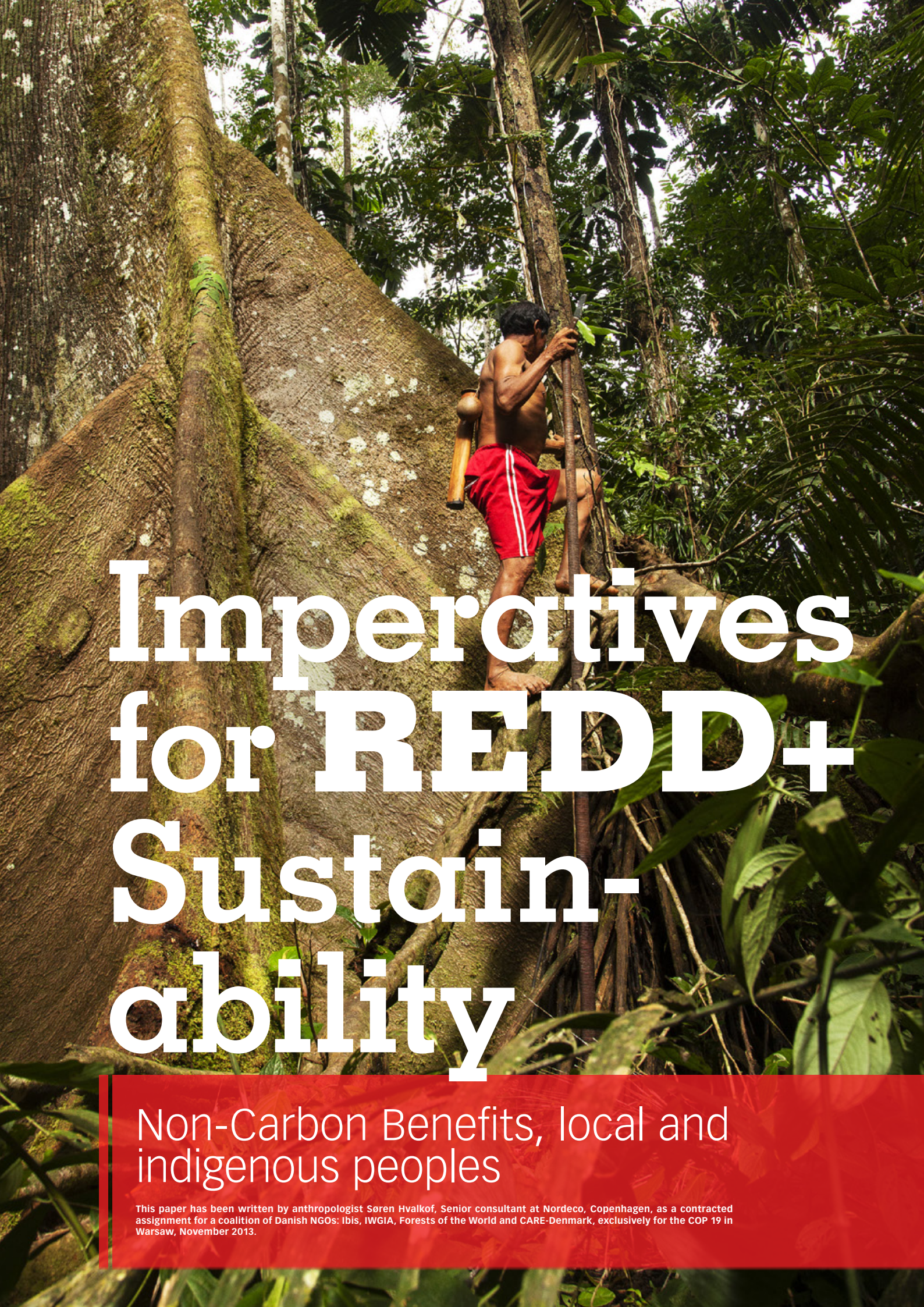


Imperatives for REDD+ Sustain-ability

Non-Carbon Benefits, local and indigenous peoples

This paper has been written by anthropologist Søren Hvalkof, Senior consultant at Nordeco, Copenhagen, as a contracted assignment for a coalition of Danish NGOs: Ibis, IWGIA, Forests of the World and CARE-Denmark, exclusively for the COP 19 in Warsaw, November 2013.

Publishers:
IBIS, CARE, IWGIA and Forests of the World
Author: Søren Hvalkof
Editor: Stine Krøijer
Photos: Mike Kollöffel (cover and p. 11, 14, 16, 18, 23)
and Søren Hvalkof (p. 15, 19, 25)
Design and Layout: Yeray López Portillo (www.tonetes.dk)

For more information on the publication please contact Stine Krøijer skr@ibis.dk or Jens Matthias Clausen jclausen@92gr.dk. Thanks to Biologist Finn Danielsen, NORDECO, who kindly made several unpublished articles available to the author, and to anthropologist Hanne Veber for critically copyediting the final draft.

Imperatives for REDD+ Sustainability

Non-Carbon Benefits, local and indigenous peoples

INDEX

Imperatives for REDD+ Sustainability

Non-Carbon Benefits, local and indigenous peoples

Summary

This paper focuses on the importance of Non-Carbon Benefits in REDD+ delivered by indigenous peoples and forest dependent communities. Through three case studies it exemplifies how indigenous peoples and local communities contribute to REDD+ by delivering specific NCBs. The cases show that the performance of indigenous peoples and local communities is the sine qua non for the sustainability of REDD+.

1. Defining Non-Carbon Benefits in REDD+

Non-Carbon Benefits from REDD+; with the acronym NCBs, is a term referring to the factors and contributions of REDD+ that go beyond mere carbon storage and carbon sequestration in forests. NCBs are generally understood as positive *social, environmental and governance outcomes* of REDD+ activities. NCBs can be seen as the contributions of forest-maintaining livelihoods and cultures to the permanence and viability of the REDD+ programme and its achievements.

2. NCBs, indigenous peoples and forest dependent communities in the REDD+ framework

The NCBs were introduced in REDD+ at the UNFCCC COP16 conference in Cancún 2010. The Cancún Safeguards Agreements determined that *REDD+ activities should enhance social and environmental benefits, incentivize the conservation of natural forests and their ecosystem services, and promote effective forest governance mechanisms*. The Cancún Agreements also recognize that the UNFCCC Parties are obliged to fully respect human rights and, particularly, *the rights of indigenous peoples in all climate-change related decisions and actions.*

3. Safeguards and NCBs

After the inclusion of safeguard provisions for REDD+ in the Cancún Agreement, the issue of safeguards and the role of NCBs have been gaining increasing momentum in the international climate policy process. There is increasing and widespread recognition among stakeholders that REDD+, in order to make greenhouse gas emission reductions possible and enduring in the forest sector, must broaden its scope from a narrow, carbon focused approach to a holistic one where NCBs in association with a robust safeguards regime play an equally important role as the carbon related measures in an integrated and synergetic interplay. To ensure this, a robust safeguards regime must be given high priority and implemented. This also implies the acceptance of and respect for the provisions of ILO Convention 169 and the UN Declaration on the Rights of Indigenous Peoples (UNDRIP), and adherence to the principles of Free, Prior and Informed Consent (FPIC).

4. Case studies: Non-Carbon Benefits and indigenous- and local community practices

Three case studies document how NCBs are crucial for the mere existence of the forests and thus for REDD+. The three cases speak to different aspects of the NCB debate.
Case 1 presents evidence from a study measuring land use over a 50-year period in the Peruvian Amazon and shows how demarcation and titling of indigenous community territories has led to increased forest cover due to the sustainability of the indigenous production system. This is compared with the practices of non-indigenous cattle raisers', which have led to high deforestation rates and a self-destructive and stagnating economy. The study illustrates the importance of NCBs to REDD+, and particularly the effects of land demarcation and titling of indigenous communities, its impact on governance and democracy, on social structures and livelihoods, and on environment and forest cover.

Case 2 and Case 3 focus on the capacity of indigenous and local communities to monitor biodiversity and resources in Madagascar, Nicaragua, Philippines and Tanzania (Case 2) and in Indonesia, China, Laos and Vietnam (Case 3). Both studies make a controlled comparison between local community monitoring and the monitoring of trained scientists and conclude that local and indigenous communities generate similar and equally good outputs as the trained scientists and are much more cost efficient. The cases document that it is fully possible to build a cheap and effective MRV system based on community monitoring of NCBs.

5. Donor landscapes and parallel REDD+ initiatives

A number of initiatives to promote REDD+ through support and funding of pilot initiatives have been set up worldwide. Of these a few initiatives with relevance for incentivizing NCBs can be summarized.

FIP - Dedicated Grant Mechanism for Indigenous Peoples

The Forest Investment Programme - FIP is currently setting up a Dedicated Grant Mechanism (DGM) targeting Indigenous Peoples and Local Communities (IPLCs). The DGM is being established under the FIP to provide grants to Indigenous Peoples and Local Communities in pilot countries to support their participation in the development of the FIP investment strategies, programmes and projects. The DGM may develop into a very interesting setup and funding mechanism for IPLCs. Because the DGM will not be operational until sometime in 2014, there is a unique opportunity to participate in the formation and shaping of this new fund, specifically targeting IPLCs. It may present a long-needed financial instrument for indigenous peoples and forest-dependent communities for implementing REDD+ NCB pilot projects.

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

REDD+ SES is a voluntary initiative providing a comprehensive framework of national level or sub-national level standards for the social and environmental performance of REDD+ programs including NCBs. Recognizing the need for effective social and environmental safeguards and NCBs, the REDD+ Social & Environmental Standards initiative aims to define and build support for a higher level of social and environmental performance from REDD+ programs. A number of countries have joined the REDD+ SES network and are currently implementing a number of pilot projects using the SES. The SES may constitute an engaging forum for articulating the non-carbon benefit interests of particular indigenous peoples and forest-dependent communities vis-à-vis their organizations and trying out possible models and constellations of REDD+ implementation strategies as pilot projects.

