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**SUBSIDIARY BODY ON SCIENTIFIC, TECHNICAL  
AND TECHNOLOGICAL ADVICE**

Sixteenth meeting

Montreal, 30 April – 5 May 2012

Item 7.1 of the provisional agenda\*

**SUBMISSION BY THE SECRETARIAT OF THE CONVENTION ON BIOLOGICAL  
DIVERSITY TO THE SECRETARIAT OF THE UNITED NATIONS FRAMEWORK  
CONVENTION ON CLIMATE CHANGE**

*Note by the Executive Secretary*

1. The Executive Secretary is circulating herewith, for the information of participants in the sixteenth meeting of the Subsidiary Body on Scientific, Technical and Technological Advice, a submission by the Secretariat of the Convention on Biological Diversity (CBD) to the Secretariat of the United Nations Framework Convention on Climate Change (UNFCCC) on 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 (REDD+), specifically related to systems for providing information on how safeguards referred to in appendix I to UNFCCC decision 1/CP.16 are addressed and respected.
2. The submission contains summaries of four expert workshops on the links between biodiversity and REDD+, including relevant biodiversity safeguards. The workshops were organized by the Secretariat of the Convention on Biological Diversity pursuant to decisions IX/16, IX/5 and X/33. The workshops took place in Nairobi, from 20 to 23 September 2010; Singapore, from 15 to 18 March 2011; Quito, from 5 to 8 July 2011; and Cape Town, from 20 to 23 September 2011.
3. The document is circulated in the form and language in which it was submitted to UNFCCC Secretariat.

\* UNEP/CBD/SBSTTA/16/1.

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## **Submission by the Secretariat of the Convention on Biological Diversity to the Secretariat of the United Nations Framework Convention on Climate Change**

On 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 (REDD-plus), specifically related to systems for providing information on how safeguards referred to in appendix I to UNFCCC decision 1/CP.16 are addressed and respected

26 September 2011

With reference to the invitation made to UNFCCC Parties and accredited observers by the Subsidiary Body for Scientific and Technological Advice (SBSTA) at its thirty-fourth session, to submit views on *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* (FCCC/SBSTA/2011/L.14), the CBD Secretariat submits the following information:

This submission contains summaries of four expert workshops on the links between biodiversity and 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 (REDD-plus), including relevant biodiversity safeguards. The workshops were organized by the Secretariat of the Convention on Biological Diversity (CBD) pursuant to decisions IX/16, IX/5 and X/33. The workshops took place in Nairobi, Kenya, from 20 to 23 September 2010; Singapore, from 15 to 18 March 2011; Quito, Ecuador, from 5 to 8 July 2011; and Cape Town, South Africa, from 20 to 23 September 2011. Representatives from 63 Parties and from 55 international organizations, non-governmental organizations, private sector institutions and indigenous and local community organizations (see Annex 1) participated in the workshop series. Funding for the workshops was provided by the governments of Germany, Japan, Norway, the United Kingdom, the GIZ, the ASEAN Centre for Biodiversity, and by the UN-REDD Programme.

The overall objective of the workshops was to ‘*support Parties efforts to address reducing emissions from deforestation and forest degradation in developing countries in the framework of the United Nations Framework Convention on Climate Change*’ in a way that contributes to the implementation of the CBD programme of work on forest biodiversity (decision IX/5).

Specifically, the workshops aimed to:

(a) Develop advice, including on the application of relevant safeguards for biodiversity, so that REDD-plus actions “are consistent with the objectives of the Convention on

Biological Diversity and avoid negative impacts on and enhance benefits for biodiversity” (Decision X/33 para. 9(g)); and

(b) Identify possible indicators to assess the contribution of REDD-plus “to achieving the objectives of the Convention on Biological Diversity, and assess potential mechanisms to monitor impacts on biodiversity from REDD-plus and other ecosystem-based approaches for climate change mitigation measures” (Decision X/33 para.9(h)); and

(c) Contribute to capacity-building on REDD-plus, including with a view to “enhancing the coordination of capacity-building efforts on issues related to biodiversity and ecosystem-based carbon sequestration and the conservation of forest carbon stocks” (Decision X/33 para. 9(f)).

#### *Mandate*

In decision IX/16, the Conference of the Parties to the CBD welcomed the consideration of the issue of reducing emissions from deforestation and forest degradation in the framework of the United Nations Framework Convention on Climate Change.

In decision IX/5, the Conference of the Parties invited Parties, other Governments, and relevant international and other organizations to “*ensure that possible actions for reducing emissions from deforestation and forest degradation do not run counter to the objectives of the Convention on Biological Diversity and the implementation of the programme of work on forest biodiversity; but support the implementation of the programme of work, and provide benefits for forest biodiversity, and, where possible, to indigenous and local communities, and involve biodiversity experts including holders of traditional forest-related knowledge, and respect the rights of indigenous and local communities in accordance with national laws and applicable international obligations.*”

In decision X/33, the Conference of the Parties invited Parties, other Governments, and relevant organizations and processes to “*enhance the benefits for, and avoid negative impacts on biodiversity from 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, and other sustainable land management and biodiversity conservation and sustainable use activities, taking into account the need to ensure the full and effective participation of indigenous and local communities in relevant policy-making and implementation processes, where appropriate; and to consider land ownership and land tenure, in accordance with national legislation.*”

In the same decision, the Conference of the Parties requested the Executive Secretary to “*provide advice, for approval by the Conference of the Parties at its eleventh meeting, including on the application of relevant safeguards for biodiversity, without pre-empting any future decisions taken under the United Nations Framework Convention on Climate Change, based on effective consultation with Parties and their views, and with the participation of indigenous and local communities, so that actions are consistent with the objectives of the Convention on Biological Diversity and avoid negative impacts on and enhance benefits for biodiversity.*”

Furthermore, the same decision requested the Executive Secretary, with effective consultation with Parties and based on their views and in collaboration with the Collaborative Partnership on Forests, to “*identify possible indicators to assess the contribution of 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 to achieving the objectives of the Convention on Biological Diversity, and assess potential mechanisms to monitor impacts on biodiversity from these and other ecosystem-based*

*approaches for climate change mitigation measures, without pre-empting any future decisions taken under the United Nations Framework Convention on Climate Change, and to report on progress to the Subsidiary Body on Scientific, Technical and Technological Advice at a meeting prior to the eleventh meeting of the Conference of the Parties.”*

