Integrating Environmental & Social Safeguard Principles in PRAP: Lessons from Lam Dong

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Netherlands
Development
Organisation

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Outline

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   - Delivering Multiple Benefits from REDD+ in SE Asia (MB-REDD)
2. **A Multiple Benefits Approach to Environmental & Social Safeguards in REDD+**
3. **Integrating Environmental & Social Safeguard Principles in the Lam Dong PRAP**
   - Participatory Impact Assessment & Monitoring (PIAM)
   - Overview of the PRAP development process
   - Environmental & Social Impact Assessment
   - Results
   - Outcomes & Shortcomings
   - Lessons Learned/Reflections

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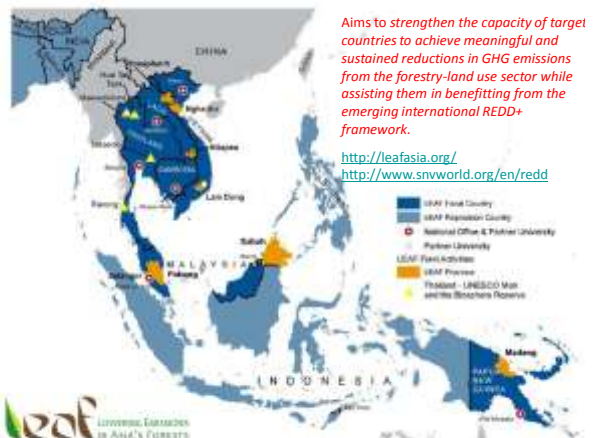## 1.   SNV Support to REDD+ Development in Lam Dong

Lowering Emissions from Asia's Forests (LEAF)/USAID

- Regional Project: Cambodia, Laos, Malaysia, PNG, Thailand, Vietnam (2011-2016)
- 4 Components:
  1. Regional Platforms
  2. Policy and Market Incentives
  3. Capacity Building
  4. Demonstration Models
- SNV is lead implementing partner for Laos and Vietnam

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Aims to *strengthen the capacity of target countries to achieve meaningful and sustained reductions in GHG emissions from the forestry-land use sector while assisting them in benefitting from the emerging international REDD+ framework.*

http://leafasia.org/
http://www.snvworld.org/en/redd

1. SNV Support to REDD+ Development in Lam Dong

LEAF in Lam Dong

- With MARD/VNFOREST, DARD Lam Dong and development organisations (especially UN-REDD)

- Disseminating best practices on sustainable reduction in GHG emissions from forest-land use sector
- Development of a Provincial REDD+ Action Plan
- Technical training to partners on REL development and carbon assessment and developing training curricula on climate change, Payment for Ecosystem Services (PES) and REDD+
- Reducing emissions through sustainable forest management planning and forest certification feasibility assessment

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1. SNV Support to REDD+ Development in Lam Dong

Delivering Multiple Benefits from REDD+ (MB-REDD)/BMU-ICI

- At national level: Developing a country safeguards approach for REDD+
- At subnational level: working with DARD and international partners (UN-REDD) since 2011

- Complements LEAF in Lam Dong
- Integrating multiple environmental and social benefits into the Lam Dong PRAP
- Development and piloting of participatory forest monitoring (PFM) approaches: carbon, biodiversity and social

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2. A Multiple Benefits Approach to Environmental & Social Safeguards in REDD+

The Multiple Benefits Approach

- **Minimising environmental & social risks**
- **Maximising multiple benefits** '*triple bottom line*'

(economic, environmental and social), '*no regrets*'

- 3 key strategies for delivering multiple benefits:
  1. **Strengthening country-led safeguard Systems**
  2. **Mainstreaming multiple benefit objectives into subnational planning**
  3. **Incentivising multiple benefits at the site/project level of activity implementation**

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2. A Multiple Benefits Approach to Environmental & Social Safeguards in REDD+