Amazonian Indigenous REDD+ (RIA)

The Amazonian Indigenous REDD+ Proposal is an innovative approach to REDD+ collectively developed by the Amazon Basin Indigenous Peoples and their key allies—coordinated by the regional organization Coordinator of Indigenous Organizations of the Amazon Basin (COICA). (40). The COICA represents nine national indigenous organizations in the Amazon countries of South America, covering 390 indigenous peoples with close to 3 million inhabitants. The COICA and partner organizations are currently seeking support to establish a number of pilot projects to test the applicability of the Amazonian Indigenous REDD+ proposal and to improve and further the initiative. The initiative has resulted in various new agreements with funding agencies including the IDB and the FIB. Similar indigenous REDD+ pilot project initiatives are currently being developed by indigenous organizations in Asia. These alternative indigenous REDD+ pilot projects, all prioritizing NCBs, are of uttermost importance in creating precedents and gaining experiences for the sustainability of the future REDD+ initiative.

6. Recommendations

IBIS, IWGIA, CARE-Denmark and Forest of the World support the recommendations on NCB made by the REDD+ Safeguards Working Group, namely that:

1. Common criteria for NCBs. Countries should agree on a core set of criteria for recognition of NCBs.
2. National REDD+ Strategies drawn up with full participation of indigenous peoples and local communities, ensuring that programming and planning is in accordance with the specific national contexts.
3. Incentivizing NCBs in all phases of REDD+. Financial incentives should go beyond compensation for emissions reductions, and include improved management, forest governance, and provisions for secure land tenure and for territorial integrity of IPs, as well as other results-based financing of NCBs. Biodiversity??
4. Holistic approach to Results-Based REDD+ payments: "Composite approach": Neither carbon nor NCBs as the primary category but payments made on a number of performance indicators covering both carbon and non-carbon benefits. (8)
5. Promotion of ex-ante financing for NCBs, with associated risk assessments and funding priorities.
6. Monitoring of NCBs should be based on existing systems and methodologies and relate to the Safeguards Information System - SIS in a coordinated way.
7. Participatory community-based monitoring as prioritized MRV system and methodology, with full participation of indigenous and other local communities.

7. The way ahead for NCBs and indigenous and forest dependent communities.

To move forward and establish and consolidate a more solid platform for the recognition and promotion of NCBs in REDD+ with a particular relevance for and linkage to indigenous peoples and forest-dependent communities, the following actions will be needed:

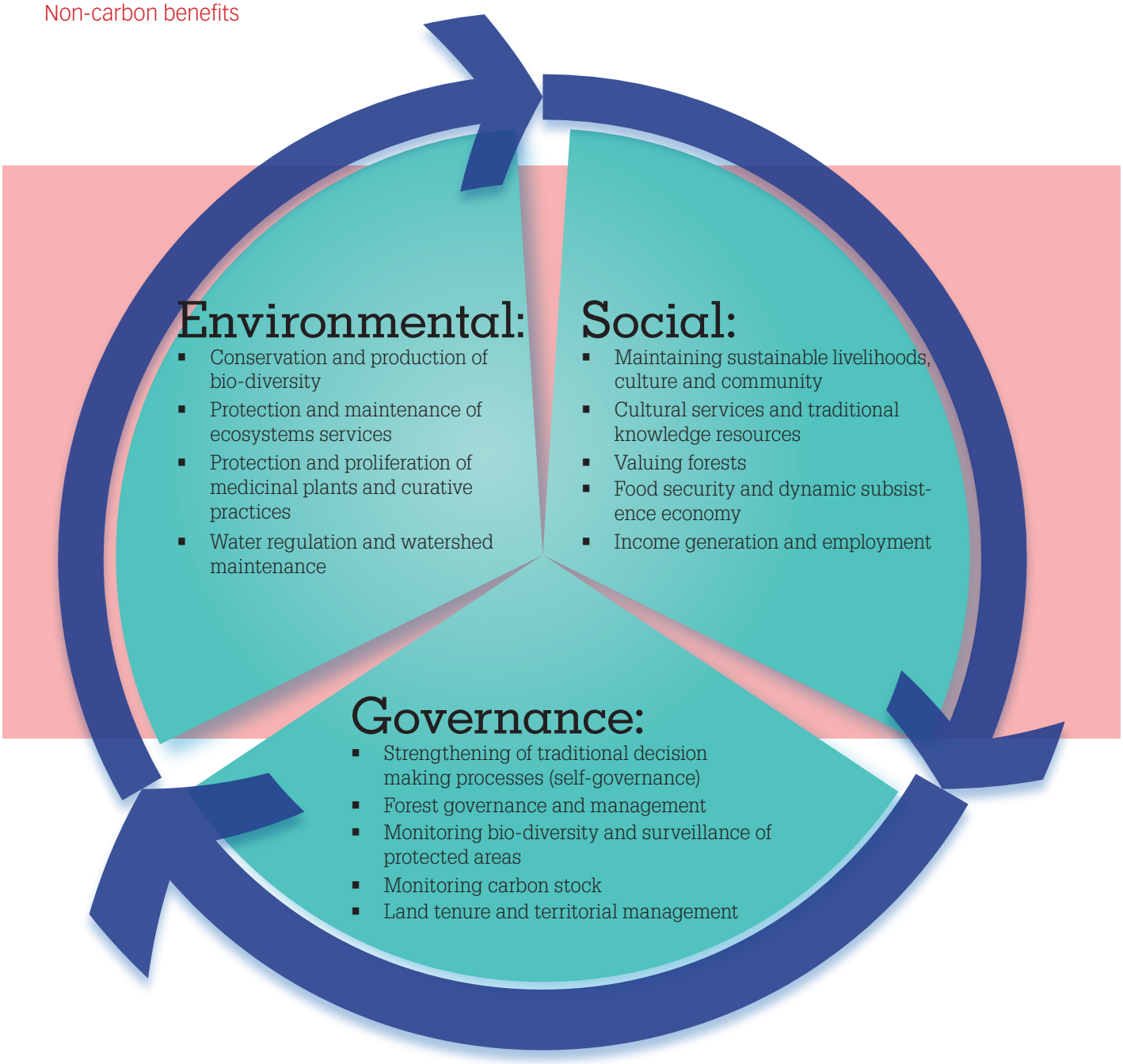
- Establishment of an indigenous peoples' database and information system at national and regional levels, where the experiences and lessons learned from participation in REDD+ schemes may be accumulated and accessed by interested partners and stakeholders.
- A systematic gathering of experiences from different funding mechanisms of REDD+ or REDD-like programmes targeting indigenous peoples and local communities need to be accumulated and analysed to gain experience for future REDD+ NCB projects and deliver qualified feedback for the next phases of REDD+.

- A systematic network of REDD+ and NCB pilot projects needs to be established among indigenous and local community stakeholders, using existing organizational structures on a regional and global scale, aimed at creating leverage for stronger input into the national REDD+ processes and informing decision makers at the political level about NCB's and similar initiatives.
- Cooperation agreements need to be made with the FIP and the DGM to support indigenous REDD+ pilot projects, and particularly NCBs. The creation of precedents for NCB-financing in REDD+ may have a positive impact on the decision-making process in the long run.

8. Concluding remarks

Without giving high priority to NCBs in the institutionalization of REDD+ and its safeguards system there will be no REDD+. Fortunately the major institutional operators behind REDD+ are increasingly recognizing that NCBs are the *sine qua non* for REDD+ and that indigenous peoples and local communities are not the problem but the solution.

Figure 1:
Non-carbon benefits



Imperatives for REDD+ Sustainability

Non-Carbon Benefits, local and indigenous peoples

Box 1

Excerpts from the final text on REDD+ finance at the Doha conference

Policy approaches and positive incentives on issues relating to 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:…

…Decides that the aim of the work programme is to contribute to the on-going efforts to scale up and improve the effectiveness of finance for the activities referred to in decision 1/CP.16, paragraph 70, taking into account decision 2/CP.17, paragraphs 66 and 67;…

… Also decides that the work programme will address options to achieve this objective, taking into account a wide variety of sources as referred to in decision 2/CP.17, paragraph 65, including:

(a) Ways and means to transfer payments for results-based actions;

(b) Ways to incentivize non-carbon benefits;

(c) Ways to improve the coordination of results-based finance;"

Source: "Report of the Conference of the Parties on its eighteenth session, held in Doha from 26 November to 8 December 2012." (1)

I. What are Non-Carbon Benefits?

Non-Carbon Benefits from REDD+ (**R**educing **E**missions from **D**eforestation and Forest **D**egradation - **plus**[1]), also known as "co-benefits" or "multiple benefits", is a term referring to the factors and contributions of REDD+ that go beyond mere carbon storage and carbon sequestration in forests. There are different interpretations of which term is the most appropriate and whether one encompasses the others or whether they are all of equal ranking and synonymous. The term Non-Carbon Benefits or simply NCBs has, however, gained acceptance in the negotiations under the United National Framework Convention on Climate Change (UNFCCC), as it does not indicate a secondary importance in relation to the original REDD+ carbon benefits but is on a par with these.

NCBs are generally understood as positive *social, environmental and governance outcomes* from REDD+ activities. They go beyond the minimum requirements of safeguards that ensure that REDD+ does no harm to livelihoods and biodiversity, making it more proactive and aiming at ensuring a positive impact. The NCBs can be seen as the contributions of forest-maintaining livelihoods and cultures to the permanence and viability of the REDD+ programme and its achievements. They are contributions that ensure that REDD+ emission reductions will endure over time and are, as such, a crucial prerequisite for the success of REDD+ in general.

1. The REDD"+" is more than just avoided deforestation. It is tied to measurable and verifiable reduction of emissions from deforestation and forest degradation as well as sustainable management of forests, conservation of forest carbon stocks and enhancement of carbon stocks. This is because a REDD strategy need not refer solely to the establishment of national parks or protected areas; by the careful design of rules and guidelines, REDD + could include land use practices such as shifting cultivation by indigenous communities and reduced-impact-logging, provided sustainable rotation and harvesting cycles can be demonstrated. Thus the "plus". (Source: http://en.wikipedia.org/wiki/Reducing_emissions_from_deforestation_and_forest_degradation#REDD-Plus)

Indigenous peoples and forest-dependent communities play a special role in maintaining, adapting and developing the forests and forest-related resources, and are thus essential for the generation of certain NCBs. It is important to emphasize that indigenous peoples living in diverse forest habitats around the world not only depend on the forest for their livelihoods but also contribute to its existence and reproduction, including its biodiversity, through their traditional natural resources management and productive practices. The anthropogenic factor in maintaining tropical forest habitats and biodiversity in particular is well documented. Carbon, social, environmental and governance benefits are all intimately linked in synergetic relationships, and indigenous peoples and communities are the main catalysts of this process and of the NCBs.