Finally, decision X/33 requested the Executive Secretary to “*convene, subject to the availability of financial resources, in collaboration with the Secretariat of the United Nations Framework Convention on Climate Change an expert workshop, with the full and effective participation of experts from developing countries on 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, with a view to enhancing the coordination of capacity-building efforts on issues related to biodiversity and ecosystem-based carbon sequestration and the conservation of forest carbon stocks.*”

**AFRICA REGIONAL CONSULTATION AND CAPACITY-BUILDING WORKSHOP  
ON REDUCING EMISSIONS FROM DEFORESTATION AND FOREST  
DEGRADATION IN DEVELOPING COUNTRIES (REDD-PLUS), INCLUDING ON  
RELEVANT BIODIVERSITY SAFEGUARDS**

Cape Town, South Africa 20 – 23 September 2011

**I. CO-CHAIRS SUMMARY**

**A. Introduction**

1. This workshop is the fourth in a series of expert workshops to consult effectively with Parties on biodiversity aspects of REDD-plus<sup>1</sup>, based on relevant decisions of the Convention on Biological Diversity (CBD) and of the United Nations Framework Convention on Climate Change (UNFCCC), notably decisions IX/5 and X/33 of CBD and decision 4/CP.15 and 1/CP.16 of UNFCCC.
2. The workshop results are intended to support primarily the CBD and UNFCCC discussions on relevant biodiversity and social safeguards for REDD-plus, as well as discussions under the CBD on monitoring of the forest-related Aichi Biodiversity Targets of the Strategic Plan for Biodiversity 2011-2020.
3. The Aichi Biodiversity Targets which are most relevant in the context of REDD-plus are, by 2020: to at least halve deforestation, and where feasible bring it close to zero (Target 5); to manage all areas under forestry sustainably (Target 7); to conserve at least 17 per cent of terrestrial and inland water areas (Target 11); and to restore at least 15 per cent of degraded ecosystems, thereby contributing to climate change mitigation and adaptation and to combating desertification (Target 15).<sup>2</sup>
4. The tasks for the workshop were to: (i) discuss aspects of the application of relevant safeguards for biodiversity in the context of REDD-plus and (ii) to identify possible indicators to assess the contribution of REDD-plus to achieving the objectives of the Convention on Biological Diversity, and assess potential mechanisms to monitor impacts on biodiversity.
5. Presentations from Parties, indigenous and local communities, and relevant organizations provided an excellent basis for discussions. The workshop also built on the results of the Global Expert Workshop on REDD-plus and Biodiversity Benefits, Nairobi, 20-23 September 2010 (UNEP/CBD/WS-REDD/1/3); the regional consultation and capacity building workshop for Asia-Pacific, Singapore, 15-18 March 2011; the regional consultation and capacity building workshop for Latin America and the Caribbean, Quito, Ecuador, 5-8 July 2011; as well as discussions in Nagoya and Cancun in 2010.

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<sup>1</sup>With reference to decision 1/CP.16 of the United Nations Framework Convention on Climate Change (UNFCCC), REDD-plus comprises reducing emissions from deforestation and forest degradation in developing countries, conservation of forest carbon stocks, sustainable management of forests and enhancement of forest carbon stocks in developing countries.

<sup>2</sup>Decision X/2: Strategic Plan for Biodiversity 2011-2020. Other targets of the Strategic Plan are also relevant for forests and in the context of REDD-plus, for example target 3: *By 2020, at the latest, incentives, including subsidies, harmful to biodiversity are eliminated, phased out or reformed in order to minimize or avoid negative impacts, and positive incentives for the conservation and sustainable use of biodiversity are developed and applied (...).*

6. While this report focuses on REDD-plus risks and safeguards for biodiversity and indigenous peoples and local communities, it is important to harness the full potential of REDD-plus to deliver significant benefits for biodiversity and indigenous and local communities.

### ***B. General observations***

7. It would be beneficial and thus it is important that countries address safeguards as early as possible when undertaking REDD-plus readiness activities including developing their REDD-plus National Strategies. Financial support is required to support countries to meet the requirements for implementing safeguards.

8. Countries are in different stages of preparations for REDD-plus, and the approach to safeguards needs to take this into account. There is a need to further enhance capacity across the African region to integrate safeguards into the planning and implementation of REDD-plus.

9. While addressing safeguards, countries will need to take into account international obligations and build on existing relevant policies and legislation, keeping in mind that these may need to be further developed.

10. Intersectoral coordination between and within Ministries is of utmost importance to ensure timely and effective application of safeguards. There is a need for synergies among the various relevant Ministries.

11. Clarifying tenure issues remains an urgent challenge for many aspects of REDD-plus, including for applying safeguards related to indigenous peoples and local communities. This will require nationally specific solutions.

12. Effective land zoning and land use planning at the national level would facilitate and ensure that risks to biodiversity and indigenous peoples and local communities are addressed in a way consistent with development priorities.

13. Participants appreciated the close collaboration between the CBD and UNFCCC Secretariats in the organization of the workshop.

### ***C. Process***

14. The workshop identified key aspects of applying safeguards at the national level (*see Annex I*) and also developed a flowchart (*see Figure 1*) with possible core elements of a risk identification process, aiming for effective national level safeguards. Minimising risks to biodiversity and indigenous peoples and local communities through effective safeguards should go hand in hand with aiming to enhance multiple benefits from REDD-plus for biodiversity and local livelihoods.

15. The process of developing and implementing REDD-plus safeguards can benefit from existing knowledge and experience, including from Access and Benefit Sharing (ABS), Payments for Ecosystem Services (PES), Community Based Natural Resource Management (CBNRM) and other relevant discussions under the CBD and other processes. To this end, platforms at the regional, subregional, national and subnational level for exchange of lessons learned and experiences should be identified or created and supported.

16. There is a need for cross referencing the safeguard frameworks with processes and guidelines that have already been established.

