

## REDD+ Social & Environmental Standards

### Draft REDD+ SES Version 2 (version of 9<sup>th</sup> February 2012) revised 22<sup>nd</sup> June 2012)

#### **The evolution of the REDD+ SES**

REDD+ SES were developed through a participatory and inclusive process from May 2009 through workshops in four developing countries and two public comment periods leading to publication of Version 1 in June 2010. An International Standards Committee representing a balance of interested parties including governments, Indigenous Peoples' organizations, community associations, social and environmental NGOs and the private sector oversees the initiative. The Climate, Community & Biodiversity Alliance (CCBA) and CARE International serve as the international secretariat of the REDD+ SES initiative with technical support from the Proforest Initiative.

Ecuador, the State of Acre in Brazil, Nepal, and the Province of Central Kalimantan in Indonesia have started using the ~~standards~~ REDD+ SES. They are all following the same country-led multi-stakeholder process detailed in a separate document 'Guidelines for the Use of the REDD+ SES at country level', which involves three core elements: governance, interpretation and assessment (more information is available at [www.redd-standards.org](http://www.redd-standards.org)). A number of other countries/provinces are considering starting to use REDD+ SES including Guatemala, Mexico, San Martin Region in Peru, Amazonas State in Brazil, Liberia, and Tanzania.

#### **Objectives of the revision**

Drawing on emerging experience in countries using REDD+ SES and the guidance provided on safeguards for REDD+ activities by the Conference of Parties to the United Nations Framework Convention on Climate Change, this revision to develop Version 2 of the REDD+ SES aims to:

1. streamline the principles, criteria and indicators to reduce duplications and redundancy;
2. address gaps so that REDD+ SES all social and environmental elements of the Cancun safeguards are fully addressed;
3. make the indicators simpler to understand and translate;
4. reduce the overall number of indicators;
5. maintain the quality and comprehensiveness of the REDD+ SES framework.

#### **A new format for the framework for indicators**

Experience from using ~~V~~version 1 suggested that a simpler form of indicators is needed at both global and country levels to make REDD+ SES easier to understand at all levels. The new format ~~separates~~ breaks down each indicator into 'essence' – the core idea – and 'qualifiers' – the key elements of quality. ~~out:~~

~~'essence' of an indicator – the core idea – from~~

~~'qualifiers' – phrases describing key aspects of process or outcome, key conditions, and other specific points that must be taken into account.~~<sup>2</sup>

Where possible, language has been simplified and harmonized. In some cases, Version 1 indicators have become qualifiers of draft Version 2 indicators which has led to a reduction in the total number of indicators. Version 2 indicators also avoid the use of footnotes – relevant footnotes have been included as qualifiers or moved to the criteria level.

#### **The revision process**

~~This~~ Each draft of REDD+ SES Version 2 (9<sup>th</sup> February 2012) has been prepared by the REDD+ SES Secretariat based on feedback from stakeholders in countries using the standards and other stakeholders and has been reviewed and ~~revised~~ approved by the International Standards Committee before publication. A draft REDD+

<sup>2</sup> Note that the word 'includes' at the beginning of a qualifier means 'the scope of this indicator includes.....'. The word 'including' at the beginning of a qualifier is used when the qualifier should be read as a specific part of the indicator sentence. 'Applies to' at the beginning of a qualifier means 'this indicator applies to.....'.

~~SES Version 2 was published on 9<sup>th</sup> February 2012 and comments were invited from members of the public on this document during a 60-day period from 9<sup>th</sup> February until 9<sup>th</sup> April 2012. A total of 27342 comments were received from 143 people/organizations. A new draft REDD+ SES Version 2 has been prepared will be revised based on these comments and a response to has been prepared to explain how each comment has been addressed. This draft REDD+ SES Version 2 and the response to comments are being published on 22<sup>nd</sup> June 2012 and comments are invited during a 30-day period until 21<sup>st</sup> July 2012 to provide an opportunity for stakeholders and other members of the public to review the revised version and to raise any outstanding issues that they feel have not been adequately addressed. s-received and a second public comment period is planned for May and June 2012. Specific comments about the content of the standards and suggestions for ways to clarify or improve the text will be much appreciated.~~

~~This The draft REDD+ SES Version 2 of (9<sup>th</sup> February) is available in English, Spanish, French and Portuguese. This Version of 22<sup>nd</sup> June 2012 is currently available in English and other language versions will be available soon. and will also be available soon in Spanish and French. Comments may be submitted in English, French, Spanish, Portuguese or Bahasa Indonesian. Comments about words or phrases that may be problematic to translate would be very welcome.~~

~~The 'Guidelines for the use of REDD+ SES at country level Version 2' are also being revised in response to the comments received during a first public comment period (5<sup>th</sup> April to 4<sup>th</sup> June 2012) and are being prepared for a second public comment period.~~

~~The 'Guidelines for the use of REDD+ SES at country level' are also being revised and are available for public comment until ?????.~~

Comments should be submitted via the form provided at [www.redd-standards.org](http://www.redd-standards.org).

### Need for the standards

While activities that reduce emissions from deforestation and forest degradation (REDD) and contribute to conservation, sustainable management of forests and enhancement of forest carbon stocks (REDD+) have the potential to deliver significant social and environmental ~~co~~-benefits, many have also highlighted the serious risks notably for Indigenous Peoples and local communities, and in particular for marginalized<sup>2</sup> and/or vulnerable<sup>3</sup> social groups within these ~~forest dependent~~ communities. Recognizing growing awareness at both international and national levels of the need for effective social and environmental safeguards, ~~this the REDD+ SES~~ initiative aims to define and build support for a higher level of social and environmental performance from REDD+ programs.

**Comment [j1]:** Avoiding the term co-benefits since these other benefits are often considered to be primary benefits of a REDD+ program

**Comment [j2]:** Indigenous Peoples and local communities affected by REDD+ programs may not be forest-dependent

### Role of the REDD+ Social & Environmental Standards

REDD+ SES can be used by governments, NGOs, financing agencies and other stakeholders to support the design and implementation of REDD+ programs that respect the rights of Indigenous Peoples and local communities and generate significant social and biodiversity ~~co~~-benefits. These standards are designed ~~to work for the new global REDD+ regime expected to emerge out of ongoing UNFCCC and related negotiations, that is~~ for government-led programs of policies and measures implemented at national or state, ~~provincial, or other regional~~ level and are relevant for all forms of fund-based or market-based financing. ~~By providing a comprehensive framework of key issues to address with respect to the social and environmental~~

<sup>2</sup> 'Marginalized' people or groups are those that have little or no influence over decision-making processes. Marginalization may be related to a range of factors including gender, ethnicity, socio-economic status, and religion. The REDD+ Social & Environmental Standards explicitly adopt a differentiated approach that seeks to identify and address marginalization in all its forms.

<sup>3</sup> 'Vulnerable' people or groups are those lacking the assets on which secure and sustainable livelihoods are built (social, cultural, human, financial, natural, physical and political) and/or having high exposure to external stresses and shocks, including climate change, that may affect these assets and/or peoples' ability to utilize these assets. Forest dependency may be an important factor affecting vulnerability particularly where the REDD+ program itself may change access to forest resources. In many situations marginalization exacerbates vulnerability, e.g. marginalization by gender. .

performance of a REDD+ program, the standards provide guidance to assist with REDD+ design and also provide a mechanism for monitoring and reporting on the social and environmental performance of REDD+ programs during implementation. REDD+ SES provide countries<sup>4</sup> with a tool to address the REDD+ safeguards listed in Annex 1 of the Cancun agreement (UNFCCC decision 1/CP.16 appendix 1) (with the proviso that REDD+ SES do not address issues related to accounting for greenhouse gas emissions), consistent with the guidance on systems for providing information on how safeguards are addressed and respected agreed at the Durban UNFCCC conference of parties (UNFCCC COP 17 Guidance on systems for providing information on how safeguards are addressed and respected and modalities relating to forest reference emission levels and forest reference levels as referred to in decision 1/CP.16).<sup>5</sup>

**Comment [j3]:** Responding to comment 0.22 clarifying that REDD+ SES does not fully cover all UNFCCC safeguards eg only partial coverage of (f) and (g)

REDD+ SES were developed through extensive consultations to define high social and environmental performance of government-led REDD+ programs and they provide a comprehensive framework of key issues and elements of quality that can be used consistently across countries while enabling tailoring to the country context.