To specify some of the multiple forms of NCBs, the three main classes of NCBs can be identified and further subdivided into a number of *ad hoc* sub-categories of benefits and outcomes:

Non-Carbon Benefits

Social:

- **Maintaining sustainable livelihoods, cultures and communities**
- **Cultural services and traditional knowledge resources**
- **Adding social value to forests**
- **Food security and dynamic subsistence economy**
- **Income generation and employment**

Governance:

- **Strengthening of traditional decision-making processes (self-governance)**
- **Forest governance and management**
- **Monitoring biodiversity and surveillance of protected areas**
- **Land tenure and territorial management**

Environmental:

- **Conservation and production of biodiversity**
- **Protection and maintenance of ecosystem services**
- **Protection and proliferation of medicinal plants and curative practices**
- **Water regulation and watershed maintenance**

II. Background and history

The NCBs were first introduced into the REDD+ scheme in 2010 during the UNFCCC COP16 conference in Cancún, Mexico. [2]Although the term NCBs was not explicitly used, the Cancún Safeguards Agreement determined that *REDD+ activities should enhance social and environmental benefits, incentivize the conservation of natural forests and their ecosystem services, and promote effective forest governance mechanisms*. The Cancún Agreement also recognize that the UNFCCC Parties are obliged to fully respect human rights and, particularly, the rights of indigenous peoples in all climate-change related decisions and actions (2, 3, 4, 5).

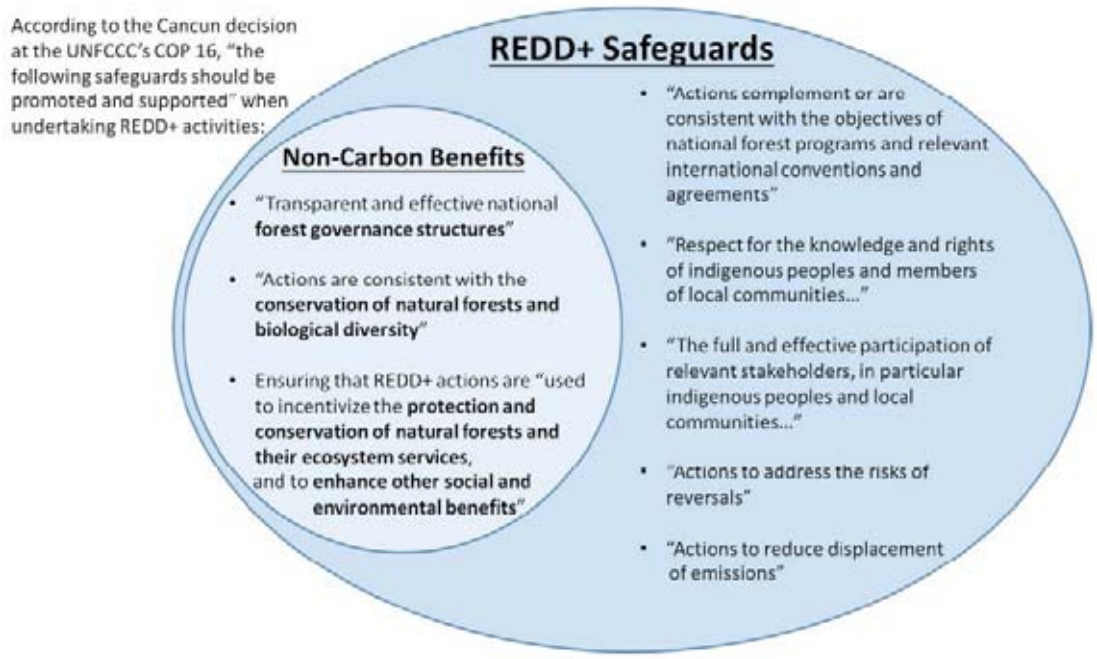
The REDD+ safeguards[3] are indispensable for achieving results. Without effectual safeguards, REDD+ will fail to "slow, halt and reverse forest cover and carbon loss" and also fail to deliver NCBs.[4] The safeguards, if implemented, improve forest governance, promote the full and effective participation of indigenous peoples

2. In addition, the two permanent subsidiary bodies of the UNFCCC, the Subsidiary Body for Scientific and Technological Advice (SBSTA) and the Subsidiary Body for Implementation (SBI), also held their 33rd sessions and dealt with NCB-related issues.
3. Outlined in Decision 1/CP.16, Appendix I.
4. Decision 1/CP.16.

and local communities and respect for their rights, and protect biodiversity in order to ensure ecosystem resilience and the permanence of emissions reductions (5). After the introduction of safeguard provisions for REDD+ in the Cancún Agreement, the issue of safeguards and the role of NCBs have been gaining increasing momentum, particularly within civil society organizations and in the part of the indigenous movement involved in the international climate policy process. The REDD+ framework was further developed at subsequent COPs, and with meetings in the subsidiary bodies[5], albeit not at the pace and with the focused effort that many parties had hoped for.

Fig. 1

The Environmental Defense Fund (EDF) illustrates the relationship between REDD+ Safeguards and NCBs in the Cancún Agreement in the following graphic figure



Source: Clarifying the Role of Non-Carbon Benefits, by Sarah Marlay, Environmental Defense Fund, July 2013. (3)

At COP17 in Durban, 2011, discussions were held on how to implement a Safeguard Information System (SIS); however, the Parties were reluctant to adopt performance-based indicators on indigenous peoples' rights or clear guidance for other performance-related information. (7) The indigenous peoples present and other interested groups argued that safeguards and compliance systems had to be in place from the inception phase of REDD+ (Phase 1: REDD+ readiness and planning), prior to the succeeding phases of results-based payments (Phases 2 and 3). Parties recognized that results upon which payments would be made need to encompass non-carbon benefits such as livelihoods, biodiversity and poverty alleviation. These aspects should be discussed further in preparatory meetings in the subsidiary bodies leading up to COP18 in Qatar, December 2012. (7) Finally, at COP17 in Durban the Green Climate Fund (GCF) was launched, as agreed at COP16 in Cancún, and an interim secretariat was set up. The Green Climate Fund has set a target of mobilising US$100 billion a year by 2020. The GCF is expected to play a major role in the funding of REDD+ in the future. However, it is still not operational, and currently discussions are going on about its structure and the development of social and environmental safeguards. Indigenous peoples have asked for active observer status in the GCF governing structure and for the creation of a direct access funding modality for indigenous peoples under both the mitigation and adaptation windows of the GCF.

COP18 took place in Doha, Qatar in December 2012. An intercessional meeting in Bangkok in September 2012 had recognized NCBs as parts of results-based payments and their association with REDD+ safeguards, but this was not reflected in the Doha decisions. Apart from a decision to extend the life of

5. Subsidiary bodies:
SBSTA/SBI: The Subsidiary Body for Scientific and Technological Advice (SBSTA) and the Subsidiary Body for Implementation (SBI).
AWG-LCA: Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA)
AWG-KP: Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol (AWG-KP)
ADP: Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP)
LCA: Ad Hoc Working Group on Long-term Cooperative Action (LCA)

the Kyoto Protocol to 2020 (it had been due to expire in 2012), little progress was made at COP18, and the overall results from the conference was disappointing from an indigenous point of view. (8) Apart from vague declarations of intent, the Doha conference did not succeed in taking any decision on the future of REDD+. The subsidiary bodies also showed little progress in their work. The negotiations in the SBSTA working group ended without adopting any decisions, and postponed all discussions until 2013. The main issues still outstanding and to be discussed at forthcoming meetings are (8):

- **Modalities for national forest monitoring systems**
- **Monitoring, Reporting and Verification (MRV)**
- **Provision of information on how safeguards are addressed and respected (Safeguards Information System - SIS)**
- **Issues related to drivers of deforestation**
- **Issues related to non-carbon benefits**

All are issues that have considerable consequences and relevance for indigenous peoples, their lands, territories and livelihoods, and hence for NCBs.

On finance the REDD+ negotiations stumbled over the issue of whether a new REDD+ institution was needed or not. Parties, realizing that their differences could not be overcome in the given time frame, agreed on a one-year work plan on REDD+ financing. The entire issue of results-based finance and methodological concerns related to NCBs was to be developed through a series of workshops culminating in its expected adoption at the coming COP19 in Warsaw, November 2013. (3, 8, 9).