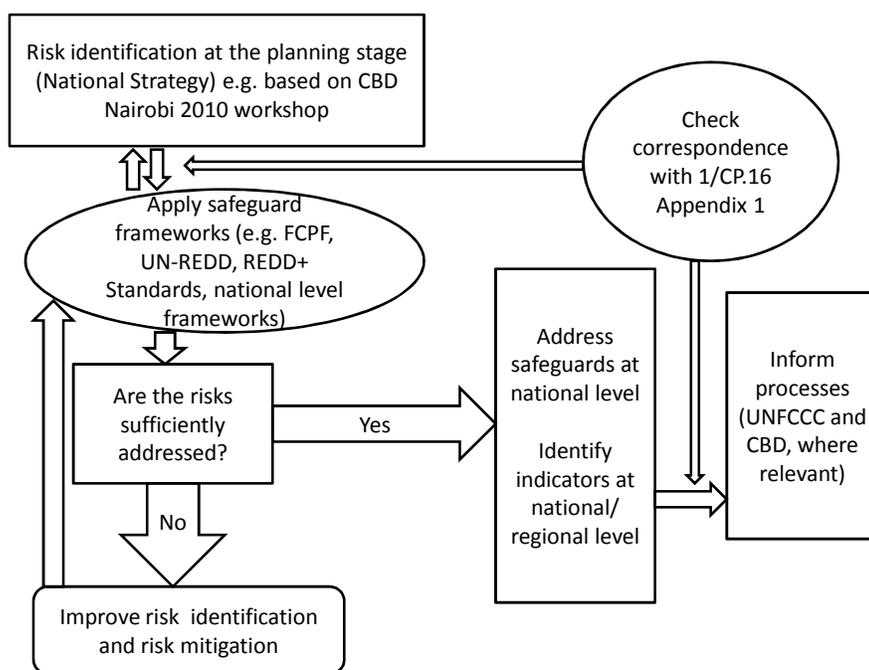


Figure 1: Suggested core elements of a risk identification process

17. Effective communication with all relevant stakeholders is crucial for the development and implementation of safeguards.

18. For risks to biodiversity to be minimized, there is a need for appropriate incentives for livelihoods and biodiversity conservation to be in place in the interim phase (while REDD-plus progresses from readiness to full implementation). For example, Nigeria identified important bushmeat and Non-Timber Forest Products and supported indigenous peoples and local communities to improve local trade of these in a sustainable manner.

#### D. Safeguards

19. Three existing frameworks for relevant safeguards were reviewed in detail: The *UN-REDD Programme Social and Environmental Principles and Criteria*; the *Forest Carbon Partnership Facility (FCPF) Readiness Fund Common Approach to Environmental and Social Safeguards for Multiple Delivery Partners*<sup>3</sup>; and the *REDD+ Social & Environmental Standards*.<sup>4</sup> These three frameworks were found to be a good basis for covering all main risks<sup>5</sup> to biodiversity and indigenous peoples and local communities in principle, and for addressing the 'Cancun safeguards' (UNFCCC decision 1/CP.16). However, not all risks are covered equally or in sufficient detail in all frameworks (a detailed analysis is provided in Annex I). Key gaps include:

<sup>3</sup>And its underlying World Bank safeguard policies on Environmental Assessment (OP/BP 4.01), Natural Habitats (OP/BP 4.04), Forests (OP/BP 4.36), Involuntary Resettlement (OP/BP 4.12), and Indigenous Peoples (OP/BP 4.10).

<sup>4</sup>The standards were developed by the CCBA and Care International

<sup>5</sup>Main risks to biodiversity and to indigenous peoples and local communities as identified by the CBD Global Expert Workshop on REDD-plus and Biodiversity, 20-23 September 2010, Nairobi (UNEP/CBD/WS-REDD/1/3).

- (i) There are no specific safeguards that address the risk of afforestation in areas of high biodiversity value. The guidance on afforestation, reforestation and forest restoration provided by the CBD in decision X/33 paragraph 8(p)<sup>6</sup> could fill this gap, to cover the possibility that such activities are considered as part of 'enhancement of forest carbon stocks' under REDD-plus;
- (ii) The risks of the displacement of deforestation and forest degradation to areas of lower carbon value and high biodiversity value are not adequately covered under the frameworks, and it would be helpful to consider the ecosystem approach in this context;
- (iii) The potential loss of traditional ecological knowledge is not adequately covered under the frameworks.

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<sup>6</sup> X/33 para 8(p) *Invites* Parties and other Governments, according to national circumstances and priorities, as well as relevant organizations and processes, to consider the guidance below on ways to conserve, sustainably use and restore biodiversity and ecosystem services while contributing to climate change mitigation and adaptation: (p) When designing, implementing and monitoring afforestation, reforestation and forest restoration activities for climate change mitigation consider conservation of biodiversity and ecosystem services through, for example:

- (i) Converting only land of low biodiversity value or ecosystems largely composed of non-native species, and preferably degraded ones;
- (ii) Prioritizing, whenever feasible, local and acclimated native tree species when selecting species for planting;
- (iii) Avoiding invasive alien species;
- (iv) Preventing net reduction of carbon stocks in all organic carbon pools;
- (v) Strategically locating afforestation activities within the landscape to enhance connectivity and increase the provision of ecosystem services within forest areas.

**LATIN AMERICA - CARIBBEAN REGIONAL CONSULTATION AND CAPACITY-BUILDING WORKSHOP ON REDUCING EMISSIONS FROM DEFORESTATION AND FOREST DEGRADATION IN DEVELOPING COUNTRIES (REDD-PLUS), INCLUDING ON RELEVANT BIODIVERSITY SAFEGUARDS**

Quito, Ecuador 5 – 8 July 2011

**I. CO-CHAIRS SUMMARY**

**A. Introduction**

20. This workshop is the third in a series of expert workshops to consult effectively with Parties on biodiversity aspects of REDD-plus,<sup>7</sup> based on relevant decisions of the Convention on Biological Diversity (CBD) and of the United Nations Framework Convention on Climate Change (UNFCCC), notably decisions IX/5 and X/33 of CBD and decision 4/CP.15 and 1/CP.16 of UNFCCC.

21. The workshop results are intended to support primarily the CBD and UNFCCC discussions on relevant biodiversity and social safeguards for REDD-plus, as well as discussions under the CBD on monitoring of the forest-related Aichi Biodiversity Targets of the Strategic Plan for Biodiversity 2011-2020.