A primary role for REDD+ SES is to provide a mechanism for country-led, multi-stakeholder assessment of REDD+ program design, implementation and outcomes to enable countries to show how internationally- and nationally-defined safeguards are being addressed and respected. The assessments are important for adaptive management to improve the design and implementation of the REDD+ program, as well as to build and maintain support for the REDD+ program among stakeholders, especially those concerned about risks, including local people affected by the program, or national and international observers. A country can use REDD+ SES to support monitoring and reporting on safeguards throughout implementation of the REDD+ program and to develop a safeguards information system that can respond to UNFCCC guidelines and donor or other reporting needs.

**Comment [j4]:** Responding to comment 0.11 - Include role of the standards in minimizing social, environmental and governance risks and promoting stakeholder support

By providing a comprehensive framework of key issues to address with respect to the social and environmental performance of a REDD+ program, REDD+ SES can also assist with the design of a REDD+ program. The multi-stakeholder process for developing country level indicators for REDD+ SES can support awareness-raising, capacity building and consultations for country-specific interpretation of safeguards for REDD+. This can feed in to gap analysis and development of policies, laws and regulations, institutions, processes and procedures and grievance mechanisms which, along with monitoring and reporting, are important elements of a country's safeguards system for REDD+.

REDD+ SES play a different role from other international safeguards initiatives and existing national processes that provide different kinds of support for aspects of development of a country safeguards system for REDD+. REDD+ SES can be used effectively in complement with the Strategic Environmental and Social Assessment (SESA) process of the Forest Carbon Partnership Facility (FCPF) or the Social and Environmental Principles and Criteria (SEPC) and associated tools of the UN-REDD Programme.

## Components of the standards

This document provides the 'REDD+ SES content' and accompanies a separate document 'Guidelines for the use of REDD+ Social & Environmental Standards at country level' that defines the 'REDD+ SES process'. Together, the REDD+ SES content and process provide a 'standards system' which is a mechanism that can be used to show how safeguards are being addressed and respected, including how multiple benefits are being delivered.

<sup>4</sup> 'Country' refers to the jurisdiction leading the REDD+ program, which could be at national, state, provincial or other level.

<sup>5</sup> A table showing correspondence between REDD+ SES principles Version 2 and UNFCCC REDD+ safeguards is provided in an Annex to this document Appendix 1.

The REDD+ SES consist of principles, criteria and indicators which define issues of concern and conditions to be met to achieve high social and environmental performance and a process for assessment.

- **The principles** provide the key objectives that define high social and environmental performance of REDD+ programs.
- **The criteria** define the conditions that must be met related to processes, impacts and policies in order to deliver the principles.
- **The indicators** define quantitative or qualitative the information needed to show progress achieving a that the criterion, a are met. REDD+ SES Version 2 separates the indicators into:
  - 'essence' of an indicator - the core idea – followed by
  - 'qualifiers' - key elements of quality describing important aspects of process or outcome, important elements that should be addressed in the scope of the indicator and other specific points that must be taken into account.<sup>6</sup> The essence and all the qualifiers of each indicator are required to demonstrate high performance. The qualifiers are not optional elements. In some cases, the essence ensures sufficient quality of information and no qualifiers are included.

**Comment [j5]:** Responding to comments 0.17 and 0.19 - Add text on essence and qualifiers as in Guidelines doc. Also policy, process and outcome indicators. explain the role of essence/qualifiers. Explain that qualifiers are not optional. People are concerned that some indicators don't have qualifiers

Each of the framework indicators aims to assess one aspect that is important to address to achieve the criterion. The indicators can generally be characterized into three main categories:

- Policy indicators assess policies, strategies, legal frameworks, and institutions related to the REDD+ program that should be in place.
- Process indicators assess whether and how a particular process related to the REDD+ program has been planned, established and implemented.
- Outcome indicators assess the impacts of the REDD+ program.

A combination of these different types of indicators can ensure that the indicators are sufficient to assess effectively the performance of a country's REDD+ program against the principles and criteria.

At principle and criteria levels the standards are generic (i.e. the same across all countries). At the indicator level, there is a process for country-specific interpretation to develop a set of indicators that are tailored to the context of a particular country. For this reason the international version of the standards includes only a "framework for indicators" that is intended to guide the country-specific interpretation process rather than provide specific indicators that must be used in each country. A justification must also be provided for any changes to the framework for indicators that are made during the country-specific interpretation process.

An international review process will ensure consistency across the country specific interpretations.

### Using REDD+ SES at country level

All the countries participating in the REDD+ SES initiative are following the same country-led multi-stakeholder process, which involves a ten step process organized around three core elements: governance, interpretation and assessment.

#### 1. Awareness raising/capacity building meetings and workshops

- Governance: a multi-stakeholder approach to ensure balanced stakeholder participation in the use of the standards

<sup>6</sup> Note that the word 'includes' at the beginning of a qualifier means 'the scope of this indicator includes.....'. The word 'including' at the beginning of a qualifier is used when the qualifier should be read as a specific part of the indicator sentence. 'Applies to' at the beginning of a qualifier means 'this indicator applies to.....'.

2. Establish the facilitation team
3. Create the Standards Committee

- Interpretation: adaptation of the indicators and assessment process to the country context

4. Develop plan for the REDD+ SES process
5. Develop draft country-specific indicators
6. Organize consultations on indicators

- Assessment: collection of information to evaluate performance, review of the draft assessment report by stakeholders and publication.

7. Prepare a monitoring plan
8. Develop draft performance assessment report
9. Organize stakeholder review of draft assessment report
10. Publish the assessment report

### **Governance**

The institutional structures and decision-making processes that govern the use of REDD+ SES in each country ensure the participation of a balance of rights holders and stakeholders.

- A multi-stakeholder Standards Committee provides oversight.
- A joint government and civil society Facilitation Team organizes the process.

### **Interpretation**

Country-specific interpretation adapts REDD+ SES to the country context, making the international REDD+ SES locally relevant, and includes:

- Creation of country-specific indicators (the principles and criteria remain the same across all countries).
- Design of the country-specific assessment process.

### **Assessment**

The process for assessing performance of the REDD+ program against the country-specific indicators involves:

- Monitoring— A monitoring plan defines what specific information will be collected, where it is found, how it will be gathered and analyzed and who will be responsible.
- Reviewing— Consultations are organized to facilitate stakeholder review of the draft assessment report to enhance quality and credibility.
- Reporting— After approval by the country-level Standards Committee, the full report of performance against the indicators of the REDD+ SES is made publicly available.

‘Guidelines on the use of REDD+ SES at country level’ are available at [www.redd-standards.org](http://www.redd-standards.org).

The multi-stakeholder process for using the REDD+ SES at country level engages government, civil society and private sector in the development, review and approval of country-specific indicators and of reports assessing performance of the REDD+ program against the indicators. This multi-stakeholder approach:

- Creates a platform for building consensus and trust between diverse stakeholders
- Enhances the quality and credibility of the multi-stakeholder self-assessment
- Promotes shared ownership by government and civil society
- Increases transparency.

Tailoring of the indicators and the assessment process to the country context through broad stakeholder consultation:

- Ensures the standards and assessment process are relevant and meaningful
- Builds understanding and ownership of rights holders and stakeholders.

At this stage, the primary means of ensuring quality and accuracy of the REDD+ program performance assessment is through full and effective participation of rights holders and stakeholders in the assessment process. A formal process of verification – an independent check on the quality and accuracy of the assessment - is not yet included but could be developed. Although REDD+ SES does not include independent verification of the assessment, the REDD+ SES process used in each country, including the governance, interpretation and assessment process, will be reviewed at the international level to ensure consistency across countries.

**Description** The use of REDD+ SES requires a clear definition of the REDD+ program

The REDD+ SES apply to government-led REDD+ programs of policies and measures implemented at jurisdictional level, which may be national, state, provincial, regional level or other level. The standards are not designed for separate application to site-based projects. Depending on the phase of development and implementation of the REDD+ program, REDD+ SES can be used to assess:

- Processes for development of country-level REDD+ programs, strategies, policies and plans
- Implementation of country-level REDD+ policies and plans
- Social and environmental outcomes on the ground.