Numerous such preparatory subcommittee meetings have been held since COP17 in Durban 2012, the last one being in Bonn, June 2013, where SBSTA held its 38th session. The process is moving very slowly. Indigenous peoples through the International Indigenous Peoples Forum on Climate Change (IIPFCC) and caucus representations have consistently pushed for the explicit recognition and prioritization of NCBs and corresponding mechanisms at the COP19 negotiations in Warsaw, emphasizing the importance of a rights-based approach. The indigenous representation issued several statements at the meeting in Bonn on their expectations for COP19. [6] (See box 2)

Box 2

Summary of the International Indigenous Peoples Forum on Climate Change's final statement on prioritized issues that should be expected to be included in the COP 19declarations:

1. That all policies, strategies, actions and programmes related to climate change should take into account the collective rights of indigenous peoples with regard to forests, land, territories and resources, in line with international standards and instruments.
2. Full and effective participation of indigenous peoples in all REDD+ phases, governance systems and institutional arrangements, and subject to Free, Prior and Informed Consent. (cf. Cancún Agreements)
3. Independent recourse or complaint mechanisms must be available for indigenous peoples to express grievances and facilitate conflict resolution.
4. Methodological guidance on non-carbon benefits and Safeguard Information Systems must respect and promote community-based monitoring and information systems. Technical assistance and capacity building must be prioritized and supported.
5. States must demonstrate their commitment to effective and timely reporting on addressing and respecting safeguards, in all Phases of REDD+.
6. That COP19 remove or change the phrasing used in a paragraph on "livelihoods" (Annex 5) where it is stated that traditional livelihoods "may be dependent on activities related to drivers of deforestation and forest degradation." This is completely wrong, as traditional livelihoods are not related to drivers of deforestation but, on the contrary, are known to contribute both to adaptation and mitigation of climate change through indigenous forest management practices, which is well documented

Source: International Indigenous Peoples Forum on Climate Change Statement (IIPFCC) statement, 14 June 2013 (9)

6. 1. Statement delivered at the Informal Meeting with the COP 19 President on Warsaw Expectations (delivered by Ms. Jo Ann Guillao on behalf of the indigenous peoples' caucus on 6 June 2013). 2. Statement delivered at the SBSTA REDD+ Contact Group Meeting on Non-Carbon Benefits and Non-Market Based Approaches June 10 2013. (Grace Balawag of Tebtebba on behalf of the Indigenous Peoples Partnership on Climate Change and Forests.). 3. International Indigenous Peoples Forum on Climate Change Statement (IIPFCC) statement, 14 June 2013

III. Safeguards and NCBs: Imperatives for REDD+ sustainability

As mentioned above, there is increasing and widespread recognition among stakeholders that, in order to make greenhouse gas emissions reductions/removals possible and enduring in the forest sector, REDD+ must broaden its scope from a narrow, carbon-focused approach to a holistic one whereby NCBs - in association with a robust safeguards regime - play an equally important role as carbon-related measures in an integrated and synergetic interplay. NCBs are not add-ons to REDD+, nor a residual category created to satisfy do-good civil society organizations, but baseline requisites for the long-term success of REDD+ and for achieving the desired carbon benefits and emissions reductions, and curbing the drivers of deforestation. NCBs have multiple forms and expressions dependent on the national, regional and local context.

Indigenous peoples, communities and their organizations have been and remain very critical of the entire REDD+ scheme. The earlier versions of REDD+, whereby carbon trading on capital markets was seen as the financial driver, caused great concerns among indigenous peoples and other forest-dependent communities worldwide. Their main fear has been that it would lead to non-indigenous speculators and entrepreneurs taking control of indigenous resources and lands, with indigenous peoples *de facto* losing their right to self-determination by accepting REDD+. The commoditization of what is most valuable to these peoples, the forest, its embodiment of entire cosmologies and forest-dependent livelihoods, is a general concern.

This does not mean that they have no previous experiences with reification of the forest. On the contrary, extractivism has historically been the prime driver of colonization of the tropical forests. Obviously logging, both illegal and legal, is well-known to all forest-dwelling peoples who for centuries have been subject to various forms of resource extraction and alienation of their lands. But such activities are tangible and conspicuous, and can be dealt with one way or another, whereas the idea behind REDD+ and carbon financing is esoteric, abstract and subject to international systems over which they have no influence and of which they have no knowledge. The worry is obvious and understandable, particularly among peoples who have been fighting against slavery, serfdom and exploitation for centuries, struggling for their rights to land and territory, something that finally seems to be within their reach. The peoples, indigenous and others, who now have gained rights to

land and territory with secure tenure are not inclined to mortgage or gamble their land and sustenance on the market, for these are values they have fought for so inveterately for decades and, in some cases, centuries. The ingrained lack of confidence in and distrust of the State, its authorities and its foreign allies is also part of the picture. (10)

In this scenario opposition to and rejection of REDD+ is an obvious and logical conclusion for many indigenous and local communities. The only way to overcome this and develop positive opportunities in the REDD+ scheme, and thus make it acceptable to these forest dwellers, is by giving high priority to the implementation of the social safeguards stipulated in the COP16 Cancún Agreement and to the incentivization of NCBs. This also implies the unconditional and total acceptance of and respect for the provisions of ILO Convention 169 and the UN Declaration on the Rights of Indigenous Peoples (UNDRIP), and adherence to the principles of Free, Prior and Informed Consent (FPIC).

Popular resistance to REDD+ projects at the local level may jeopardize REDD+ activities and threaten REDD+ itself in the long run, as financing and investments may be at risk due to social conflict and contradictions in interests. Without consistent implementation of safeguards and without high priority given to NCBs as the basis for results-based financing, REDD+ may turn out to be counterproductive to it own objectives.

Another aspect of this is the monitoring of NCBs and public access to information on how safeguards are addressed and respected during the implementation of REDD+ activities at the country level. This is the basis of the so-called *Safeguards Information System* - SIS, which is supposed to be established in each country, as decided at COP16 (Decision 2/CP.16 para. 71 and reconfirmed during COP17 (Decision 2/CP.17 para. 64). How this is going to be spelled out remains obscure and has time and again been diluted by vague formulations on intent and postponement to upcoming SBSTA meetings. The establishment of the SIS on the basis of community-based monitoring is another indispensable prerequisite for a successful implementation and outcome of REDD+, including the production of NCBs.

Contrary to the gloomy prospects of a REDD+ with weak safeguards implementation and disregard for NCBs, a REDD+ with a fully implemented safeguards complex and proactive engagement of NCBs, a participatory monitoring system and an interactive SIS, has the potential to prompt popular backing and be embraced by indigenous communities, peoples and organizations, thus reinforcing the synergetic effect of REDD+ and ensuring a multiplication of its outcomes. Such a positive scenario will also have the potential for positive catalytic effects on financing from both public and private investors. Safeguards and NCBs are the keys to this.

IV. Case studies:
Non-Carbon Benefits and indigenous- and local community practices

The following three case studies show how NCBs are crucial for the mere existence of the forests we want to protect, and thus for REDD+. The three cases speak to different aspects of the NCB debate.

Case 1: Titling of indigenous territories protects and increases tropical forest cover[7]

Summary: Case 1 presents evidence from a study measuring land use over a 50-year period in the Peruvian Amazon and shows how demarcation and titling of indigenous community territories has led to increased forest cover, due to the sustainability of the indigenous production system. This is compared with non-indigenous cattle raisers' production in the same location over the same time span, which has led to high deforestation rates and a self-destructive and stagnating economy. The study illustrates the importance of NCBs to REDD+, and particularly the effects of land demarcation and titling of indigenous communities, its impact on governance and democracy, on social structures and livelihoods, and on environment and forest cover. The case shows that NCBs are both land tenure rights as well as subsistence and coffee production, illustrating the synergy between rights, carbon and economic benefits for the indigenous population.

7. This case is based on a research project conducted by the Danish anthropologist Søren Hvalkof, supported by the Danish Council for Development Research and carried out at the University of Massachusetts, Amherst, USA ,1994-1997. (10, 11 and 12)

The area

The area called Gran Pajonal is a high lying interfluvial plateau[8] of approximately 380,000 hectares (3,800 km²) situated in the eastern part of the central Peruvian Amazon. The area is covered with lush forest vegetation[9] combining primary forest with secondary forest growth, most predominant around the community settlements. However, the most distinctive feature in this landscape is the *pajonales* - the hill savannahs - open, grass-covered areas that are scattered all over the inner zone of the Gran Pajonal and numbering hundreds of patches of grasslands of varying size, ranging from small glades to large savannahs covering hundreds of hectares.

The population

Two different populations inhabit the Gran Pajonal: the Asheninka Indians and a group of mestizo settlers - *colonos* - with mixed backgrounds in the Andean peasant society.
The Gran Pajonal Asheninka number around 8,000 persons today (2013), distributed across some 40 Native Communities (Comunidades Nativas). The community territories are all demarcated and collectively titled in the name of each community, all with their own elected authorities and relative autonomy, guaranteed in Peruvian legislation and the national constitution. Most of the communities now have their own bilingual primary school, a small health post and several have their own multichannel shortwave radio for internal communication with neighbouring indigenous communities and organizations. All the communities together make up the Asheninka Organization of Gran Pajonal, the OAGP, a well-functioning indigenous organization with a strong and consistent leadership. The communities are all located adjacent to each other, forming one large continuous territory.

The *colono* population is concentrated in the center of the area in and around the old mission and settler colony of *Oventeni*. Today, there are around 650 settlers representing some 120 families. Most of these settlers migrated to the area in the 1960s, and a second generation of settlers born in Oventeni is gradually taking over. These *colonos* are mostly of Andean descent, with their roots in the Quechua-speaking peasant culture of the Central Andes. They self-identify as mestizo highlanders, and colonist pioneers. They are not organized in any common association. The colonist community includes many poor peasants and a few dominating and relatively wealthy cattle ranchers. (10, 11, 12)

Economy and production

The core of the Asheninka production system is a traditional Amazonian shifting horticulture, sometimes characterized as "native agroforestry" (12, 13, 14, 15). The system is based on small swidden plots averaging 1-2 hectares, with a variety of edible, commercial and utilitarian plant species in an advanced intercropping system. The structure and composition of such a garden plot varies over time as the plot gradually regenerates as forest. Every season thus has its specific composition of harvestable crops, ending with perennial tree crops such as avocado trees, peach palms and nuts. An average fallow period spans some 25 years, but the fallow cycle varies depending on the soil, location and use, before the plot can be cut and used again for a new garden plot. A relatively new tendency in market-oriented production is the cultivation of high-quality coffee for export. The Asheninka have adopted coffee as a favourite cash crop and have succeeded in adapting it to their integrated rotational cultivation system. As an integral part of their subsistence cultivation system, their coffee production costs are quite low compared to those of neighbouring mestizo coffee producers, making the Asheninka quite competitive and far less vulnerable to market fluctuations. The income from coffee production is growing, and organic certification is in process. The key to the coffee success of the Asheninka is the diverse and healthy subsistence production, which keeps the cost of social reproduction low. The fact that their land and territory is demarcated and communally-titled is an indispensable prerequisite, as it otherwise would have been appropriated by colonist cattle ranchers.

The settler economy of Oventeni is primarily based on cattle raising. Tropical forest is cleared and pasture suited to cattle grazing is instead planted. Most of the heavy work of clearing forest, planting pasture and maintaining it to avoid re-growth into shrub savannah forest has been done by cheap Asheninka labour. The indigenous labour was up to the 1990s secured through feudal exploitation systems, in patron-peon relationships. The productivity of the cattle-rearing is very low. The settler economy is vulnerable to market fluctuations and access to cheap external labour while the indigenous economy is geared towards self-sufficiency, with several "institutionalized" buffer mechanisms in times of crisis. With the growth of the combined indigenous coffee export and subsistence economy, it has been increasingly difficult for the cattle raisers to secure indigenous labour, and cattle production is gradually proving unviable and unsustainable.