22. The Aichi Biodiversity Targets which are most relevant in the context of REDD-plus are, by 2020: to at least halve deforestation, and where feasible bring it close to zero (Target 5); to manage all areas under forestry sustainably (Target 7); to conserve at least 17 per cent of terrestrial and inland water areas (Target 11); and to restore at least 15 per cent of degraded ecosystems, thereby contributing to climate change mitigation and adaptation and to combating desertification (Target 15).<sup>8</sup>

23. The tasks for the workshop were to: (i) discuss aspects of the application of relevant safeguards for biodiversity in the context of REDD-plus, to (ii) identify possible indicators to assess the contribution of REDD-plus to achieving the objectives of the Convention on Biological Diversity, and assess potential mechanisms to monitor impacts on biodiversity, and (iii) to identify ways and means to improve coordination between biodiversity and REDD-plus related commitments and achieve synergies.

24. Presentations from Parties, indigenous and local communities, and relevant organizations provided an excellent basis for discussions. The workshop also built on the results of the Global Expert Workshop on REDD-plus and Biodiversity Benefits, Nairobi, 20-23 September 2010 (UNEP/CBD/WS-REDD/1/3); the regional consultation and capacity building workshop for Asia-Pacific, Singapore, 15-18 March 2011; as well as discussions in Nagoya and Cancun in 2010.

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<sup>7</sup>With reference to decision 1/CP.16 of the United Nations Framework Convention on Climate Change (UNFCCC), REDD-plus comprises reducing emissions from deforestation and forest degradation in developing countries, conservation of forest carbon stocks, sustainable management of forests and enhancement of forest carbon stocks in developing countries (paragraph 70).

<sup>8</sup>Decision X/2: Strategic Plan for Biodiversity 2011-2020. Other targets of the Strategic Plan are also relevant for forests and in the context of REDD-plus, for example target 3: *By 2020, at the latest, incentives, including subsidies, harmful to biodiversity are eliminated, phased out or reformed in order to minimize or avoid negative impacts, and positive incentives for the conservation and sustainable use of biodiversity are developed and applied (...).*

Participants adopted the following co-chairs summary:

### **B. Safeguards**

25. A well-designed, well-implemented REDD-plus mechanism would generate unprecedented benefits for biodiversity. Several potential risks to biodiversity have been identified at the Global Expert Workshop on REDD-plus and Biodiversity, held in Nairobi in September 2010. The greatest risks for biodiversity at this stage are if REDD-plus is not well-designed, and if a REDD-plus mechanism is not sufficiently funded.

26. Biodiversity safeguards, and safeguards for indigenous peoples and local communities, will be essential for the long-term success of REDD-plus. However, the group recognized that an evolving approach to REDD-plus social and biodiversity benefits and safeguards is necessary in order to respect the variety of national situations and states of readiness.

27. While recognizing that REDD-plus cannot solve all relevant governance and environmental challenges, all safeguards and actions, including for the equitable sharing of benefits, need to be based on clear policies and understanding of sustainable land use, natural resource use, and land tenure rights. Impacts on indigenous peoples and local communities, and benefit-sharing are closely linked to solving land tenure and rights issues, including the rights to the forest carbon.

28. Many national level policies, laws, regulations and experiences are relevant to REDD-plus biodiversity safeguards, although not developed specifically for that purpose (for example, forest and protected area legislation, and mechanisms for payments for ecosystem services). Such policies and experiences should be taken into account in REDD-plus efforts.

29. Three existing frameworks for biodiversity and indigenous and local community safeguards were reviewed in detail: The *UN-REDD Programme Social and Environmental Principles and Criteria*; the relevant *World Bank Safeguard Policies*;<sup>9</sup> and the *REDD+ Social & Environmental Standards*.<sup>10</sup> These three frameworks were found to be a good basis for covering all main biodiversity risks in principle, and for addressing the 'Cancun safeguards' (UNFCCC decision 1/CP.16). However, not all safeguards are covered equally or sufficiently in all frameworks (a detailed analysis is provided in annex I). Key overall gaps include:

- (iv) There are no specific safeguards that address the risk of inappropriate afforestation in areas of high biodiversity value. The guidance on afforestation, reforestation and forest restoration provided by the CBD in decision X/33 paragraph 8(p)<sup>11</sup> could fill this gap, to

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<sup>9</sup>Notably, World Bank safeguard policies on Environmental Assessment (OP/BP 4.01), Natural Habitats (OP/BP 4.04), Forests (OP/BP 4.36), Involuntary Resettlement (OP/BP 4.12), and Indigenous Peoples (OP/BP 4.10).

<sup>10</sup>The standards were developed by the CCBA and Care International

<sup>11</sup>X/33 para 8(p) *Invites* Parties and other Governments, according to national circumstances and priorities, as well as relevant organizations and processes, to consider the guidance below on ways to conserve, sustainably use and restore biodiversity and ecosystem services while contributing to climate change mitigation and adaptation: (p) When designing, implementing and monitoring afforestation, reforestation and forest restoration activities for climate change mitigation consider conservation of biodiversity and ecosystem services through, for example:

- (i) Converting only land of low biodiversity value or ecosystems largely composed of non-native species, and preferably degraded ones;
- (ii) Prioritizing, whenever feasible, local and acclimated native tree species when selecting species for planting;
- (iii) Avoiding invasive alien species;
- (iv) Preventing net reduction of carbon stocks in all organic carbon pools;
- (v) Strategically locating afforestation activities within the landscape to enhance connectivity and increase the provision of ecosystem services within forest areas.

cover the possibility that such activities are considered as part of 'enhancement of forest carbon stocks' under REDD-plus;

- (v) The potential loss of traditional knowledge and of the cultural and spiritual identity of indigenous peoples and local communities is not sufficiently covered. This includes the concern that REDD-related payments could alter and undermine the traditional way of life and related knowledge and customary practices of indigenous peoples and local communities.

30. It would be useful to further harmonize existing frameworks, to simplify application at country level and allow for compatibility at global level. The standards, guidance, and other related tools developed at the international level should be harmonized to help countries to address safeguards.

31. Lack of tangible livelihood benefits to indigenous peoples and local communities and lack of equitable benefit-sharing between relevant stakeholders is a possible threat to the success of REDD-plus, and addressing this should be a priority.

32. REDD-plus efforts should build on community-based governance systems, where appropriate, and acknowledge the shared responsibility of national governments in strengthening community-based institutions of indigenous and local communities with regards to the sustainable management, use, and control of biodiversity and natural resources.

33. The 'Cancun safeguards' (UNFCCC decision 1/CP.16) should be understood to mean that under paragraph 2 (a) in Appendix I, special attention should be placed on consistency with the other Rio conventions: the CBD and the United Nations Convention on Combating Desertification (UNCCD), and on consistency with national biodiversity strategies and action plans.