In order to ~~apply use~~ the ~~standards~~ REDD+ SES, the REDD+ program to which they are being applied must be clearly ~~described~~ defined in a published document that should include the following elements, and should indicate the progress that has been made towards their definition:

- i. ~~States~~ The objectives of the REDD+ program;
- ii. ~~Identification of~~ es the drivers of deforestation and forest degradation;
- iii. ~~Describes~~ Description of the policies, measures and activities, and plans for their design and implementation;
- iv. ~~Defines~~ Identification of the geographical areas in which activities ~~will be~~ are implemented, where relevant;
- v. ~~Defines~~ Identification of the institutional arrangements for program design, implementation and evaluation.

**Comment [j6]:** Explain that REDD+ SES are not just for site level projects but for government-led programs of policies and measures.

**Principle 1: The REDD+ program<sup>7</sup> recognizes and respects<sup>8</sup> Rights to lands, territories<sup>9</sup> and resources<sup>10</sup> are recognized and respected<sup>11</sup> by the REDD+ program<sup>12</sup>**

Criteria	Framework for indicators	
	Essence	Qualifiers
1.1 The REDD+ program effectively identifies the different rights holders <sup>13</sup> (statutory and customary <sup>14</sup> ) and their rights to lands, territories and resources relevant to the program.	<p>1.1.1 An <u>effective</u> process is established to inventory and map rights to lands, territories and resources relevant to the REDD+ program.</p> <p><del>1.1.2 Land-use plans used by the REDD+ program identify the rights of all relevant rights holders.</del></p>	<p>i. The process is participatory <u>including representatives of women and marginalized and/or vulnerable people.</u></p> <p>ii. Includes statutory and customary rights.</p> <p>iii. <u>Includes individual and collective rights.</u></p> <p>iv. Includes tenure/use/access/management rights.</p> <p>v. Includes rights of <u>women and marginalized and/or vulnerable groups people.</u></p> <p>vi. Includes overlapping or conflicting rights.</p> <p><del>Includes forest management plans. Includes overlapping or conflicting rights. Includes statutory and customary rights. Spatial boundaries of rights are mapped. Applies to rights holders relevant to the REDD+ program identified in accordance with criterion 6.1.</del></p>

**Comment [j7]:** Responding to comment 1.14 - Included definition of territories – add to glossary

**Comment [j9]:** New qualifier added to reflect footnote on criterion

**Comment [j8]:** Responding to comments 1.08 and 1.22 - Indicator 1.1.2 removed because of overlap with 1.2.2

**Comment [j10]:** Responding to comments 1.45 and 1.02 - qualifier should include women because of gender differentiated rights to resources

<sup>7</sup> The REDD+ program to which the REDD+ SES is being applied must be defined in a published document that should include the following elements, and should indicate the progress that has been made towards their definition: (i) the objectives; (ii) identification of the drivers of deforestation and forest degradation; (iii) description of the policies, measures and activities, and plans for their design and implementation; (iv) identification of the geographical areas in which activities will be implemented, where relevant; (v) identification of the institutional arrangements for program design, implementation and evaluation.

<sup>8</sup> 'Respect' is taken to include not undermining or prejudicing rights.

<sup>9</sup> The term 'Territories' is particularly relevant for Indigenous Peoples and refers to the total environment of the areas which the peoples concerned occupy or otherwise use.

<sup>10</sup> 'Resources' is understood to include ecosystem services provided by these resources.

<sup>11</sup> 'Respect' is taken to include not undermining or prejudicing rights.

<sup>12</sup> The REDD+ program comprises objectives, policies and measures developed for the program and other relevant policies that support it.

<sup>13</sup> 'Rights holders' are defined as those whose rights are potentially affected by the REDD+ program, including holders of individual rights and Indigenous Peoples and others who hold collective rights.

<sup>14</sup> 'Customary rights' to lands and resources refers to patterns of long-standing community land and resource usage in accordance with Indigenous Peoples' and local communities' customary laws, values, customs, and traditions, including seasonal or cyclical use, rather than formal legal title to land and resources issued by the State.

1.2 The REDD+ program recognizes and respects both statutory and customary rights <sup>15</sup> to lands, territories and resources which Indigenous Peoples or local communities <sup>16</sup> have traditionally owned, occupied or otherwise used or acquired. <sup>17</sup>	1.2.1 Policies of the REDD+ program include recognition of and respect for customary rights.	i. Applies to Indigenous Peoples and local communities.
	1.2.2 Land-use plans used by the REDD+ program recognize and respect rights of Indigenous Peoples and local communities.	<del>i. Includes forest management plans.</del> <del>ii. Includes customary and statutory rights.</del>
	1.2.3 The REDD+ program promotes securing statutory rights to lands, territories and resources.	i. Applies to lands, territories and resources which Indigenous Peoples and local communities have traditionally owned, occupied or otherwise used or acquired. ii. Including securing existing statutory rights and conversion of customary rights to statutory rights.
1.3 The REDD+ program requires the free, prior and informed consent of Indigenous Peoples <sup>18</sup> and local communities for any activities affecting <sup>19</sup> their rights to lands, territories and resources.	1.3.1 Policies of the REDD+ program uphold the principle of free, prior and informed consent of Indigenous Peoples and local communities.	i. Applies to any activities affecting their rights to lands, territories and resources.
	<del>1.3.2 The REDD+ program effectively disseminates information about the requirement for free, prior and informed consent of Indigenous Peoples and local communities.</del>	<del>i. Applies to any activities affecting their rights to lands, territories and resources.</del>
	1.3.2 <sup>3</sup> Collective rights holders define a process of obtaining their free, prior and informed consent.	i. Including definition of their own representative and traditional institutions that have authority to give consent on their behalf. ii. The process is transparent. <del>iii. The process takes into account the views of all community members including those of women and of marginalized and/or vulnerable people.</del>
	1.3.4 <sup>3</sup> Free, prior and informed consent is obtained from Indigenous Peoples.	i. In accordance with their customs, norms and traditions. ii. Applies to activities that may affect their rights, particularly their rights to own and control traditionally owned lands, territories and resources.

**Comment [j11]:** Responding to comments 1.08 and 1.22 - Suggestion to merge 1.2.2 into 1.1.2 . Can't remove 1.2.2 because of the importance for indigenous peoples and local communities so merged 1.1.2 into 1.2.2. Justification for deletion of 1.1.2 is that rights can't be recognized and respected unless they have already been identified, so 1.2.2 covers 1.1.2.

**Comment [j12]:** Responding to comment 1.28 - suggest that FPIC should be sought for activities that affect rights to lands, territories and resources directly or indirectly

**Comment [j13]:** Removed 1.3.2 because included in 4.3.1, 6.5.1

**Comment [AL14]:** Responding to comment 1.35 - Add the gender sensitive dimension of the process.

**Comment [j15]:** Responding to comment 1.27 - added additional qualifier for obtaining consent at relevant points during design and implementation – consent is not a one-off.. also applies to 1.3.5

<sup>15</sup> Including individual and collective rights.

<sup>16</sup> Wherever the term Indigenous Peoples and local communities is used through these standards it is implicit that particular attention will be paid to women and marginalized and/or vulnerable groups within these communities.

<sup>17</sup> In particular, recognizing that Indigenous Peoples have the right to own, use, develop and control the lands, territories and resources that they possess by reason of traditional ownership or other traditional occupation or use, as well as those that they have otherwise acquired.

<sup>18</sup> In conformance with relevant international treaties, conventions and other instruments including the United Nations Declaration on the Rights of Indigenous Peoples and International Labor Organization Convention 169.

<sup>19</sup> Includes activities that affect rights to lands, territories and resources directly or indirectly.

		-iii. <u>Applies to each potential change to rights throughout design and implementation of the REDD+ program.</u>
	1.3.45 Free, prior and informed consent is obtained from <u>members of</u> local communities.	i. Applies to activities affecting their customary or other rights to lands, territories and resources ii. <u>Uses mutually agreed procedures.</u> -iii. <u>Applies to each potential change to rights throughout design and implementation of the REDD+ program.</u>
	1.3.65 Where any relocation or displacement occurs, there is prior agreement on the provision of alternative lands and/or fair compensation.	i. Any relocation or displacement is in accordance with free, prior and informed consent. ii. Includes physical <u>and/or</u> economic relocation or displacement. iii. <u>The agreement includes adequate provision of financial and technical support for the displacement.</u> -iv. <u>The agreement includes the right to return once the reasons for the displacement have ceased.</u>
1.4 Where the REDD+ program enables private ownership <sup>20</sup> of carbon rights <sup>21</sup> , these rights are based on the statutory and customary rights to the lands, territories and resources <sup>22</sup> that generated the greenhouse gas emissions reductions and removals.	1.4.1 Where the REDD+ program enables private ownership of carbon rights, a process for defining carbon rights is developed and implemented.	i. The process is transparent. ii. The allocation of rights is based on the statutory and customary rights to the lands, territories and resources that generated the greenhouse gas emissions reductions and removals.