8. It rises like a rocky block to an elevation that varies between 3,000 to 5,000 feet but, inside, one finds a much more friendly tableland characterized by a combination of rolling hills and steep slopes, criss-crossed by numerous streams cutting deep ravines.
9. Classified according to ecoclimatic parameters as Humid and Very Humid Montane subtropical forest (ONERN 1968:72-73).

The impacts on the forest habitat

A study of land-use patterns and changes in forest growth over a 50-year period documents the impact of these two different production systems,[10] and shows that the indigenous population has maintained almost the same ratio of forested land to land in production, albeit with a falling tendency in extension of grassland.[11]

Land use 1950s		
	Indigenous areas	**Settler area**
Forest	87%	87%
Grassland/pasture	7%	7%
Gardens and fallow	6%	6%
Settlements	-	<1%

Land use 1980s		
	Indigenous areas	**Settler area**
Forest	92%	72%
Grassland/pasture	6%	20%
Gardens and fallow	2%	7%
Settlements	<1%	<1%

Land use 1996		
	Indigenous areas	**Settler area**
Forest	91%	48%
Grassland/pasture	5%	28%
Gardens and fallow	4%	23%
Settlements	<1%	1%

The effectiveness of the indigenous production system in maintaining more than 91% forest cover is conspicuous. Moreover, the indigenous production system not merely permitted the maintenance and extension of forest. It has also allowed a sharp rise in population in the indigenous communities, where the population has tripled since the 1950s. The colonist population, on the other hand, has barely maintained the same population size as in the 1980s, but while they have increased deforestation of their production and living areas by almost 50% over the same period of time (48% with forest cover), there has been no noticeable changes in poverty level or income generation for the majority of settlers.

10. See note 7 above.
11. To be able to compare, relatively similar areas of intervention and of similar size were chosen: the colono zone around the Oventeni colony, and the Native Community of Shumahuani. Three situational time "transects" for land-use patterns where applied: The 1950s (1954 -1958), the 1980s (1983-1984) and the late 1990s (1996). The land use patterns were mapped, digitized and analyzed on the basis of aerial photo surveys from 1954 and 1958 in 1:10.000 and 1:15.000; and aerial photo surveys from 1983 and 1984 in 1:50.000. For the 1996 survey, the research project ordered a special take by the French SPOT satellite of the Gran Pajonal during the months of July-August 1996. (11)

Conclusion:

The traditional indigenous production system and livelihood has shown remarkable resilience and adaptability to modern market conditions, entering into organic coffee production for the export market. Not only has the indigenous production system resulted in 5% more forest in 1996 compared to the 1950s, it has also supported a population increase of some 200-300% between the 1950s and 1996, generated income for extremely poor indigenous families, and made a more democratic governance system possible with active participation in national and civil society.

Contrary to this stands the settler production system, based on small-scale cattle production. The *colono* population has barely been able to maintain its population size in Gran Pajonal, despite new road infrastructure and technical support. Moreover deforestation and degradation increased by 39% (from 13% in combined grass and gardens to 52% combined) between the 1950s and 1996, without notably increasing their relative living standards.

The conspicuous difference between the two production systems explains why NCBs are crucial and a prerequisite to generating long-term carbon benefits, and why indigenous knowledge and adaptability could also have a positive impact by restraining production systems that drive deforestation, such as the settler production of Gran Pajonal, if supported by the implementation of robust safeguards and the prioritization of NCBs.

The study shows that the key parameter for success is demarcation and collective titling of indigenous territories. The indigenous population did not have any lands or territories demarcated and titled until they succeeded, though massive pressure and organizational effort, in starting the demarcation and titling process of their community territories with support from a World Bank-financed regional development scheme in the late 1980s. The land titling restrained the aggressively expanding cattle economy at the time, and gave room for the development of sustainable high-quality coffee production, another important NCB in combination with the land titling.

The case of the coffee-producing Ashéninka in the Peruvian Amazon shows how social, cultural, environmental and governance aspects are interlinked and why it makes sense to give high priority to NCBs in REDD. Although this study has been done on a regional level and could be suspected of being an exception, the general tendency towards forest protection by indigenous territorial usage and management systems is well documented by other large-scale studies in Peru. (17)

The high impact that indigenous areas have on reducing deforestation points to the fact that indigenous land rights, demarcation, titling and establishment of indigenous territories is a viable strategy for REDD+, in combination with multi-use areas of other forest-dependent communities, and substantiates why NCBs should be given high priority in all stages of REDD+ implementation.

Box 3

Indigenous lands and other protected areas (ILPAs)
ILPAs may be more cost-effective than other REDD+ strategies, in part because they would be more straightforward to implement:

First, the act of declaring an ILPA typically clarifies land tenure and associated carbon rights (provided appropriate safeguards have been met, particularly related to indigenous peoples).

Second, ILPAs are "ready to go". Protected areas departments, indigenous peoples' agencies and related institutions often already exist with budgets and staff and infrastructure to receive REDD+ payments, strengthen protection, and generate results quickly.

Third, directing REDD+ funds appropriately can be straightforward. ILPAs are typically funded by governments, so payments can simply take the form of increased funding. In contrast, distributing payments to thousands of private landowners in a fair and transparent way will be more difficult. Crucially, ILPAs offer multiple benefits beyond emissions reductions. They protect biodiversity and indigenous land rights, as they are designed to do. Furthermore, they can purify water, provide food to local communities, regulate regional climate, and maintain culturally important elements of the landscape.

Quote: (19) Ricketts TH, Soares-Filho B, da Fonseca GAB, Nepstad D, Pfaff A, et al. (2010): Indigenous Lands, Protected Areas, and Slowing Climate Change. PLoS Biol 8(3): e1000331. doi:10.1371/journal.pbio.1000331

Making MRV operational in REDD+

Introducing cases 2 and 3:

To make results-based payments of NCBs operational, a Safeguards Information System (SIS) and national forest monitoring system must be in place for each country in order to document that safeguards are being met, including NCBs. In the REDD+ jargon, the instruments for informing the SIS are what is referred to as "MRV", monitoring, reporting and verification systems, an essential component of the REDD+ framework and an integral part of the REDD+ Readiness Programmes. As pointed out by several observers (22) such MRV systems have historically been a very costly affair in tropical forest environments. As REDD+ has a worldwide coverage as part of an ambitious global approach, this creates an issue of financial sustainability. The reasons for the high costs of monitoring in tropical forest environments is that it has largely been carried out by academic experts and consultants, with some support from locals, but generally as a professional, expensive and specialist-led process. The immediate logic behind this is that it requires an academically trained specialist, generally with a background in biology, ecology, geography, forestry or similar natural sciences, to be able to monitor adequately and understand the methodological implications, and that local communities may have a vested interest in local natural resources, and will thus tend to be biased in their assessments. This goes for carbon stock inventories, biodiversity monitoring or other natural resource monitoring alike. However, the operational costs of applying professional monitoring schemes globally in the REDD+ framework are far too high to be practicable, and alternative MRV systems must be designed to keep costs down. The immediate answer to this would be to use locally-based natural resource monitoring, or community-based monitoring, which would have obvious advantages in terms of cost and ease of access. However this has led to an argument that such approaches will run the risk of inaccuracy due to the untrained and non-academic background of local community members. Several scholars have been provoked by this presumption and have set out to test its validity through systematic testing and controlled comparison of the accuracy of expert monitoring and locally-based community monitoring, looking at accuracy and variability, cost and sustainability, and cultural relevance. Several studies of locally-based monitoring have thus been carried out in different regions of the world. (22, 23, 24 25, 27)

To illustrate this, we will look at the findings of two of the latest quantitative studies on the subject: Case 2 is a comparative multi-country assessment of tropical resource monitoring by local communities vs. trained scientists in Latin America, Asia and Africa[12] and Case 3 is a comparative field study of the application of community monitoring of above-ground biomass (ABG) in different tropical forest types in four Asian countries and contextualized in a REDD+ framework application.

12. The study team was led by the Danish ecologist, Finn Danielsen, who has generously provided us with the unpublished paper from the study (forthcoming in BioScience). (23)

Cases 2 and 3:
Introducing indigenous and community-based monitoring systems

Summary: The two case studies focus on the capacity of local communities to monitor biodiversity and resources in Madagascar, Nicaragua, Philippines and Tanzania (Case 2) and in Indonesia, China, Laos and Vietnam (Case 3). Both studies make a controlled comparison between local community monitoring and trained scientists' monitoring and conclude that local and indigenous communities generate similar and equally good outputs as the trained scientists, and are much more cost efficient. The cases suggest that it is fully possible to build a cheap and effective MRV system based on community monitoring of NCBs.

Case 2 is a comparative study from Latin America, Asia and Africa (2013) (23) evaluating the potential of locally-based monitoring of natural resources and biodiversity for informing conservation decision-making and intergovernmental mechanisms (such as REDD+), by comparing results of paired local and professional monitoring efforts in tropical forest habitats in four tropical countries: Madagascar, Nicaragua, the Philippines and Tanzania. The monitoring ran over 2.5 years and was conducted by 128 local people with only primary school education and 7 university-trained specialists.

The focus of the study was to compare measures of resource abundance by local community members and external scientists. It also focused on the most relevant information for informing natural resource management decisions such as the status of and trends in abundance indices. The working hypothesis was that measures of abundance in natural resources (biodiversity) would differ when assessed by community members compared to trained scientists. The study tested this hypothesis by comparing data from patrols by community members and line transect surveys by trained scientists along the same or adjacent survey routes in the same forest areas and over the same three-month period. The survey included numerous methodological considerations and parameters to make the comparison as reliable as possible. It is beyond this brief to summarize all these measures here; however some details seem warranted. (23).