34. Sufficient financial incentives and technical capacity to ensure the application of relevant safeguards, and to achieve biodiversity benefits, are missing in most countries. Adequate technical and financial support should be delivered to REDD-plus countries to ensure the compliance of safeguards and the sustainability of these processes.

### *C. Indicators at national level*

35. The primary indicators for measuring REDD-plus biodiversity impacts, both positive and negative, at national level should focus in particular on (i) fragmentation and connectivity of forests; (ii) status and trends of protected areas; and (iii) area of degraded habitat or ecosystem restored, (iv) distribution of invasive alien species, as well as (v) area of forests under sustainable management. However, it will be a challenge to monitor whether a change in biodiversity is directly related to REDD-plus or not.

36. Displacement of pressure on other ecosystems and biodiversity remains a key concern and it is yet unclear how this can be prevented and monitored, in particular at international level.

37. Assessment of biodiversity impacts and related indicators should be simple, feasible, and cost-effective. To this end, it is important that synergies with other indicator processes should be sought. Appropriate existing tools, processes and information are, for example, the FAO Global Forest Resources Assessment, and monitoring by the International Tropical Timber Organization (ITTO); the Global Forest Observation Initiative; the National Ecological Gap Analysis for the CBD programme of work on protected areas; national reports of Parties to CBD and national communications to UNFCCC; and maps and information on Key Biodiversity Areas, Invasive Alien Species, and other biodiversity indicators, for example, those identified by the Global

Biodiversity Indicators Partnership. Available and relevant tools should be harmonized to facilitate their implementation by REDD-plus countries.

38. There is a need for monitoring the impacts of REDD-plus on indigenous peoples and local communities, in accordance with the main risks identified by the Nairobi Global Expert Workshop. Indicators could include: (i) indicators on full and effective participation; (ii) status and trends of boundaries of indigenous territories, land tenure, and access rights; (iii) involuntary resettlements; (iv) changes in livelihoods and traditional knowledge related to REDD-plus, and (v) gender equality and rights and livelihoods of women. However, it should be noted that the social indicators identified here are not necessarily indicators to be used at global level, and that any monitoring of social impacts on a significant scale will be costly and requires adequate resources and capacity.

39. Indigenous peoples and local communities can also be essential in cost-effective monitoring of impacts of REDD-plus on biodiversity. This could include links to indicators about traditional knowledge, for example the quality and quantity of natural resources and biodiversity that is used for traditional purposes such as cultural ceremonies.

40. Indicators to measure the level of participation from indigenous peoples and local communities, including gender considerations, and the status of biodiversity in their territories, are important.

41. There is generally a need to build further capacity and expertise to monitor biodiversity impacts of REDD-plus.

#### ***D. Synergies between Conventions***

42. It is encouraging to observe that REDD-plus has already proved to be a catalyst for increased coordination and synergies between UNFCCC and CBD, and this workshop is a clear example. However, collaboration at all levels needs to be further improved, in particular when discussing the development of financing mechanisms with relevance for biodiversity, land management and climate change; and regarding monitoring and reporting.

43. The new Strategic Plan for Biodiversity 2011-2020 and REDD-plus efforts can be mutually supportive, while respecting the respective Convention mandates. Every effort should be made to support the success of REDD-plus and its multiple benefits, as this will directly contribute towards the forest-related targets of the Strategic Plan.

44. Whether or not existing safeguards cover all risks will depend on the details of the scope of REDD-plus and on terms and definitions. In that context, terms and definitions (such as 'natural forests' and other key concepts relating to mitigation and adaptation to climate change) should be harmonized as much as possible between the members of the Collaborative Partnership on Forests (CPF), while respecting the respective Convention mandates.

45. Coordination between national focal points remains a challenge in many countries and requires adequate resources.

46. The Rio conventions should enhance coordination and communication through the Secretariats. This should result in consistent messages to the Parties, including on relevant REDD-plus safeguards.

#### ***E. General observations***

47. For the development and application of relevant biodiversity safeguards and for the assessment of REDD-plus impacts on biodiversity, developing countries require a reliable supply of financial resources, as outlined in decision X/3 of Convention on Biological Diversity on resource mobilization and relevant earlier decisions on this subject.

48. The participants requested the Secretariat to make the workshop results available to the UNFCCC, by appropriate means, as well as to Parties, relevant organizations, partnerships and initiatives, and indigenous and local communities, and to make use of its results also in the context of the subsequent regional workshops and other fora on this subject.

**ASIA-PACIFIC REGIONAL CONSULTATION AND CAPACITY-BUILDING WORKSHOP ON REDUCING EMISSIONS FROM DEFORESTATION AND FOREST DEGRADATION IN DEVELOPING COUNTRIES (REDD-PLUS), INCLUDING ON RELEVANT BIODIVERSITY SAFEGUARDS**

Singapore, 15 – 18 March 2011

**CO-CHAIRS SUMMARY**

1. This workshop is the second in a series of expert workshops to consult effectively with Parties on biodiversity aspects of REDD-plus<sup>12</sup>, based on relevant decisions of the Convention on Biological Diversity (CBD) and of the United Nations Framework Convention on Climate Change (UNFCCC), notably decisions IX/5 and X/33 of CBD and decision 4/CP.15 and 1/CP.16 of UNFCCC. Views from CBD Parties have also been invited by notification 2011-018, with a deadline for submission of 30 April 2011.
2. The workshop results are intended to support both the CBD and UNFCCC discussions on relevant biodiversity safeguards for REDD-plus, as well as on the monitoring of biodiversity in the context of the forest-related Aichi Targets of the Strategic Plan for Biodiversity 2011-2020, for example through the Ad Hoc Technical Expert Group (AHTEG) meeting on indicators for the Strategic Plan, due to take place in June 2011.
3. The Aichi targets which are most relevant in the context of REDD-plus are, by 2020: to at least halve deforestation, and where feasible bring it close to zero (Target 5); to manage all areas under forestry sustainably (Target 7); to conserve at least 17 per cent of terrestrial and inland water areas (Target 11); and to restore at least 15 per cent of degraded ecosystems, thereby contributing to climate change mitigation and adaptation and to combating desertification (Target 15)<sup>13</sup>.
4. The tasks for the workshop were to: (i) discuss aspects of the application of relevant safeguards for biodiversity in the context of REDD-plus, and to (ii) identify possible biodiversity indicators to assess the contribution of REDD-plus to achieving the objectives of the Convention on Biological Diversity, and assess potential mechanisms to monitor impacts on biodiversity.
5. Presentations from Parties, indigenous and local communities, and relevant organizations provided an excellent basis for discussions in three working groups. The workshop also built on the results of the Global Expert Workshop on REDD-plus and Biodiversity Benefits, Nairobi, 20-23 September 2010 (UNEP/CBD/WS-REDD/1/3), as well as discussions in Nagoya and Cancun in 2010.