**Comment [j16]:** Responding to comment 1.40 - proposed to include and/or

**Comment [j17]:** Responding to comment 1.39 - in response to comment recommending a requirement for appropriate social preparation is undertaken.

**Comment [j18]:** Responding to comment 1.47 - added 'according to the legal framework in each country' to the footnote.

Principle 2: The benefits <sup>23</sup> of the REDD+ program are shared equitably <sup>24</sup> among all relevant <sup>25</sup> rights holders and stakeholders. <sup>26</sup>		
Criteria	Framework for indicators	
	Essence	Qualifiers
2.1 There is transparent <sup>27</sup> and participatory <u>assessment analysis</u>	2.1.1 <u>Predicted costs, Bbenefits, costs and associated risks</u> of the	i. For each relevant rights holder and stakeholder group.

**Comment [j19]:** Footnote added to clarify that 'benefits' includes consideration of 'benefits, costs and risks'.

**Comment [j20]:** Include women marginalized and/or vulnerable to balance principles P2 and P3

**Comment [j25]:** Merged 2.1.1 and 2.1.2 to reduce duplication

**Comment [j21]:** Responding to comment 2.31 - comment notes that this principle does not require inclusion of rights in definition of equity. Add rights to lands, territories and resources in the aspects to be included in assessment in footnote

<sup>20</sup> Ownership of carbon rights may be individual or collective, according to the legal framework in each country.

<sup>21</sup> 'Carbon rights' are defined as the rights to enter into contracts and national or international transactions for the transfer of ownership of greenhouse gas emissions reductions or removals and the maintenance of carbon stocks.

<sup>22</sup> 'The statutory and customary rights to the lands, territories and resources and the rights holders relevant to the REDD+ program' are identified in accordance with criterion 1.1.

<sup>23</sup> The term 'benefits' in Principle 2 is understood to reflect a full consideration of benefits, costs and risks.

<sup>24</sup> 'Equity' and 'equitable' are defined as just, impartial and fair to all parties including marginalized and vulnerable people.

<sup>25</sup> 'Relevant' rights holder and stakeholder groups are identified by the REDD+ program in accordance with criterion 6.1.

<sup>26</sup> 'Rights holders' are those whose rights are potentially affected by the REDD+ program and 'Stakeholders' are those who can whose interests are potentially affect or be affected by the REDD+ program.

<sup>27</sup> 'Transparent' means that decisions taken and their enforcement are done in a manner that follows rules and regulations. It also means that information is freely available and directly accessible to those who will be affected by such decisions and their enforcement. It also means that enough information is provided and that it is provided in easily understandable forms and media. means that full and clear information is publicly accessible.

<p><del>and monitoring</del> of predicted and actual <del>benefits, costs, benefits</del><sup>28</sup> and <del>associated risks</del><sup>29</sup> of the REDD+ program for relevant rights holder and stakeholder groups<sup>30</sup> at all levels, <u>with special attention to women and the most marginalized and/or vulnerable people.</u></p>	<p>REDD+ program are <u>assessed during program design and implementation, analyzed.</u></p>	<p>ii. Applies to local, national and other relevant levels.  i. <del>The assessment analysis is participatory and timely and participatory in accordance with Principle 6.</del>  i.ii. <u>Includes direct and indirects benefits, costs and risks.</u>  iii. <del>Benefits include revenues and other benefits</del>  iv. <u>Includes benefits, costs and risks related to social, cultural, economic and, environmental aspects and to, humans rights and property rights to lands, territories and resources. benefits, costs and risks.</u>  v. <u>With special attention to the differentiation of benefits, costs and risks to women and the most marginalized and/or vulnerable people.</u>  vi. <u>Assessment is repeated periodically as part of monitoring.</u>  vii. <u>Benefits, costs and risks are relative to the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program.</u></p>
	<p><del>2.1.2 Relevant rights holders and stakeholders participate in monitoring, review and reporting of the actual costs and benefits of the REDD+ program, and their distribution.</del></p>	<p>i. <del>Including representatives of women and marginalized and/or vulnerable people.</del>  ii. <del>Applies to local, national and other relevant levels.</del>  iii. <del>Benefits include revenues and other benefits</del>  v.i. <del>Taking into account the initial analysis of predicted costs, revenues, benefits and risks undertaken in accordance with criterion 2.1.</del></p>
<p>2.2 Transparent, participatory, effective<sup>31</sup> and efficient<sup>32</sup> mechanisms are established for</p>	<p>2.2.1 Relevant rights holders and stakeholders participate in defining the decision-making</p>	<p>i. Participation is full and effective in accordance with Principle 6.  ii. <del>Participation is voluntary.</del></p>

<sup>28</sup> ~~Including any revenues and other benefits.~~

<sup>29</sup> ~~For Indigenous Peoples and local communities the term "benefits" equates with positive social impacts and the phrase "costs and associated risk" equates with negative social impacts. All analysis assessment of benefits, costs, benefits and risks should include those that are direct and indirect and include those related to social, cultural, environmental and economic aspects and to human rights and, rights to lands territories and resources, environmental and economic aspects. Costs should include those related to responsibilities and also opportunity costs. All costs, benefits, costs and risks should be compared against relative to the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program. Note that the term 'benefits' refers to positive impacts and the phrase 'costs and risks' equates with negative impacts.~~

<sup>30</sup> 'Relevant rights holder and stakeholder groups' are identified in accordance with criterion 6.1.

<sup>31</sup> 'Effective' is defined as the extent to which the emissions reductions and other goals of the program are achieved.

<sup>32</sup> 'Efficient' is defined as achieving the target with minimum cost, effort and time.

**Comment [j22]:** Footnote deleted as revenues and other benefits covered in next footnote on all the different types of costs, benefits and risks

**Comment [PF26]:** 3.13, 3.14 – overlap of 2.1 and 3.2 no difference between assessment/analysis/monitoring of costs and benefits and positive and negative impacts - 2.1 and 3.2 have been combined

**Comment [j23]:** Separate footnote on impact assessment

**Comment [j27]:** Responding to comment 3.16 - recommended including timely

**Comment [j28]:** Include a requirement for the assessment to be participatory as per criterion and refer to P6 to ensure that women and vulnerable/marginalized people are included

**Comment [j29]:** Responding to comment 0.04 – recommended ensuring that indirect impacts are also included

**Comment [j24]:** Most for impacts and not most for process

**Comment [j30]:** Clarifying the point of this qualifier which aims to ensure that assessment considers the different benefits, costs and risks for women and for marginalized and vulnerable people.

**Comment [j31]:** Indicator removed as included as a qualifier in 2.1.1

**Comment [j33]:** Removed qualifier as this is covered in accordance with P6

<p>equitable sharing of benefits of the REDD+ program among and within relevant rights holder and stakeholder groups taking into account <u>socially differentiated</u><sup>33</sup> <u>rights, benefits, costs, benefits and associated risks.</u></p>	<p>process and distribution mechanism for equitable benefit-sharing.</p>	<p>i-ii. Including <u>women and marginalized and/or vulnerable people.</u>            iii. Addresses benefit sharing between and within relevant rights holders and stakeholder groups.</p>
	<p>2.2.2 <u>Indigenous Peoples and local communities Relevant rights holders and stakeholders</u> determine the form that the benefits will take and how they are delivered.</p>	<p>i. The process is inclusive and transparent.            ii. Including <u>women and marginalized and/or vulnerable people.</u></p>
	<p>2.2.3 <u>Clear policies and guidelines for equitable benefit-sharing are developed, agreed, disseminated established, and implemented.</u>            i. <u>Ensuring that equitable sharing of benefits includes women and marginalized and/or vulnerable people taking into account socially differentiated benefits, costs and risks.</u></p>	<p>i.</p>
	<p>2.2.4 Administrative procedures for benefit sharing are timely, <u>transparent, effective</u> and efficient.</p>	<p>i. Includes financial management.</p>
	<p><del>2.2.5 The design of the benefit-sharing mechanisms is based on a review of options with respect to the equity, effectiveness and efficiency of the REDD+ program.</del></p>	