Mainstreaming Multiple Benefits into Subnational Planning

- An opportunity to operationalise national REDD+ programmes - including safeguard commitments
- 4 main types of methodological approaches can be used to mainstream multiple benefits into subnational planning:
  1. Spatial analysis (mapping and modelling bio-physical, ecological, social and economic features)
  2. Economic analysis (ecosystem valuation, opportunity costs)
  3. Impact assessment (predict impacts of policy options)
  4. Multi-criteria analysis (considers multiple outcomes)
- SNV Sourcebook:

multiple benefits into subnational land-use planning sourcebook fo

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3. Integrating Environmental & Social Safeguard Principles in the Lam Dong PRAP

Participatory Impact Assessment & Monitoring (PIAM)

PIAM was initially developed and piloted as a technical approach

The primary objectives of PIAM are to:

1. Ensure subnational REDD+ programme achieve their social and environmental objectives, and minimize trade-offs
2. Provide a system for monitoring the social and environmental effects of the REDD+ programme
3. Generate information on how REDD+ safeguards are being addressed and respected (a prerequisite for results-based financing)

Secondary objectives include: improved permanence, reduced leakage, reduced risks of intervention failure, increased stakeholder participation (towards free, prior and informed consent).

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3. Integrating Environmental & Social Safeguard Principles in the Lam Dong PRAP

Participatory Impact Assessment & Monitoring (PIAM)

- PIAM combines 3 existing methods:
  1. **Institutional/Stakeholder Analysis**
  2. **Participatory Theory of Change Analysis**
  3. **Transmission Channels (or policy impacts) Analysis**
- Draws on Poverty & Social Impact Assessment (PSIA/World Bank, 2003) & Participatory 'theory of change'
- 5 stages, 17 steps

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Stage	Name	Activities
0	**Preparation & Training**	- Stakeholder Mapping & Analysis - Transmission Channel Analysis - Workshop Facilitator Training
1	**Challenges Analysis Workshop (2 days)**	- Env & Social Benefit/Risks Analysis - High Risk Identification/Selection - Problem Tree Analysis
2	**Solutions Analysis Workshop (2 days)**	- Results Chains -> Theory of Change Statements - High risk identification/selection - Problem Tree Analysis
3	**Monitoring Plan Workshop (2 days)**	- Objective & indicator setting - Env. & Social Monitoring Plan - Data reporting protocol
4	**Reporting**	- Write-up - Presentation of results (workshop)

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Revised Approach

- **PIAM was found to be too abstract and results or outcomes did not match local realities. A revised approach was developed:**
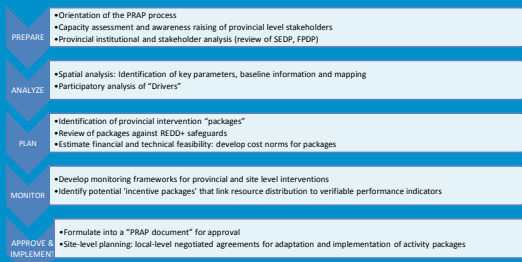1. **Institutional/Stakeholder Analysis:** Institutional analysis and Participatory Governance Assessment (UN-REDD)
2. **Spatial Analysis** to identify REDD+ intervention areas based on carbon, biodiversity and social criteria (LEAF)
3. **Drivers Analysis** (LEAF)
4. **Development of REDD+ scenarios, PaMs and site-matching** (LEAF)
5. **Environmental and Social Impact Assessment (ESIA)** of proposed interventions (MB-REDD)
6. **Development of Monitoring Framework**

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3. Integrating Environmental & Social Safeguard Principles in the Lam Dong PRAP

Overview of the PRAP Development Process

PREPARE
- Orientation of the PRAP process
- Capacity assessment and awareness raising of provincial level stakeholders
- Provincial institutional and stakeholder analysis (review of SEDP, FPDP)

ANALYZE
- Spatial analysis: Identification of key parameters, baseline information and mapping
- Participatory analysis of "Drivers"

PLAN
- Identification of provincial intervention "packages"
- Review of packages against REDD+ safeguards
- Estimate financial and technical feasibility: develop cost norms for packages