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<sup>12</sup> With reference to decision 1/CP.16 of the United Nations Framework Convention on Climate Change (UNFCCC), REDD-plus comprises reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries.

<sup>13</sup> Decision X/2: Strategic Plan for Biodiversity 2011-2020. Other targets of the Strategic Plan are also relevant for forests and in the context of REDD-plus, for example target 3: *By 2020, at the latest, incentives, including subsidies, harmful to biodiversity are eliminated, phased out or reformed in order to minimize or avoid negative impacts, and positive incentives for the conservation and sustainable use of biodiversity are developed and applied (...).*

6. It was recognized that there are numerous challenges with advancing work in this area, for example, differences between safeguard approaches<sup>14</sup> in the context of REDD-plus pilot and demonstration activities. It was also realized that there was generally a lack of capacity and expertise to monitor biodiversity impacts of REDD-plus, and a need to improve indicators, and tools for enhancing biodiversity benefits. The workshop discussed at length whether recommendations should be developed for the sub-national and local level, or for the national level. It was agreed that since the Convention on Biological Diversity operates at the global, regional and national level, the focus of discussions should be limited to these levels. Therefore global indicator frameworks should be developed for implementation at the national level.

7. Building on the Nairobi Global Expert Workshop, the following points were emphasized:

(a) If REDD-plus is successful at reducing deforestation and forest degradation, and promoting forest conservation, sustainable management of forests, and enhancement of forest carbon stocks, it will have significant and unprecedented benefits for biodiversity also.

(b) A well-implemented REDD-plus mechanism also has the potential to enhance the ecosystem services to deliver multiple benefits for countries, in particular to indigenous peoples and local communities.

(c) Developing safeguards for the protection and conservation of natural forests and biodiversity, for respecting the knowledge and rights of indigenous peoples and local communities, and also for promoting their full and effective participation in relevant REDD-plus activities and processes is essential for the success of the REDD-plus approach in general.

(d) REDD-plus efforts should enhance other ecosystem services, wherever possible, and carbon sequestration should be seen as one of many equally important ecosystem services.

(e) The meeting decided to develop guidance on biodiversity safeguards and generic indicators applicable at national level for assessing REDD-plus biodiversity impacts.

8. Findings and recommendations from the working groups relating to relevant biodiversity safeguards include:

(a) It is important to retain the spirit and effectiveness of the safeguards in UNFCCC decision 1/CP.16, when they are applied at national level. Many national level policies, laws, regulations, etc., which are applicable to REDD-plus biodiversity safeguards already exist, although they were not developed specifically for that purpose (e.g., forest and protected area legislation). Such policies, including those based on traditional ecological and local knowledge, should be considered as a basis for REDD-plus efforts.

(b) In most countries, National Biodiversity Strategies and Action Plans (NBSAPs) contain elements relevant for biodiversity risks and relevant safeguards, and could be an important basis for incorporating biodiversity conservation measures in REDD-plus policies. Vice-versa, the development of REDD-plus policies can contribute to improved, more comprehensive NBSAPs.

(c) There is a confusing proliferation of terms in the context of safeguards: principles, criteria, standards, policies, etc. The meaning of these terms differs although they are often used interchangeably. It was noted that there are several different emerging approaches to implementing REDD-plus safeguards, and there is a need to develop a common understanding.

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<sup>14</sup> Notably, the UN REDD draft Social and Environmental Principles and Criteria; the World Bank safeguard policies on Environmental Assessment (OP/BP 4.01), Natural Habitats (OP/BP 4.04), Forests (OP/BP 4.36), Involuntary Resettlement (OP/BP 4.12), and Indigenous Peoples (OP/BP 4.10); and the Climate, Community and Biodiversity (CCB) Standards.

(d) There are gaps in existing and emerging safeguard approaches. *Inter alia*, applying the precautionary approach to natural resource management; the principle of free prior and informed consent; spatially explicit identification of forest areas of high biodiversity value; and a monitoring system with national baselines are key principles/criteria that are not sufficiently addressed in some of the existing frameworks.

(e) In addressing biodiversity safeguards there is a need to recognise the components of biodiversity: ecosystems, species and genetic diversity.

(f) The value of biodiversity and ecosystem services needs to be better recognised to assist with the mobilization of financial resources and the development of incentives for the application of safeguards. The application of safeguards, in addition to financial resources, would also require countries to have in place appropriate legislation, policy frameworks, and full and effective stakeholder participation.

9. Findings and recommendations related to the assessment of REDD-plus impacts on biodiversity include:

(a) Essential information for biodiversity safeguards will include (i) location, extent, composition and changes over time of natural forests, and (ii) location, extent, composition, and changes over time of high biodiversity areas. Appropriate existing tools, processes and information could be the basis for biodiversity baselines and monitoring, for example, the FAO Global Forest Resources Assessment; the Global Forest Observation Initiative; the National Ecological Gap Analysis for CBD Programme of Work on Protected Areas; National Reports of Parties to the CBD and national communications to the UNFCCC; and Key Biodiversity Areas, and other biodiversity indicators, for example, identified by the Global Biodiversity Indicators Partnership.

(b) Particular attention to biodiversity issues may be needed when aiming to increase the forest area in the context of REDD-plus, aiming for multi-functional forest landscapes. This requires effective land-use planning. The CBD Ad Hoc Technical Expert Group on Biodiversity and Climate Change guidance on biodiversity aspects of afforestation and reforestation are relevant in this context.

(c) The rights of indigenous peoples and local communities regarding customary use of traditional territories, land and natural resources should be ensured through national legislation/instruments.

(d) Plans for regular monitoring and review of biodiversity and ecosystem services need to be in place to ensure that existing livelihood opportunities and biodiversity are maintained and enhanced.

(e) There is a gap in the availability of data needed for the monitoring of biodiversity. In the framework of the principles of the conservation commons, there should be free and open access to biodiversity data and information for assessment purposes pursuant to CBD COP Decision X/7 and X/15.