**Comment [AL32]:** Responding to comment 2.14

**Comment [j34]:** Responding to comment 2.20 - should apply to all rights holders and stakeholders and not just indigenous peoples and local communities

**Comment [j35]:** Changed to established for consistency with other criteria. .Dissemination is included in 6.5

**Comment [j36]:** Responding to comment 2.26 – Note that benefits tend to not reach women and in many countries women have limited access to financial structures

**Comment [j37]:** Responding to comments 2.28 and 2.29 - recommendation to include transparent and effective.

**Comment [j38]:** This indicator is removed because it is overly detailed compared with other indicators.

**Comment [j39]:** Responding to comment 3.01 - Why include women and most vulnerable in this principle and not in P2? Seems wrong to mention vulnerable and not marginalised. Isn't there a risk that they would be excluded from receiving benefits

Principle 3: The REDD+ program improves long-term livelihood <sup>34</sup> security and well-being of Indigenous Peoples and local communities with special attention to women and the most <u>marginalized and/or vulnerable people.</u> <sup>35</sup>		
Criteria	Framework for indicators	
	Essence	Qualifiers
3.1 The REDD+ program	3.1.1 The objectives <u>and policies</u>	i. With special attention to

<sup>33</sup> 'Socially differentiated' includes differentiated by gender, marginalization and vulnerability.

<sup>34</sup> 'Livelihoods' can be defined by five capitals/assets: socio-political, cultural, human, financial, natural and physical. are based on social, cultural, human, financial, natural, physical and political capabilities/assets.

<sup>35</sup> 'Vulnerable' are those with high exposure to external stresses and shocks (including climate change); and with high sensitivity and low adaptive capacity to adjust in response to actual or expected changes due to their lack of secure access to the assets on which secure livelihoods are built (socio-political, cultural, human, financial, natural and physical). ~~people are those lacking the assets on which secure and sustainable livelihoods are built (social, cultural, human, financial, natural, physical and political) and/or having high exposure to external stresses and shocks, including climate change, that may affect these assets and/or peoples' ability to utilize these assets.~~ Forest dependency may be an important factor affecting vulnerability particularly where the REDD+ program itself may change access to forest resources. In many situations marginalization exacerbates vulnerability.

<p>generates additional, positive impacts<sup>36</sup> on the long-term livelihood security and well-being of Indigenous Peoples and local communities, with special attention to women and the most <u>marginalized and/or</u> vulnerable people.</p>	<p>of the REDD+ program include improving long-term livelihood security and well-being of Indigenous Peoples and local communities.</p>	<p>women and the most <u>marginalized and/or</u> vulnerable people.</p>
	<p>3.1.2 <u>The REDD+ program generates additional, positive impacts on the long-term livelihood security and well-being of Indigenous Peoples and local communities.</u>  <u>Indigenous Peoples and local communities, acknowledge recognize that they have received benefits from participation in the REDD+ program.</u></p>	<p>i. <u>Relative to the expected situation of Indigenous Peoples and local communities under the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program.</u>  ii. <u>With special attention to women and the most marginalized and/or vulnerable people.</u>  i. <u>Those acknowledging recognizing benefits include women and the most vulnerable people.</u></p>
	<p>3.1.3 The REDD+ program generates additional resources to improve long-term livelihood security and well-being of Indigenous Peoples and local communities.</p>	<p>i. Includes financial, human or other resources. ii. <u>Compared with Relative to the expected level of resources available under the most likely land-use scenario</u> in the absence of the REDD+ program.</p>
	<p><u>3.1.4 Measures are adopted to ensure that long-term livelihood security and well-being benefits are sustainable.</u></p>	
<p><u>3.2 There is participatory assessment of positive and negative social, cultural, human rights, rights to lands territories and resources, environmental and economic impacts<sup>37</sup> of the REDD+ program for Indigenous Peoples and local communities with special attention to women and the most vulnerable people, including both predicted and actual impacts.</u></p>	<p><u>3.2.1 The predicted and actual impacts of the REDD+ program on Indigenous Peoples and local communities are assessed.</u></p>	<p>i. <u>The assessment is participatory and timely.</u> ii. <u>Includes positive and negative social, cultural, human rights, rights to lands territories and resources, environmental and economic impacts.</u> iii. <u>With special attention to impacts on women and the most vulnerable people.</u></p>
<p>3.3 The REDD+ program is adapted based on assessment of predicted and actual impacts in order to mitigate negative, and enhance positive, impacts on Indigenous Peoples and local communities with special</p>	<p>3.3.1 The REDD+ program <u>design includes measures adapted in order</u> to mitigate <u>potential</u> negative, and enhance and <u>maintain sustain</u> positive, impacts on Indigenous Peoples and local communities.</p>	<p>i. <u>Based on assessment of impacts undertaken in accordance with criterion 2.1.</u> ii. <u>Applies to REDD+ program design based on assessment of predicted impacts.</u> iii. <u>Applies to REDD+ program</u></p>

**Comment [j40]:** Responding to comment 3.07 - reformulated to make the indicator stronger than acknowledge and to become a true outcome indicator

**Comment [j41]:** Merged 3.1.4 and 3.3.1 to reduce duplication

**Comment [j42]:** Indicator merged with 3.3.1 to avoid repetition

**Comment [j43]:** Responding to comments 3.14 and 3.15 – overlap with 2.1 no difference between assessment/analysis/monitoring of costs and benefits and positive and negative impacts

<sup>36</sup> All impacts are relative to the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program.

<sup>37</sup> Assessment of impacts should include those that are direct and indirect.

attention to women and the most <u>marginalized and/or</u> vulnerable people.		<p>implementation based on assessment of both <u>predicted and actual impacts</u>.</p> <p>iv. With special attention to potential impacts on women and the most <u>marginalized and/or</u> vulnerable people.</p> <p>iv. <u>Includes measures to addressing the risk of reversals that might lead to reduction in positive impacts/benefits reversals to benefits achieved by the REDD+ program.</u></p>
	3.3.2 Feedback from impact assessment is used to develop measures to further mitigate negative impacts, and enhance positive impacts on Indigenous Peoples and local communities.	i. With special attention to impacts on women and the most vulnerable people.

**Comment [j44]:** Responding to comment 0.04 - reworded to cover removal of 3.1.4

**Comment [j45]:** Merged with 3.3.1 and included in a qualifier

**Principle 4: The REDD+ program contributes to good governance<sup>38</sup>, to broader sustainable development and to social justice.<sup>39</sup>**

Criteria	Framework for indicators	
	Essence	Qualifiers
4.1 The governance structures of the REDD+ program are clearly defined, transparent, <u>effective</u> and accountable.	4.1.1 The REDD+ program governance structures enable <u>effective representation of rights holders and stakeholders.</u>	<p>i. Applies to all relevant rights holder and stakeholder groups, including Indigenous Peoples and local communities identified in 6.1.1.</p> <p>ii. <u>With special attention to women and marginalized and/or vulnerable people identified in 6.1.1.</u></p>
	4.1.2 Information on the roles, responsibilities and decision-making processes, of REDD+ program governance structures is publicly accessible.	<p>i. Includes criteria and processes for participation of rights holders, <u>duty bearers<sup>40</sup></u> and <u>other</u> stakeholders and other internal regulations.</p> <p>ii. Includes information on decisions taken.</p> <p>iii. <u>With dissemination to relevant rights holders and stakeholders.</u></p>
	4.1.3 Decisions of the REDD+ program are made in accordance with defined <u>roles.</u>	i. Following internal regulations and decision-making processes, <u>and principles</u> defined by the

**Comment [j46]:** Responding to comment 4.02 - comment suggests a more complete treatment of 'good governance' with greater explanation . definition of good governance revised based on OECD.

**Comment [j47]:** Removed 4.1.1 because of overlap with 6.2.

**Comment [j48]:** Responding to comment 4.06 - Included 'duty bearers' as a special category of stakeholders with an obligation to ensure respect, protection and fulfillment of rights.

**Comment [AL49]:** This qualifier is moved to indicator 6.5.1 that ensures dissemination of information to stakeholders and the gender and culturally appropriate dimension is included there

<sup>38</sup> ~~The elements of good governance is characterized by accountability, effectiveness, efficiency, fairness/equity, participation and transparency include accessibility, people's participation, transparency, effectiveness and efficiency, responsiveness, accountability, consensus oriented, equity and inclusiveness and rule of law, predictability, justice and sustainability.~~

<sup>39</sup> 'Social justice' is understood to mean 'respect, protection and fulfillment of human rights'. Human rights are the basic fundamental rights and freedoms that belong to every person in the world, based on core principles like dignity, fairness, equality, respect and autonomy, including but not limited to the rights enshrined in relevant international treaties, conventions and other instruments.