The field data was collected between January 2007 and June 2009 across 34 sites in the four countries. The specific study sites were located on the basis of existing locally-based forest monitoring schemes, except in Nicaragua among the indigenous Mayagna population, where a local monitoring scheme had to be established for the purpose of the study. The study

sites and boundaries were decided by the communities and scientists together and could vary in size from a few hundred hectares to several thousand hectares but all needed to be important in terms of both biodiversity and their value for local livelihoods (23). Local community representatives helped select the participants on the basis of their interest in and experience with forest resources, which included some very experienced collectors of forest products. Most of the community participants had very limited basic education and, accordingly, literacy limitations but at least one participant in each case was able to read and write. The participants received local training for 2-3 days on how to record the forest resources during already existing forest patrols. During the field study period, the training was followed up by an annual visit to each study site to assist the community participants and collect copies of completed field forms.

The trained scientists that conducted parallel monitoring at the same sites all had academic degrees at MSc level or equivalent in natural science. They all had a minimum of 10 years' field experience in tropical forest surveying. The scientists set up their own fixed monitoring routes at the same forest sites using a recognized line transect methodology. Length of transect routes was standardized (2000-2500 m) and walking speed was kept constant. The scientists also attempted to avoid double-counting the same individuals. The scientists were working alone. Both community surveyors and scientists recorded all their observations, independent of the distance of their survey routes. Both direct sightings and indirect evidence (calls, tracks, excrements etc.) were recorded, including moving animals and clusters. The community monitoring routes followed existing monitoring patrol routes (except in Nicaragua), and thus varied in shape and length between the countries. In the Philippines and Nicaragua, the community surveyors and the scientist followed the same routes in the forest, but on different days. All these variables (and many more) were taken into account in the comparative study methodology.

Before the surveys started, the participants selected the natural resources and types of resource use events they wanted to monitor. The researchers proposed a minimum list with 5 categories: a species of large mammal, a species of small mammal, a species of bird, a type of resource use of animals and a type of resource use of plants. Based on this outline, community members decided on 68 targets to monitor, divided into three classes of taxon: 39 bird taxa, 24 mammals taxa and 5 types of resource use (e.g. cutting bamboo and hunting).

The result was that a total of 24,881 hours of monitoring by community members (19,183 hours) and trained scientists (5,698 hours) generated 5,804 paired records between community members and scientists measuring the same natural resource or resource use activity at the same sites over the same three-month period.

Summarizing the findings, it can be concluded that, in tropical forest habitats in developing countries, community members with little or no formal scientific education, who have decided which natural resources should be monitored, can generate results on abundance estimates, relative trends and temporal variation of natural resources and resource uses very similar to results generated by trained scientists.

The study found the greatest match in results between the two groups of observers when they surveyed the same route (Nicaragua, Philippines) with short time intervals between their surveys (Nicaragua). It found the lowest match in results where community members varied their survey routes among patrols (Tanzania). When there were only small differences in route, area and time of the surveys by community members and trained scientists, they produced closely similar estimates.

It can thus be concluded that, despite considerable differences between countries, cultures and the types of natural resources monitored, community members and trained scientists produced closely similar results on status and trends in species and natural resources. The study documents and highlights the potential value of locally-based natural resource monitoring for conservation decision-making across developing countries and thus for the REDD+ framework. (23)

Case study 3 (24), *Community Monitoring for REDD+: International Promises and Field Realities* (2013) was carried out in Southeast Asia's most complex, carbon-rich forests: lowland forest in Indonesia, mountain rainforest in China and monsoon forest in Laos and Vietnam, and is the first ever quantitative study of REDD+ community participation based on empirical evidence.

To determine whether communities could provide accurate monitoring of above-ground forest carbon stocks, researchers trained community members in simple measuring techniques and sent them to 289 pre-selected forest plots to measure the number of trees, tree girth and biomass per hectare. Researchers then compared their measurements to those gathered by professional foresters using handheld computers.

The study found that nearly half of official REDD+ projects, which rely on the accurate measurement of carbon trapped in forests, do not engage local communities in this data gathering, despite the UNFCCC REDD+ Safeguards assertion of the opposite. The study paper argues that locally-gathered data is not only accurate but more legitimate, cost-effective in the long run, and improves trust in REDD+ among local communities. The lead scientist Finn Danielsen explains:

"Saving the world's forests requires us to close the massive gulf between international promises and realities on the ground." "Our research shows that if more REDD+ projects were to include community monitoring, we would see a more just global effort to fight climate change that meaningfully incorporates insight from people who depend on forests for everything from their incomes to their food—and are eager to protect these precious natural resources as a result." [13]

13. Press release of 29 October 2013 for the Oslo REDD Exchange 2013.

Conclusions:

The study shows strikingly similar results between measures made by community members and professional foresters across countries and forest types. This corroborates a small but growing body of research, which suggests that community members with limited education and armed with the simplest of techniques and equipment can accurately monitor forest biomass, previously thought to be the exclusive domain of highly trained professionals.

The study also states that data gathered by communities meets the high standards of the United Nations Intergovernmental Panel on Climate Change (IPCC), and it argues that community-gathered data would strengthen current REDD+ projects. Local people would also be more likely to trust and participate in REDD+ activities if they were treated as equals in the process and ensured continued access to the forests they rely on for their livelihoods.

Despite agreement among all parties that REDD+ must involve indigenous and local communities, and despite the intentions of the Safeguards Agreement regarding the direct involvement of indigenous peoples and local communities and respect for FPIC, local engagement is still lacking.
Finally, the study points to the need to develop simple standardized methods that can be used at scale and can feed data into national information systems and the REDD+ Safeguards Information System - SIS. (25)

V. Donor landscapes, parallel initiatives and lessons to be learned

A number of initiatives to promote REDD+ through support and finance of pilot initiatives have been set up worldwide. 27 international climate funds are now operating with multilateral or bilateral donor funding, of which seven are targeting REDD+ mitigation measures and 8 REDD+ in combination with other targets. To the seven funds exclusively targeting REDD+, 2.78 billion dollars has been pledged since 2007, of which 84% has been deposited. Norway is by far the largest contributor, with a pledge of 1.6 billion through its International Climate and Forest Initiative (including the Amazon Fund with USD 1 billion), followed by the UK, Australia and the US. Altogether, 1.2 billion have been approved (2012) for spending on REDD+ activities, albeit with a slow disbursement pace, with only 486 million spent. (2012) Most of the money has been spent on "readiness" initiatives (26, 27). A few initiatives with relevance for incentivizing NCBs can be summarized:

FIP-Dedicated Grant Mechanism for Indigenous Peoples

The Forest Investment Programme - FIP [14] - is currently setting up a Dedicated Grant Mechanism (DGM) targeting Indigenous Peoples and Local Communities (IPLC). The DGM is being established under the FIP to provide grants to Indigenous Peoples and Local Communities in pilot countries to support their participation in the development of the FIP investment strategies, programmes and projects. Eight pilot countries have been selected for the first DGM experience: Brazil, Burkina Faso, the Democratic Republic of Congo, Ghana, Indonesia, Lao PDR, Mexico and Peru. The DGM has been through a long start-up process, and hearings have been held with indigenous peoples' organizations and other stakeholders in a number of locations covering all pilot countries. A great deal of critique and input has been gained from these, which the FIP seems to have taken on board.

14. The Forest Investment Fund - FIP is part of the Climate Investment Funds. The CIF is an umbrella covering four trust funds: the Clean Technology Fund (CTF), the Forest Investment Program (FIP), Pilot Programme for Climate Resilience (PPCR) and the Scaling Up Renewable Energy Programme (SREP). A fifth fund, the Strategic Climate Fund (SCF), serves as an overarching fund to support three targeted programs, FIP, PPRC and SERP.

The DGM may develop into a very interesting setup and funding mechanism for IPLCs. Because the DGM will not be operational until sometime in 2014, there is a unique opportunity to participate in the formation and shaping of this new fund, specifically targeting IPLCs. It may present a long-needed financial instrument for indigenous peoples and forest-dependent communities in relation to implementing REDD+ NCB pilot projects. The core interest of FIP in this initial phase of implementing the DGM is the accumulation, documentation and processing of information and lessons learned from the DGM-financed and supported pilot project.

Through the DGM linkage, the FIP may prove an important strategic ally for indigenous peoples in terms of creating leverage for NCBs in upcoming REDD+ negotiations and framework development, because of the broad scope of NCB activities this new funding mechanism for indigenous peoples is supposed to cover. According to the FIP design document this includes *inter alia… "support for securing and strengthening customary land tenure and resource rights and traditional forest management systems…; support, including capacity building as required, for the development of pilot project proposals…and their implementation; and support for the involvement of indigenous peoples and local communities in monitoring and evaluation of forest activities…"*. Thus NCB activities by IPLCs are recognized as legitimate and integrated parts of REDD+, and supported pilot initiatives may create important precedents for scaling up NCBs in REDD+ schemes. (28)

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

On the recipient side of the REDD+ process, many initiatives have been launched to accelerate the establishment of REDD+ programmes and to gain experience through pilot projects. One such initiative is the *REDD+ Social and Environmental Standards (REDD+ SES)*, a voluntary initiative providing a comprehensive framework of national-level or sub-national-level standards for the social and environmental performance of REDD+ programs including most of the NCB categories mentioned earlier (p.2). The international standards are intended to be adapted to each national context to provide guidance for REDD+ national program design and for monitoring and reporting on performance (31, 34). Recognizing the need for effective social and environmental safeguards and NCBs, the REDD+ Social & Environmental Standards initiative aims to define and build support for a higher level of social and environmental performance from REDD+ programs.

REDD+ SES were developed through a series of multi-stakeholder workshops engaging a diverse range of stakeholders held in Denmark, Nepal, Tanzania, Ecuador and Liberia and two public commenting periods, culminating in the publication of Version 1 in June 2010. A strengthened Version 2 of REDD+ SES and country guidelines was available in late 2012. Concerning the NCBs the SES should:

- Aim to enhance positive outcomes – respect for the rights of Indigenous Peoples and local communities, poverty reduction and biodiversity conservation – as well as avoid social and environmental harm;
- Support the design, implementation and assessment of the potential social and environmental impacts of government-led REDD+ programs, enabling consistent assessment irrespective of funding source;

The state of Acre in Brazil, the Province of Central Kalimantan in Indonesia, Ecuador and Nepal are all using the standards (since 2010). Other countries/provinces are starting to use REDD+ SES (2012), including Liberia and Tanzania, Guatemala, Mexico, the San Martin Region of Peru, Amazonas State in Brazil. (34)

The SES may constitute an engaging forum for articulating the non-carbon benefit interests of particular indigenous peoples and forest-dependent communities vis-à-vis their organizations and trying out possible models and constellations of REDD+ implementation strategies as pilot projects.