10. The workshop identified *inter alia* the following capacity building needs:

(a) Enforcement of legislation and development of good governance takes time, but it should not lead to the situation of 'perfect being the enemy of the good'. Countries can build on

existing institutions, tools and processes, both for the application of safeguards, and for the assessment of biodiversity impacts. At the same time, capacity needs to be increased and sustained at all relevant levels, and national-level tools and processes should be further improved, including through technology transfer.

(b) It is important to learn from community-based natural resources management and other areas of Sustainable Forest Management (SFM), which includes aspects of conservation and sustainable use of biodiversity: REDD-plus could possibly use existing SFM criteria and indicators, as appropriate.

(c) Reporting frameworks under UNFCCC and Convention on Biological Diversity are completely different and it is important to harmonize them as much as possible, to decrease the reporting burden on countries.

11. The workshop endorsed the key research and development needs as identified in the Nairobi Workshop (UNEP/CBD/WS-REDD/1/3).

12. Participants expressed interest in further enhancing their understanding of REDD-plus and safeguard approaches to REDD-plus through capacity building efforts.

13. For the development and application of relevant biodiversity safeguards, and for the assessment of REDD-plus impacts on biodiversity, developing countries require adequate and predictable financial resources, as outlined in decision X/3 of Convention on Biological Diversity on resource mobilization and relevant earlier decisions on this subject.

The participants requested the Secretariat to make the workshop results available to the UNFCCC, by appropriate means, as well as to Parties, relevant organizations, partnerships and initiatives, and indigenous and local communities, and to make use of its results also in the context of the subsequent regional workshops on this subject, as well as the Ad Hoc Technical Expert Group on indicators for the Strategic Plan for Biodiversity 2011-2020.

**GLOBAL EXPERT WORKSHOP ON BIODIVERSITY BENEFITS OF REDUCING EMISSIONS FROM DEFORESTATION AND FOREST DEGRADATION IN DEVELOPING COUNTRIES**

Nairobi, 20-23 September 2010

**I. CO-CHAIRS SUMMARY**

1. If REDD-plus<sup>15</sup> is successful at reducing deforestation and forest degradation, and promoting forest conservation, it will have significant and unprecedented benefits for biodiversity.
2. A well designed REDD-plus mechanism also has the potential to deliver significant benefits to indigenous peoples and local communities.
3. Both biodiversity and the full and effective participation of indigenous peoples and local communities are necessary for the success of REDD-plus. The permanent storage of carbon depends on well-functioning and resilient forest ecosystems, and on indigenous and local community participation and ownership.
4. Multiple benefits of REDD-plus, such as biodiversity benefits and benefits for indigenous peoples and local communities, are already being realized in many countries that are taking REDD-plus activities forward, e.g. through mapping exercises and through developing integrated REDD-plus national plans.
5. At this stage, the biggest risk to biodiversity and indigenous peoples and local communities from REDD-plus is that a well-designed REDD-plus mechanism is not agreed upon and successfully implemented.
6. Other specific risks for biodiversity identified by the meeting include:
  - (a) The conversion of natural forests to plantations and other land uses of low biodiversity value and low resilience; and the introduction of growing of biofuel crops;
  - (b) Displacement of deforestation and forest degradation to areas of lower carbon value and high biodiversity value;
  - (c) Increased pressure on non-forest ecosystems with high biodiversity value;
  - (d) Afforestation in areas of high biodiversity value.
7. Other specific risks of REDD-plus for indigenous peoples and local communities include:
  - (a) The loss of traditional territories and restriction of land and natural resource rights;
  - (b) Lack of tangible livelihood benefits to indigenous peoples and local communities and lack of equitable benefit sharing;

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<sup>15</sup> In this report, REDD-plus refers 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. As negotiations under the UNFCCC are ongoing, acronyms within the co-chairs summary are used for the purpose of shortening the text, without any attempt to pre-empt or pre-judge ongoing or future negotiations under the United Nations Framework Convention on Climate Change (UNFCCC). The Plurinational State of Bolivia expressed its reservation to the use of the acronym REDD-plus in the co-chairs summary and refers to this mechanism as 'forest-related activities', considering that a) forests are not only important for emission reduction but they also have other multiple benefits as expressed in the co-chairs' summary and b) in accordance with CBD decision IX/5 the mandate for this workshop refers to reducing emissions from deforestation and forest degradation in developing countries.

- (c) Exclusion from designing and implementation of policies and measures;
  - (d) Loss of traditional ecological knowledge.
8. Safeguards, if designed and implemented appropriately, will reduce the risks and enhance the potential benefits of REDD-plus, for example by ensuring that conversion of natural forests is avoided, and ensuring full and effective participation of indigenous peoples and local communities based on the United Nations Declaration on the Rights of Indigenous Peoples, in particular the principle of free, prior and informed consent.
9. Action for multiple benefits needs to be taken at several levels. National governments play the key role in ensuring multiple benefits through the implementation of REDD-plus. National plans and national approaches benefit from the integration of climate change, biodiversity, and development objectives and strategies. This requires effective cross-sectoral coordination and harmonization of relevant policies and laws (agriculture, energy, environment, forests, biodiversity, and others), and integrated land use planning at the national scale.
10. Successful implementation of REDD-plus is dependent on transparent and effective national governance structures.
11. The CBD can support the implementation of REDD-plus through its programmes of work and its biodiversity monitoring efforts, including by:
- (a) Encouraging the Parties to maximize the benefits for biodiversity, for example through prioritizing the conservation of natural forests;
  - (b) Supporting the work of the UNFCCC to operationalize safeguards<sup>16</sup>;
  - (c) Developing a framework for monitoring the impacts of REDD-plus on biodiversity.
12. Capacity building efforts across all levels founded on comprehensive national self-capacity needs assessments, as well as information sharing, are needed in order to achieve multiple benefits of REDD-plus, including through coordinated efforts of the members of the Collaborative Partnership on Forests and other relevant organizations.
13. Identifying and realizing multiple benefits can be supported through the application of:
- (a) Spatially explicit tools, such as maps and ecological gap analyses, to identify synergies and tradeoffs among climate change, biodiversity, and social issues;
  - (b) The results of the The Economics of Ecosystems and Biodiversity (TEEB) process;
  - (c) Social and environmental standards for REDD-plus;
  - (d) The recommendations of the CBD second Ad Hoc Technical Expert Group on Biodiversity and Climate Change.<sup>17</sup>
14. Key research and development needs in the context of REDD-plus multiple benefits include:
- (a) Analysis of key drivers of biodiversity loss due to deforestation and forest degradation at the national and local level;
  - (b) The conditions for effective and equitable distribution mechanisms;

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<sup>16</sup> Without prejudging ongoing or future negotiations.