<sup>40</sup> 'Duty bearers' have an obligation to ensure respect, protection and fulfillment of rights.

	<del>responsibilities, regulations and policies principles.</del>	governance structures.
	<del>4.1.3 There are effective mechanisms for oversight of the governance structures of the REDD+ program.</del>	
4.2 The REDD+ program is coherent with relevant policies, strategies and plans at all relevant levels and there is effective coordination between agencies/organizations responsible for the design, implementation and evaluation of the REDD+ program and other relevant agencies/organizations/sectors.	<del>4.2.1 Land use planning elements of the REDD+ program are consistent with other land use planning processes.</del>	i. <del>Land use planning elements of the REDD+ program include recognition of customary rights to land territories and resources.</del>
	<del>4.2.2 The REDD+ program is consistent with national policies and strategies to protect human rights.</del>	i. <del>Protecting human rights includes combating discrimination against marginalized groups.</del>
	4.2.3 The REDD+ program is integrated into the broader policy framework of the forest sector and other relevant sectors.	i. With special attention to the agriculture, <del>mining and other sectors</del> when <del>these are a drivers</del> of deforestation.
	4.2.4 Inconsistencies between the REDD+ program and other relevant policies, strategies and plans are identified and resolved.	i. Including development, governance, human rights and land use policies, strategies and plans. ii. <u>With special attention to inconsistencies with respect to rights of women and the most marginalized and/or vulnerable people.</u> iii. Using an agreed process and timeline.
	4.2.5 <del>There is effective and efficient coordination between the REDD+ program is coordinated and with</del> all relevant agencies/organizations.	i. <del>Coordination is effective and efficient</del> ii.i. Including relevant non-government and multilateral as well as government agencies/organizations. ii. Applies to all relevant levels. iii. With special attention to agencies/organizations that are involved in sectors that are related to drivers of deforestation.
4.3 Adequate information about the REDD+ program is publicly available <del>to promote general awareness and good governance.</del>	4.3.1 Adequate information about the REDD+ program is <del>made</del> publicly available.	i. Includes information about: a. <u>REDD+ program design, implementation and evaluation;</u> b. <u>assessment of predicted and actual impacts on rights holders and stakeholders related to social, cultural, human rights, environmental and economic aspects and to human rights and rights to lands, territories and resources;</u>

**Comment [j50]:** changed to ensure that governance bodies are actually fulfilling role and responsibilities and follow agreed policies. Removed Principles in response to 4.13.

**Comment [j51]:** New indicator on accountability in response to 4.03 also suggest adding a new indicator for accountability – existence, effectiveness and independence of oversight mechanism'

**Comment [j53]:** Responding to comment 4.12 - points out that the problem is really when other land use plans are not consistent with REDD+ and not this way round. This indicator is deleted as covered in 4.2.4

**Comment [j54]:** Responding to comment 4.2 and 4.14 - remove this indicator – why does it focus on human rights only? Not necessary to have an indicator on consistency with all relevant policies and strategies as well as one that identifies inconsistencies 4.2.4

**Comment [j52]:** Can't coordinate with a sector

**Comment [j55]:** Responding to comments 4.16, 4.17 and 4.18 - add mining and other relevant sectors

**Comment [j56]:** Responding to comment 4.20 - not clear what good governance refers to. Deleted all of this phrase as formulation with an objective is not consistent with other criteria

		<p>c. <del>assessment of predicted and actual impacts on biodiversity and ecosystem services;</del></p> <p>d. <del>benefit-sharing including procedures and guidelines;</del></p> <p><del>a-e. the requirement for free, prior and informed consent.</del></p> <p>Includes social and environmental impact assessment, benefit sharing, biodiversity and ecosystem services, and rights to lands, territories, resources.</p> <p>ii. Information is accessible to potentially interested members of the public.</p> <p>iii. Access is free and timely.</p>
	4.3.2 Government policies support access to information about the REDD+ program.	<p>iv. <del>Includes information about program design, implementation and evaluation.</del></p> <p>v. <del>Includes social and environmental impact assessment, benefit sharing, biodiversity and ecosystem services, and rights to lands, territories, resources.</del></p> <p>i. <del>Access is free and timely.</del></p>
4.4 Financial management systems of the REDD+ program are managed with integrity <sup>41</sup> , transparency and accountability.	4.4.1 Information about REDD+ program financial management systems is publicly accessible.	<p>i. Includes:</p> <p>a) assignment of clear authority, roles and responsibilities for the collection, commitment and use of funds of the REDD+ program,</p> <p>b) accounting systems,</p> <p>c) procedures for internal controls and external audits, and</p> <p>d) schedules for reporting.</p>
	4.4.2 Audited financial reports for the REDD+ program are published regularly. →	<p>i. Audits are undertaken by independent accredited auditors in accordance with professional auditing standards of the country.</p> <p>ii. Applies to public and private finance.</p>
4.5 The REDD+ program leads to improvements in governance of the forest sector and other relevant sectors.	4.5.1 The REDD+ program establishes and monitors performance targets for the governance issues that it can	<p>i. <u>Includes effective and transparent forest governance structures.</u></p> <p>ii. With special attention to targets</p>

**Comment [j57]:** Responding to comment 4.24 - and for consistency with P2, P3, P6

**Comment [j58]:** Responding to comment 1.34 - add information about requirement for FPIC

**Comment [j59]:** 4.3.2 is not necessary in addition to 4.3.1

**Comment [j60]:** Responding to comment 4.30 - don't need systems

**Comment [j61]:** To respond to Cancun safeguard (b)

<sup>41</sup> Integrity "includes, but is not limited to probity, impartiality, fairness, honesty and truthfulness", serving as an antithesis to "corruption" or "the abuse of office." The elements of integrity include honesty, consistency, accuracy and maintaining completeness ('the state of being whole').

	address in the forest sector and other relevant sectors.	related to the equity, effectiveness and efficiency of the REDD+ program. iii. With special attention to sectors that are related to drivers of deforestation. ii.
	4.5.2 The activities of the REDD+ program includes institutional capacity strengthening and other measures to improve governance.	i. Linked to the governance issues identified and monitored in 4.5.1.
4.6 The REDD+ program contributes to achieving the objectives of sustainable development policies, strategies and plans <sup>42</sup> established at national and other relevant levels.	4.6.1 The REDD+ program elaborates how its policies and measures will contribute to the implementation of any existing sustainable development policies, strategies and plans.	i. Applies to policies, strategies and plans developed at national and other relevant levels. ii. Includes poverty reduction, biodiversity and other relevant policies, strategies and plans, and biodiversity policies, strategies and plans, including plans for public, private and indigenous/community protected and conserved areas.
	4.6.2 National poverty monitoring shows improvements in areas where the REDD+ program is implemented.	i. Includes livelihood and Millennium Development Goal monitoring where these are taking place.
4.7 The REDD+ program contributes to respect, protection and fulfillment of human rights.	4.7.1 The REDD+ program identifies human rights issues that it can address and elaborates how its policies and measures will contribute to the improved respect, protection and fulfillment of human rights.	i. Applies to human rights defined by national and international law. ii. With special attention to rights of women and marginalized and/or vulnerable people.
	4.7.2 The REDD+ program monitoring and evaluation plan includes key human rights indicators.	i. Linked to the human rights issues identified in 4.7.1.

**Comment [j62]:** Language change to make it clearer that this is a process indicator

**Comment [j63]:** Responding to comment 4.33 - so that capacity strengthening and other measures to improve governance are based not only on initial identification but also continued based on monitoring

**Comment [j64]:** Reinstates this footnote from V1 because helps to understand what is meant by sustainable development policies, strategies, plans

**Comment [j65]:** Responding to comment 4.42 - include indigenous and community conserved areas as well as protected areas

**Comment [j66]:** Language change for improved clarity

**Comment [j67]:** Responding to comment 4.48 - and consistent with 7.1.3

**Comment [j68]:** New qualifier to encourage REDD+ programs to contribute to human rights of women and vulnerable and marginalized people.

