guerrero
Jose Absalon Suarez	Sebastián Restrepo
Jose Luis Gomez	
Jorge Gutierrez	

Consultants supporting the collective construction process

Technical coordination

Ximena Barrera
Andrea Camacho
Susana Velez
Veronica Robledo

Legal baseline

Gloria Amparo Rodriguez
Natalia Orduz Salinas
Margarita Florez

Social baseline

Maria Fernanda Jaramillo
Alejandra Laina

Communications and documentation of the process

Ferney Diaz
Aldo Alejandro Bejarano
Equipo Natibo

Editorial Coordination

Carmen Ana Dereix



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