MONITOR
- Develop monitoring frameworks for provincial and site level interventions
- Identify potential 'incentive packages' that link resource distribution to verifiable performance indicators

APPROVE & IMPLEMENT
- Formulate into a "PRAP document" for approval
- Site-level planning: local-level negotiated agreements for adaptation and implementation of activity packages
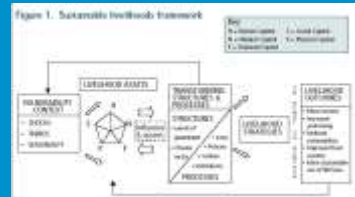
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3. Integrating Environmental & Social Safeguard Principles in the Lam Dong PRAP

Environmental and Social Impact Assessment (ESIA)

- **Sustainable Livelihoods Framework (SLF) approach** to analyse potential outcomes and impacts of proposed policies and measures

Figure 1. Sustainable livelihoods framework

- Use of secondary data and reports
- Consultation workshop to verify findings

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3. Integrating Environmental & Social Safeguard Principles in the Lam Dong PRAP

ESIA Results: PRAP Policies

- **Identified 5 groups of proposed policy measures in the PRAP:**
  1) **Human resource development**
  2) **Restoration of forest land encroached and support to improve the livelihoods of the people living near forests**
  3) **Completion of the planning related to forest land use**
  4) **Completion of forest contracting, forest lease and forest capital development**
  5) **Utilise and manage forest resource sustainably: FSC on plantation forest**

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3. Integrating Environmental & Social Safeguard Principles in the Lam Dong PRAP

ESIA Results: Key Impacts

Potential positive impacts were identified for all PaMs:

- ✓ Enhanced forest protection and enforcement measures -> biodiversity, forest cover and quality, ecosystem services etc.
- ✓ Communities can benefit from livelihood development interventions and improved capacity

Negative impacts:

- ✕ Few negative environmental risks
- ✕ Moderate social impacts, including loss of livelihoods due to strengthened conservation and reforestation on agricultural lands; REDD benefits could trigger social conflict and inequity

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ESIA Results: Measures to Enhance Benefits and Mitigate Impacts

- Promote capacity building, awareness raising, role and negotiation skills in planning processes
- Ensure site-based planning is consistent with local development goals and contexts
- Enhance efficiency and effectiveness of PFES to early compensate for efforts
- Degraded natural forests to be contracted to local communities to provide economic incentives

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3. Integrating Environmental & Social Safeguard Principles in the Lam Dong PRAP

Outcomes & Shortcomings:

The final Lam Dong PRAP includes an explicit section on environmental and social safeguards. However, there are a number of shortcomings:

- Limited participation in the ESIA process (especially affected groups)
- No consideration of existing safeguard measures/systems and gaps
- Generic analysis of impacts (and only partial use of the SLF)
- Enhancement/Mitigation measures are vague, are not clearly tied to PaMs and lack guidance for implementation
- No specific measures targeted at vulnerable groups
- The full range of Cancun safeguard principles are not addressed in a systematic way – inadequate for informing a National SIS
- Monitoring of safeguard processes, outcomes and impacts is not detailed/ no meaningful guidance
- No Grievance Redress Mechanism

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3. Integrating Environmental & Social Safeguard Principles in the Lam Dong PRAP

Lessons Learned/Reflections:

- ✓ Keep methodological approaches as straightforward as possible (ToC and TCA may be too abstract/theoretical)
- ✓ Use the Cancun safeguard principles to frame how env/social safeguards are addressed throughout the PRAP (from
- ✓ Consider how we can use existing safeguards and systems to implement and monitor REDD+ safeguards
- ✓ Increased participation of affected peoples, especially vulnerable groups during impact assessment and planning
- ✓ Need to tie enhancements/mitigation measures to specific activities
- ✓ With more specific safeguards measures, clearer monitoring indicators and frameworks will emerge

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Thank You!!

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