Indigenous REDD+ - a proposal from the Amazon.

The Amazonian Indigenous REDD+ Proposal is an innovative approach to REDD+ collectively developed by the Amazon Basin Indigenous Peoples and their key allies—coordinated by the regional organization Coordinator of Indigenous Organizations of the Amazon Basin (COICA). (40). The COICA represents nine national indigenous organizations in the Amazon countries of South America, covering 390 indigenous peoples with close to 3 million inhabitants.

The background for presenting an indigenous alternative approach to REDD+ was a profound frustration and critique of the structures and content of the original REDD+ scheme, by-and-large ignoring indigenous territories covering some 25 % of the Amazon basin, with an average of 2% deforestation thanks to indigenous territorial management and production practices. The COICA regards the conventional REDD+ regime not only as inadequate for curbing deforestation, but to be incoherent and directly counterproductive provoking increased socio-environmental conflicts.

In response to this the COICA has since 2009 been building an "Indigenous REDD+" mechanism based on alternative approaches, principles and strategies called "Indigenous Territories of Harmonious Life to cool the Planet". It is based on the integrity of ecosystemic services of forests and indigenous territories and not limited only to the concept of carbon and to the areas which are most threatened by deforestation. It embraces a number of NCBs of which indigenous land tenure and territorial rights are central, including implementation of FPIC for all REDD+ projects funded by multilateral and bilateral donor agencies. It proposes the prioritization of public funding tied to an effective reduction of greenhouse gas emissions and the avoidance of non-regulated or voluntary carbon credit markets. The development of COICA's proposal has been supported by the Inter-American Development Bank (BID).

The COICA and partner organizations are currently seeking support to establish a number of pilot projects to test the applicability of the Amazonian Indigenous REDD+ proposal and to improve and further the initiative. The initiative has resulted in various new agreements with funding agencies including the IDB and the FIP. Thus the FIP in August 2013 signed a agreement with the national indigenous organization of the Peruvian Amazon, AIDESEP, to set aside US$ 14.5 million to land titling of indigenous community territories, community forestry, forest governance and institutional support to indigenous organizations in the Amazon, all clearly NCBs related to REDD+ in the Amazonian indigenous version. The total agreement encompasses 40 issues and had a total budget of US$ 50 million.

Similar indigenous REDD+ pilot project initiatives are currently being developed by indigenous organizations in Asia including Tebtebba (Indigenous Peoples' International Centre for Policy Research and Education), the Asia Indigenous Peoples Pact (AIPP), the Federation of Community Forestry Users (FECOFUN) with the International Centre for Integrated Mountain Development (ICIMOD) in Nepal.

> A collective and benefits production and sharing approach is more effective for maintaining healthy, highly productive ecosystems.
>
> Given the spectacular and recurrent collapses of our global financial system, which rapidly cascades down with extremely slow recovery, how can REDD+ linked to carbon markets even be considered? We need to be much smarter than this.
>
> Kathryn Papp · Thunderbird School of Global Management (39)

VI. What to do in COP 19

The *REDD+ Safeguards Working Group* (R-SWG), which is a conglomerate of civil society organizations from North and South and indigenous organizations[15], has presented a number of excellent briefing papers (2, 5) to the UNFCCC subsidiary bodies' and workshops' meetings on different aspects of the REDD+ process and on the problems and challenges it is currently facing. A summary of their recommendations highlights what is still pending and what needs to be focused on at COP19 in Warsaw (2):

1. **Common criteria for NCBs. Countries should agree on a core set of criteria for recognition of NCBs.**
2. **National REDD+ Strategies drawn up with full participation of indigenous peoples and local communities, ensuring that programming and planning is in accordance with the specific national contexts.**
3. **Incentivizing NCBs in all phases of REDD+. Financial incentives should go beyond compensation for emissions reductions, and include improved management, forest governance, and provisions for secure land tenure and for territorial integrity of IPs, as well as other results-based financing of NCBs. Biodiversity??**
4. **Holistic approach to Results-Based REDD+ payments: "Composite approach": Neither carbon nor NCBs as the primary category but payments made on a number of performance indicators covering both carbon and non-carbon benefits. (8)**
5. **Promotion of ex-ante financing for NCBs, with associated risk assessments and funding priorities.**
6. **Monitoring of NCBs should be based on existing systems and methodologies and relate to the Safeguards Information System - SIS in a coordinated way.**
7. **Participatory community-based monitoring as prioritized MRV system and methodology, with full participation of indigenous and other local communities.**

Recommendations for the way ahead for REDD+ NCBs

The general expectations and wishes of the indigenous peoples' representatives and other civil society stakeholders made to the COP19 negotiators regarding REDD+ and the NCB track have already been summarized in the above sections of this document.

However, to move forward and establish and consolidate a more solid platform for recognition and up-scaling of NCBs in REDD+ with a particular relevance for and linkage to indigenous peoples and forest-dependent communities, the following actions will be needed:

8. **Establishment of an indigenous peoples' database and information system at national and regional levels, where the experiences and lessons learned from participation in REDD+ schemes may be accumulated and accessed by interested partners and stakeholders. Such an information system may be interactive, in support of the communication between indigenous and other stakeholders on REDD+ NCBs and similar processes, and link up to the national Safeguards Information System that will supposedly be established. This should be a private and voluntary system, and alliances with country-level civil society organizations that already have experience of such databases and information systems seem indispensable.**

15. Asia Indigenous Peoples Pact (AIPP) | Asian Indigenous Women's Network (AIWN) | Ateneo School of Government (ASoG) | Birdlife International | Center for International Environmental Law (CIEL) | Centro Mexicano de Derecho Ambiental (CEMDA) | Civic Response I ClientEarth | Climate Justice Programme (CJP) | Federation of Community Forestry Users, Nepal (FECOFUN) Greenpeace I HuMa (Association for Community and Ecology-Based Law Reform) | Indigenous Livelihoods Enhancement Partners (ILEPA) I Indigenous Peoples' Global Partnership on Climate Change and Forests Naturvernforbundet (Friends of the Earth Norway) I The Orangutan Project (TOP) | Pro Natura (Friends of the Earth Switzerland) Rainforest Foundation Norway (RFN) I Tebtebba (Indigenous Peoples' International Centre for Policy Research and Education) | Third World Network (TWN) | Wetlands International

9. **A systematic gathering and sampling of experiences from different funding mechanisms of REDD+ or REDD-like programmes targeting indigenous peoples and local communities need to be accumulated and analysed to gain experience for future REDD+ NCB projects and create qualified feedback from stakeholders for the next phases of REDD+.**
10. **A more systematic network of REDD+ and NCB pilot projects needs to be established among indigenous and local community stakeholders, using existing organizational structures to consolidate such a network on a regional and global scale, aimed at creating leverage for stronger input into the national REDD+ processes and informing decision makers at the political level about NCBs and similar initiatives.**
11. **Cooperation agreements need to be made with the FIP and the DGM to support indigenous REDD+ pilot projects, and particularly NCBs, as has been emphasised in the ToR for the DGM. It is obviously in the interests of the FIP to advance the operation of the DGM, which must move forward despite reluctant decisions at the COP19. The creation of precedents for NCB-financing in REDD+ may have a positive impact on the decision-making process in the long run. The above-mentioned actions may also be subject to funding from the DGM, and may very well coincide with the interests of the FIP.**

Final remarks

Whatever modality the REDD+ may take and whatever financial mechanisms might be invented to sustain carbon sequestration, the tropical forest habitats of the world are not isolated biotic environments, but integrated social and ecological systems, inhabited for millennia by a variety of human populations that in a dynamic and synergetic interplay have been part of the creation of these forests and their biodiversity. The numerous Non-Carbon Benefits these populations, indigenous or other, have generated for the maintenance of these forest systems are invaluable. The indigenous peoples and other forest dependent communities are not disappearing, have no intentions of going away, and are increasingly taking an active part in the international processes to establish workable climate change policies. They are so to speak the incarnation of NCBs. Without high priority to NCBs in the institutionalization of REDD+ and its safeguards system there will be no REDD+. Fortunately the major institutional operators behind REDD are increasingly recognizing that NCBs are the *sine qua non* for REDD+ and that indigenous peoples and local communities are not the problem but the solution.

References:

1. Report of the Conference of the Parties on its eighteenth session, held in Doha from 26 November to 8 December 2012. **http://unfccc.int/bodies/body/6383/php/view/reports.php**

2. REDD+ Safeguards Working Group (2013). Moving REDD+ Beyond Carbon: Non-Carbon Benefits at COP 19 and beyond. **http://es.scribd.com/doc/181300995/REDD-Safeguards-Working-Group-Moving-REDD-Beyond-Carbon-Non-Carbon-Benefits-at-COP-19-and-Beyond**

3. Marlay, Sarah (2013): Clarifying the Role of Non-Carbon Benefits in REDD+. Environmental Defense Fund. Policy paper.

4. Meyer, Chris (2013) Clarifying the Role of Non-Carbon Benefits in REDD+ **http://blogs.edf.org/climatetalks/2013/08/19/clarifying-the-role-of-non-carbon-benefits-in-redd/**

5. REDD+ Safeguards Working Group (2013). No Safeguards, No Results, No Finance. **http://es.scribd.com/doc/181300996/REDD-Safeguards-Working-Group-Briefing-Paper-No-Safeguards-No-Results-No-Finance**

6. Forests of the World, CARE, IBIS, and IWGIA. (2013). REDD+ Success Depends on Non-Carbon Benefits: Policy Brief.

7. FPP: Durban COP 17: UNFCCC fudges decision on climate finance and makes little progress on REDD+ safeguard implementation. **FPP E-Newsletter February 2012**

8. UNFCCC COP 18 makes no concrete decisions on REDD+ in Doha and delays further discussions until mid-2013. FPP E-Newsletter February 2013. **http://www.forestpeoples.org/topics/un-framework-convention-climate-change-unfccc/news/2013/02/unfccc-cop-18-makes-no-concrete-de**

9. International Indigenous Peoples' Forum on Climate Change (IIFPCC) Statements at the 38th sessions of the Subsidiary Bodies to the UNFCCC, Bonn, Germany June 2013 **http://www.forestpeoples.org/topics/redd-and-related-initiatives/news/2013/06/international-indigenous-peoples-forum-climate-chan**

10. Hvalkof, Søren (2012). Privatization of land and the indigenous community: Tenure, titling and the social contract in Latin America. Pp.141-183 in: Latin American responses to neo-liberalism: Strategies and struggles. Edited by Vibeke Andersson & Steen Fryba Christensen. Aalborg University Press

11. 29A. Hvalkof, Søren. 2006. Progress of the victims: political ecology in the Peruvian Amazon. In: Reimagining Political Ecology (eds. Biersack, A. and J.B., Greenberg). Pp. 195–232. Durham: Duke University Press

12. 29B Hvalkof, Søren 2008: Colonization and Conflict in the Amazon Frontier: Dimensions of interethnic relations in the Peruvian Montaña, pp. 217-288 in *Frontier Encounters: Indigenous Communities and Settlers in Asia and Latin America*, edited by Danilo Geiger, IWGIA and Swiss National Centre of Competence in Research North-South.