Principle 5: The REDD+ program maintains and enhances <sup>43</sup> biodiversity and ecosystem services. <sup>44</sup>		
Criteria	Framework for indicators	
	Essence	Qualifiers
5.1 Biodiversity and ecosystem services potentially affected by	5.1.1 Biodiversity and ecosystem services potentially affected by	i. Includes biodiversity and ecosystem service priorities

<sup>42</sup> Such as poverty reduction strategies/targets, national/government budgets, biodiversity strategies, conservation policies and regulations, climate change strategies, adaptation plans etc.

<sup>43</sup> Impacts on biodiversity and ecosystem services including conversion and degradation are relative to the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program.

<sup>44</sup> 'Ecosystem services' are the benefits people obtain from ecosystems including provisioning services such as food, water, timber and fiber; regulating services regulating services that affect climate, floods, disease, wastes, and water quality; cultural services that provide recreational, aesthetic, and spiritual benefits; and supporting services such as soil formation, photosynthesis, and nutrient cycling. In this context for the purpose of these standards, 'ecosystem services' refers to services other than greenhouse gas emissions reductions or removals from both forest and non-forest ecosystems.

<p><del>the REDD+ program are maintained and enhanced.</del>  <u>5.1 Biodiversity and ecosystem services potentially affected by the REDD+ program are identified, prioritized and mapped.</u></p>	<p>the REDD+ program are identified, prioritized and mapped.</p>	<p>identified in existing national biodiversity strategy and action plans (NBSAP), gap analyses supporting the Convention on Biological Diversity targets, key biodiversity areas, high conservation value areas and other relevant systematic conservation planning approaches.</p> <p>ii. <del>At a scale and level of detail appropriate to each element/activity within the program.</del></p> <p>iii. <del>Analysis of impacts involves spatial analysis including but not limited to</del><u>Includes</u> areas of significance for threatened or endemic species, for significant concentrations of a species during any time in their lifecycle-, and for ecosystem services of economic, climate change adaptation, cultural or religious importance, particularly to Indigenous Peoples and local communities <u>including women and marginalized and/or vulnerable groups.</u></p> <p>iv. <u>At a scale and level of detail appropriate to each element/activity within the program.</u></p> <p>v. With special attention to any plans for afforestation, reforestation and forest restoration and their <u>potential</u> impacts on biodiversity and ecosystem services <u>priorities.</u></p>
<p><del>5.21 The REDD+ program maintains and enhances the identified biodiversity and ecosystem service priorities. s potentially affected by the REDD+ program are maintained and enhanced.</del></p>	<p><del>5.1.22.1</del> The objectives <u>and policies</u> of the REDD+ program include making a significant contribution to maintaining and enhancing biodiversity and ecosystem services.</p>	
	<p><u>5.2.2</u> The REDD+ program maintains and enhances the <u>identified biodiversity and ecosystem service priorities.</u></p>	<p>i. <u>Relative to the expected situation of biodiversity and ecosystems service priorities under the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program.</u></p>
	<p><u>5.1.3</u> The REDD+ program</p>	<p><del>i.</del> <u>Measures are specifically</u></p>

**Comment [j69]:** Responding to comment 5.01-UN-REDD and to be consistent with P1, P6

**Comment [AL70]:** Responding to comment 5.08 - Data from the action research shows clearly that women and men rely on different ecosystem services, which results in differences in the importance that these services will have on their lives.

**Comment [j71]:** Indicator reformulated to become an outcome indicator as in P3.

	includes measures to maintain and enhance the identified biodiversity and ecosystem service priorities.	targeted at priorities identified in 5.1.1.
	5.2.3.4 The REDD+ program generates additional resources to maintain and enhance biodiversity and ecosystem service priorities.	<ul style="list-style-type: none"> <li>ii.i.</li> <li>i. Includes financial, human or other resources.</li> <li>ii. Compared with Relative to the expected level of resources available under the most likely land use scenario in the absence of the REDD+ program.</li> </ul>
5.2.3 The REDD+ program does not lead to the conversion <sup>45</sup> or degradation <sup>46</sup> of natural forests or other areas that are important for maintaining and enhancing the identified biodiversity and ecosystem service priorities.	5.2.3.1 Monitoring of the impacts of the REDD+ program on natural forests and other important areas demonstrates there is no conversion or degradation.	<ul style="list-style-type: none"> <li>i. Includes any areas identified in 5.1.1 as important for maintaining and enhancing the identified biodiversity and ecosystem service priorities.</li> <li>ii. Relative to the expected conversion or degradation under the reference scenario which is the most likely land use scenario in the absence of the REDD+ program.</li> <li>iii. With special attention to any plans for afforestation, reforestation and forest restoration and their impacts on biodiversity and ecosystem service priorities.</li> </ul>
5.4 There is transparent assessment of predicted and actual, and positive and negative environmental impacts <sup>47</sup> of the REDD+ program on biodiversity and ecosystem service priorities and any other negative environmental impacts.	5.2.2 A monitoring plan is developed to assess the impacts of the REDD+ program on the identified biodiversity and ecosystem service priorities.	i. The monitoring plan draws from traditional knowledge and scientific research as appropriate.
	5.4.12.3 The predicted and actual environmental impacts of the REDD+ program are assessed.	<ul style="list-style-type: none"> <li>i. Includes positive and negative impacts on the identified biodiversity and ecosystem service priorities and also any potential negative environmental impacts (e.g. pollution).</li> <li>ii. Includes direct and indirect impacts.</li> <li>iii.</li> <li>iv. The assessment involves Indigenous Peoples and local communities and other stakeholders as appropriate.</li> <li>iv. Using strategic environmental</li> </ul>

**Comment [j72]:** Responding to comments 0.05 and 5.14 - requested inclusion of degradation. Note that the impacts of the REDD+ program would be compared against the reference scenario that may include logging.

**Comment [j73]:** Inadvertently missed out of the 9 Feb version (see changes to Indicators V1 to V2)

**Comment [j76]:** Deleted as goes beyond detail in P3

**Comment [j74]:** Responding to comments 0.04 and 5.14 - footnote added to include indirect land use change

**Comment [j75]:** Reworded to be consistent with P2

**Comment [j77]:** Responding to comment 5.23 - to make sure assessment includes negative impacts not included in the priorities consistent with the criterion

**Comment [j78]:** Responding to comment 0.04 - recommended ensuring that indirect impacts are also included

<sup>45</sup> 'Conversion' is defined as the replacement of an existing land cover type by another land cover type.

<sup>46</sup> 'Degradation' is defined as the reduction in the capacity of an ecosystem to provide goods and services.

<sup>47</sup> 'Natural forest' is defined as forest predominantly composed of trees established through natural regeneration. This can include primary forests (naturally regenerated forests where there are no clear indication of human induced activities and the ecological process is not significantly disturbed) and other naturally regenerated forests (where there are clear indications of human induced activities).

<sup>48</sup> Assessment of impacts should include those that are direct and indirect, including indirect land use change.

		assessment, environmental impact assessment or other appropriate methods. i+v. <u>Assessment is repeated periodically as part of monitoring.</u>
5.4-5 The REDD+ program is adapted based on assessment of predicted and actual impacts, in order to mitigate negative, and enhance positive, environmental impacts.	5.5-3.1 The REDD+ program <u>is adapted includes measures in order to mitigate negative, and to enhance and sustain positive, environmental impacts.</u>	<ul style="list-style-type: none"> <li>i. <u>Based on assessment of impacts undertaken in accordance with criterion 5.4.</u></li> <li>ii. <u>Applies to REDD+ program design based on assessment of predicted impacts.</u></li> <li>iii. <u>Applies to REDD+ program implementation based on assessment of both predicted and actual impacts.</u></li> <li>ii. <u>With special attention to any areas identified in 5.1.1 as important for maintaining and enhancing the identified biodiversity and ecosystem service priorities.</u></li> <li>i. <u>Includes measures to address the risk of reversals that might lead to reduction in the benefits achieved by the REDD+ program.</u></li> </ul>
	5.3-2 <u>Feedback from monitoring is used to develop measures to further mitigate negative impacts, and enhance positive environmental impacts.</u>	-iii.