<sup>17</sup> CBD Technical Series 41: *Connecting Biodiversity and Climate Change Mitigation and Adaptation*, available at [www.cbd.int/ts](http://www.cbd.int/ts)

- (c) Criteria and indicators for monitoring multiple benefits and safeguards;
- (d) Spatially explicit support tools/maps, including information on ecosystem services;
- (e) Socio-economic analyses of implementing REDD-plus considering the full value of forests and multiple benefits, recognizing that there are intrinsic values that cannot be monetarized;
- (f) Reviewing and improving national biodiversity strategies and action plans (NBSAPs) to reflect climate change issues;
- (g) Further collaborative work on the definitions on forests and forest types.

15. The workshop participants requested the Secretariat to make the workshop results available to the national focal points for the Convention on Biological Diversity and the United Nations Framework Convention on Climate Change. To further advance the results of this meeting, the experts recommended that the CBD could explore possibilities for a technical workshop organized jointly by the CBD and UNFCCC Secretariat on how the CBD can support REDD-plus safeguards, without prejudice to the negotiations.

## **Annex 1: Parties and organizations that have participated in the CBD REDD-plus and Biodiversity workshop series**

*Nairobi (20-23 September 2010), Singapore (15-18 March 2011), Quito (5-8 July 2011) and  
Cape Town (20-23 September 2011), for full reports see [www.cbd.int/meetings](http://www.cbd.int/meetings)*

### **Parties**

1. Angola
2. Argentina
3. Bangladesh
4. Benin
5. Bhutan
6. Bolivia
7. Botswana
8. Brazil
9. Cambodia
10. Cameroon
11. Central African Republic
12. Chad
13. Chile
14. China
15. Colombia
16. Costa Rica
17. Côte d'Ivoire
18. Cuba
19. Democratic Republic of the Congo
20. Ecuador
21. El Salvador
22. Equatorial Guinea
23. Fiji
24. Germany
25. Ghana
26. Grenada
27. Honduras
28. India
29. Indonesia
30. Iran (Islamic Republic of)
31. Japan
32. Kenya
33. Lao People's Democratic Republic
34. Liberia
35. Madagascar
36. Malaysia
37. Mexico
38. Mongolia
39. Myanmar
40. Namibia
41. Nepal
42. Nicaragua
43. Nigeria
44. Norway
45. Pakistan
46. Panama
47. Papua New Guinea
48. Paraguay
49. Philippines
50. Saint Lucia
51. Seychelles
52. Singapore
53. Solomon Islands
54. South Africa
55. Suriname
56. Thailand
57. Uganda
58. United Kingdom of Great Britain and  
Northern Ireland
59. United Republic of Tanzania
60. Uruguay
61. Vanuatu
62. Viet Nam
63. Zambia

### **UN and Specialized Agencies**

64. Food and Agriculture Organization of the United Nations (FAO)
65. The Global Mechanism – United Nations Convention to Combat Desertification  
(UNCCD)

- 66. The World Bank
- 67. United Nations Environment Programme World Conservation Monitoring Centre (UNEP – WCMC)
- 68. United Nations Forum on Forests (UNFF)
- 69. United Nations Framework Convention on Climate Change (UNFCCC)
- 70. UN-REDD Programme (Reducing Emissions from Deforestation and Forest Degradation in Developing Countries)

#### **Intergovernmental organizations**

- 71. ASEAN Centre for Biodiversity (ACB)
- 72. Center for International Forestry Research (CIFOR)
- 73. Commission des Forêts d'Afrique Centrale (COMIFAC)
- 74. Global Environment Facility (GEF)
- 75. International Tropical Timber Organization (ITTO)
- 76. International Union for Conservation of Nature (IUCN)
- 77. IUCN Regional Office for Eastern and Southern Africa
- 78. IUCN Regional Office for West and Central Africa
- 79. Southern African Development Community Secretariat (SADC)

#### **Indigenous and local community organizations**

- 80. Association for Law and Advocacy for Pastoralists
- 81. Centre d'accompagnement des Autochtones Pygmées et Minoritaires vulnérables
- 82. Community Research and Development Services
- 83. Confederación de Pueblos Indígenas de Bolivia
- 84. Coordinadora de las Organizaciones Indígenas de la Cuenca Amazónica - COICA
- 85. Coordinadora Nacional de Pueblos Indígenas de Panamá (COONAPIP)
- 86. Dupoto forest and wildlife association
- 87. Federación por la Autodeterminación de los Pueblos Indígenas
- 88. First Peoples Worldwide
- 89. Indigenous Information Network
- 90. Maasai Women for Education and Economic Development (MAWEED)
- 91. Ole Siosiomaga society (OLSSI)
- 92. Partners with Melanesians
- 93. Red de mujeres indígenas sobre biodiversidad
- 94. Tebtebba Indigenous Peoples' International Centre for Policy Research & Education
- 95. United Organization for Batwa Development in Uganda

#### **Non-Governmental Organizations**

- 96. Birdlife International
- 97. Conservation International
- 98. Fauna & Flora International (FFI)
- 99. Forest Stewardship Council (FSC)
- 100. Gesellschaft für Internationale Zusammenarbeit (GIZ)
- 101. Global Invasive Species Programme (GISP)
- 102. Global Witness
- 103. Green Belt Movement International
- 104. Greenpeace
- 105. Natural Justice (Lawyers for Communities and the Environment)
- 106. Rainforest Foundation Norway - CEPALES
- 107. RECOFTC – The Center for People and Forests
- 108. Resource Africa

- 109. SNV – Netherland Development Organisation
- 110. Wildlife Conservation Society (WCS)
- 111. Wildlife Works Carbon

**Business**

- 112. PROFAFOR S.A. – Ecuador
- 113. DOE Tüv Nord – Southern Africa

**Universities**

- 114. National University of Singapore
- 115. Lund University
- 116. State University of New York
- 117. University of Freiburg
- 118. University of Cape Town