13. Denevan, William M. (2001). Cultivated Landscapes of Native Amazonia and the Andes. Oxford: Oxford University Press.

14. Denevan, William M. (2005). 1492 The pristine myth: The landscape of the Americas in 1492. Annals of the Association of American Geographers 82:369-385.

15. Denevan , William M. ; Flores Paitan S and Padoch C (1984). Indigenous Agroforestry in the Northeast Peruvian Amazon. Project report, Consortium for the Study of Man's Relationship to his Global Environment.

16. Christine Padoch (Author), William M. Denevan (Editor) (1987). Swidden-Fallow Agroforestry in the Peruvian Amazon (Advances in Economic Botany Vol. 5)

17. Oliveira, P.J.C., G.P. Asner, D.E. Knapp, A. Almeyda, R. F. Raybin, A. Almeyda, R.

Galván- Gildemeister, R.C. Smith, and S. Keene. (2007). Land- Use Allocation Protects the Peruvian Amazon. Science Vol. 317 31 August 2007 **www.sciencemag.org**

18. Reserves Protect against Deforestation Fires in the Amazon. J. Marion Adeney, Norman L. Christensen Jr., Stuart L. Pimm* Nicholas School of the Environment, Duke University, Durham, North Carolina, United States of America

19. Ricketts TH, Soares-Filho B, da Fonseca GAB, Nepstad D, Pfaff A, et al. (2012). Indigenous Lands, Protected Areas, and Slowing Climate Change. PLoS Biol 8(3): e1000331. doi:10.1371/journal.pbio.1000331

20. Nelson A, Chomitz KM (2011). Effectiveness of Strict vs. Multiple Use Protected Areas in Reducing Tropical Forest Fires: A Global Analysis Using Matching Methods. PLoS ONE 6(8): e22722. doi:10.1371/journal.pone.0022722

21. Christoph Nolte, Arun Agrawal, Kirsten Silvius, Britaldo Soares- Filho (2013). Governance regime and location influence avoided deforestation success of protected areas in theBrazilian Amaz on, PNAS. **www.pnas.org/cgi/doi/10.1073/pnas.1214786110**

22. Fry, Ben Palmer (2011). Community forest monitoring in REDD+: the 'M' in MRV? Environmental science & policy 14 (2011) 181–187.

23. Finn Danielsen, Per M. Jensen, Neil D. Burgess, Ronald Altamirano, Philip A. Alviola, Herizo Andrianandrasana, Justin S. Brashares, A. Cole Burton, Indiana Coronado, Nancy Corpuz, Martin Enghoff, Jon Fjeldså, Mikkel Funder, Sune Holt, Hanne Hübertz, Arne E. Jensen, Richard Lewis, John Massao, Marlynn M. Mendoza, Yonika Ngaga, Christian B. Pipper, Michael K. Poulsen, Ricardo M. Rueda, Moses K. Sam, Thomas Skielboe, Marten Sørensen, And Richard Young. (2013). A Multi-Country Assessment of Tropical Resource Monitoring by Local Communities. Unpublished manuscript. Forthcoming BioScience

24. Danielsen, F., T. Adrian, S. Brofeldt, M. van Noordwijk, M. K. Poulsen, S. Rahayu, E. Rutishauser, I.Theilade, A. Widayati, N. The An, T. Nguyen Bang, A. Budiman, M. Enghoff, A. E. Jensen, Y. Kurniawan, Q. Li, Z. Mingxu, D. Schmidt-Vogt, S. Prixa, V. Thoumtone, Z. Warta, and N. Burgess (2013). Community Monitoring for REDD+: International Promises and Field Realities. *Ecology and Society* **18**(3): 41. **http://dx.doi.org/10.5751/ES-05464-180341**

25. Danielsen, F., M. D. Skutsch, N. D. Burgess, P. M. Jensen, H. Andrianandrasana, B. Karky, R. Lewis, J. C. Lovett, J. Massao, Y. Ngaga, P. Phartiyal, M. K. Poulsen, S. P. Singh, S. Solis, M. Sørensen, A. Tewari, R. Young, and E. Zahabu (2011). At the heart of REDD+: a role for local people in monitoring forests? Conservation Letters 4:158–167. **http://dx.doi.org/10.1111/j.1755-263X.2010.00159.x**

26. Schalatek, Liane and Alice Caravani, Smita Nakhooda, Charlene Watson(2012). Climate Finance Thematic Briefing: REDD+ Finance. Heinrich Böll Stiftung and ODI.

27. Skutsch, Margaret, Ben Vickers, Yola Georgiadou, Michael McCall (2011). Alternative models for carbon payments to communities under REDD+: A comparison using the Polis model of actor inducements. Environmental Science & Policy 14 (2011) pp. 140-151

28. Climate Investment Fund, November 29, (2011). Design for the Dedicated Grant Mechanism for Indigenous Peoples and Local Communities to be established under the Forest Investment Program.

29. International Indigenous Peoples' Forum on Climate Change (IIFPCC) Statements at the 38th sessions of the Subsidiary Bodies to the UNFCCC, Bonn, Germany June 2013 (FPP E-Newsletter **http://www.forestpeoples.org/topics/redd-and-related-initiatives/news/2013/06/international-indigenous-peoples-forum-climate-chan)**

30. Global forests, local development? An Assessment of REDD Readiness in Latin America

By Ana Carolina Alfinito Vieira (MPP 2012) Hertie School of Governance

31. Mongabay.com Carbon Finance Lexicon: **http://rainforests.mongabay.com/carbon-lexicon/REDD+-Social-and-Environmental-Standards.html** .The text is derived from the Finance and Carbon Markets Lexicon prepared by the Forest Carbon, Markets and Communities (FCMC) Program and Tetra Tech ARD and reviewed by the United States Agency for International Development (USAID).

32. Langton, M., Rhea, Z.M., and L. Plamer. 2005. Community-oriented protected areas for indigenous peoples and local communities. Journal of Political Ecology 12: 23–50.

33. Bretton Woods Project Climate Investment Funds Monitor 8; 21 October 2013: **http://www.brettonwoodsproject.org/2013/10/cifs-executive-summary/**

34. The REDD-SES Web Site: **http://www.redd-standards.org/**

35. The Climate Investment Funds' web site: **https://climateinvestmentfunds.org**

36. Reflections on COP 18 in Doha: Negotiators Made Only Incremental Progress - See more at: **http://insights.wri.org/news/2012/12/reflections-cop-18-doha-negotiators-made-only-incremental-progress#sthash.IcMNWySz.dpuf** Jennifer Morgan, December 14, 2012, World Resources Institute

37. Indigenous peoples and the Green Climate Fund. A technical briefing for Indigenous Peoples, policymakers and support groups. August 2012 Forest Peoples Programme and Indigenous Peoples' Network of Malaysia (JOAS)

38. The REDD Desk - a collaborative resource for REDD readiness. (2013) Holistic Management of Indigenous Territories. Development of the Amazon Indigenous REDD+ Proposal. **http://theredddesk.org/resources/holistic-management-indigenous-territories-development-amazon-indigenous-redd-proposal**

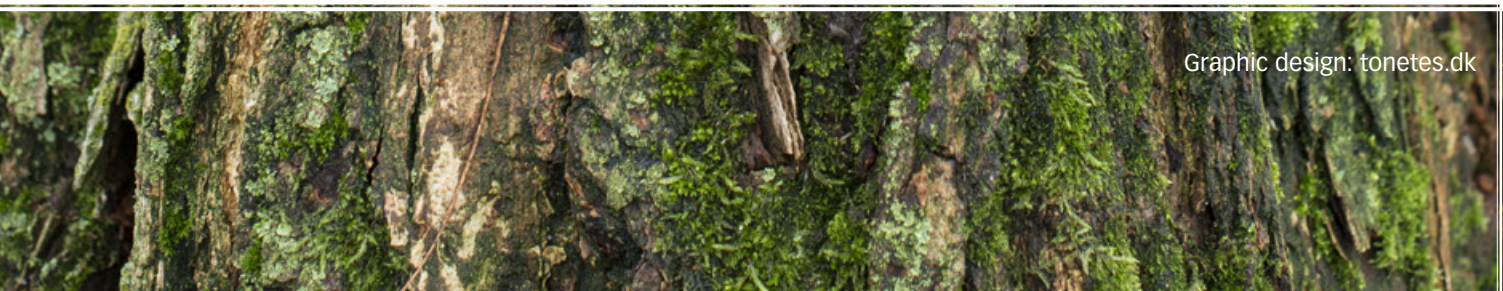
39. **https://www.facebook.com/kathryn.papp.7**

IWGIA

IBIS
Uddannelse skaber udvikling

VERDENS SKOVE .ORG

care®
JO FØR | JO BEDRE



Graphic design: tonetes.dk