**Comment [j79]:** New qualifier to cover risk of reversals to environmental benefits.

**Comment [j80]:** Merged with 5.4.1

<b>Principle 6: All relevant<sup>49</sup> rights holders and stakeholders participate fully and effectively<sup>50</sup> in the REDD+ program.</b>		
<b>Criteria</b>	<b>Framework for indicators</b>	
	<b>Essence</b>	<b>Qualifiers</b>
6.1 The REDD+ program identifies all rights holder and stakeholder groups <sup>51</sup> and characterizes their rights and interests and their relevance to the REDD+ program.	6.1.1 Rights holder and stakeholder groups are identified and their rights and interests and relevance to the REDD+ program are characterized.	<ul style="list-style-type: none"> <li>i. <u>Includes statutory and customary rights to lands, territories and resources and other rights.</u></li> <li>ii. <u>Includes Indigenous Peoples and local communities.</u></li> <li>-iii. <u>Includes duty bearers.</u></li> <li>i. <u>With special attention to women, marginalized and/or vulnerable people.</u></li> <li>ii. <u>Identifying potential barriers to participation for each rights holder and stakeholder group with special attention to women</u></li> </ul>

**Comment [j81]:** Responding to comment 6.04 - footnote amended to clarify that this criterion refers to groups rather than individuals

**Comment [j82]:** New qualifier to ensure that duty bearers that have an obligation for the respect, protection and fulfillment of rights are included in the analysis of stakeholders.

<sup>49</sup> The 'relevant' rights holder and stakeholder groups are identified by the REDD+ program in accordance with criterion 6.1.

<sup>50</sup> 'Full and effective participation' means meaningful influence of all relevant rights holder and stakeholder groups who want to be involved throughout the process, and includes consultation and free, prior and informed consent..

<sup>51</sup> This criterion focuses on the identification of groups of rights holders or stakeholders who have a similar rights or interests with respect to the REDD+ program rather than individual rights holders and stakeholders.

		<u>and marginalized and/or vulnerable groups.</u>
	6.1.2 There is a procedure to enable any interested party to apply to be considered a relevant rights holder or stakeholder.	<ul style="list-style-type: none"> <li>i. Relevance is based on their rights and interests related to REDD+ program.</li> <li>ii. <u>The procedure is transparent, impartial, safe and accessible for all relevant stakeholders, with special attention to women and marginalized and/or vulnerable people.</u></li> </ul>
6.2 All relevant rights holder and stakeholder groups that want to be involved in REDD+ program design <sup>52</sup> , implementation <sup>53</sup> , monitoring and evaluation are fully involved through culturally appropriate, <u>gender sensitive</u> and effective participation.	6.2.1 A process and institutional structure for full and effective participation are established and functional.	<ul style="list-style-type: none"> <li>i. Applies to all relevant rights holder and stakeholder groups.</li> <li>ii. Applies to REDD+ program design, implementation and evaluation.</li> <li>iii. <u>With special attention to 6.2.2 women and marginalized and/or vulnerable people, are effectively represented.</u></li> <li>iv. <u>Developed and agreed with the relevant rights holder and stakeholder groups.</u></li> <li>v. <u>Taking account of statutory and customary institutions and practices.</u></li> <li>ii-vi.</li> </ul>
	<del>6.2.2 Marginalized and/or vulnerable people are effectively represented.</del>	<ul style="list-style-type: none"> <li>i. <u>Including women.</u></li> </ul>
	6.2.3 Consultations use socially and culturally appropriate approaches.	<ul style="list-style-type: none"> <li>i. Approaches are tailored to the local context.</li> <li>ii. Consultations are conducted at mutually agreed locations.</li> <li>iii. <u>Consultations are gender sensitive.</u></li> </ul>
	6.2.4 All relevant levels of government are involved in the REDD+ program.	<ul style="list-style-type: none"> <li>i. Roles and responsibilities are clearly defined.</li> </ul>
	6.2.5 The REDD+ program design and implementation is adapted in response to rights holder and stakeholder participation.	<ul style="list-style-type: none"> <li>i. Through full and effective participation in design, implementation and evaluation of the program.</li> </ul>
	<del>6.2.6 Sufficient resources are available for full and effective participation of relevant rights holders and stakeholders.</del>	
	<del>6.2.7 The participation processes employed by the REDD+ program are developed and agreed with</del>	<ul style="list-style-type: none"> <li>i. <del>Taking account of statutory and customary institutions and practices.</del></li> </ul>

**Comment [j83]:** Added to ensure that women participate fully and effectively.

**Comment [j84]:** Addition of a new qualifier to ensure that all can access the procedure. New formulation transparent, impartial, safe and accessible used for similar processes in P6.

**Comment [j85]:** In each case where information or processes should be culturally appropriate, 'gender sensitive' has been added.

**Comment [j86]:** New qualifiers from merging with 6.2.7

**Comment [j87]:** Responding to comment 6.26 – why only here and not for other elements? Removed this indicator because it is a precondition for 6.2.1

<sup>52</sup> Including the development of land use and forest management plans related to the REDD+ program.

<sup>53</sup> 'Implementation' is understood to include on-going planning/decision-making as well as the implementation of the activities.

	<del>the relevant rights holder and stakeholder groups.</del>	
	6.2.8 Rights holder and stakeholder groups select their own representatives.	<ul style="list-style-type: none"> <li>i. With special attention to the participation of women and vulnerable and/or marginalized people in the selection of representatives.</li> <li>ii. <u>The selection procedure is transparent, impartial, safe and accessible for all relevant stakeholders.</u></li> </ul>
	6.2.9 Rights holder and stakeholder group representatives involve and are accountable to the people they represent.	i. Representatives inform the people they represent about how the REDD+ program could potentially affect them, facilitating discussion and feedback.
6.3 <del>Design, implementation, monitoring and evaluation of the</del> The REDD+ program builds on, respects, supports and protects rights holders' and stakeholders' traditional and other knowledge, skills, <del>institutions</del> and management systems including those of Indigenous Peoples and local communities.	6.3.1 <del>The REDD+ program builds on, respects, supports and protects</del> The decision-making structures and processes of Indigenous Peoples and local communities <del>are recognized, respected, supported and protected.</del>	<ul style="list-style-type: none"> <li>i. Ensuring that customary institutions and practices are not undermined.</li> <li>ii. <u>Ensuring that institutions and practices of women and marginalized and/or vulnerable groups are not undermined.</u></li> </ul>
	<del>6.3.2 Traditional and other knowledge, skills and management systems of relevance to the REDD+ program are identified.</del>	
	<del>6.3.3</del> The REDD+ program <del>identifies</del> , builds on, respects and supports relevant traditional and other knowledge, skills and management systems.	i. Applies to <del>planning</del> design, implementation, <del>monitoring</del> and evaluation of the REDD+ program.
	6.3.4 <del>3</del> Free, prior and informed consent is obtained for any use of traditional knowledge, innovations and practices of Indigenous Peoples and local communities.	<ul style="list-style-type: none"> <li>i. In accordance with relevant international standards including the <u>Akwé: Kon guidelines of the Convention on Biological Diversity.</u></li> <li>ii. <u>The process for obtaining free, prior and informed consents is:</u> <ul style="list-style-type: none"> <li>a. <u>transparent.</u></li> <li>b. <u>takes into account the views of all community members including those of women and of marginalized and/or vulnerable people.</u></li> <li>c. <u>in accordance with relevant customs, norms and traditions.</u></li> <li>d. <u>applies to each potential use throughout design and implementation of the REDD+ program.</u></li> </ul> </li> </ul>
	6.4 The REDD+ program	6.4.1 Processes are <del>established</del>

**Comment [j88]:** Merged to become a Qualifier for 6.2.1

**Comment [j89]:** Removed phrase to make the sentence stronger and link more clearly with UNFCCC text

**Comment [j91]:** Institutions and practices of women and other groups may be easily undermined and should also be protected.

**Comment [j90]:** Responding to comment 6.02- proposed adding institutions

**Comment [j92]:** Merged with 6.3.3

**Comment [j93]:** Responding to comment 6.31 – is this needed if also in the criterion. Yes, it is needed and should be consistent with the criterion

**Comment [j94]:** Responding to comment 6.33 - specific reference to Akwe Kon guidelines

**Comment [j95]:** Using the key qualifiers for the quality of the FPIC process from 1.3

<p>identifies and uses processes for effective resolution of grievances and disputes relating to the design, implementation and evaluation of the REDD+ program, including disputes over rights to lands, territories and resources relating to the program.</p>	<p><u>identified and used</u> to resolve grievances and disputes related to the REDD+ program.</p>	<p><u>international</u> and customary processes.</p> <p>ii. Includes grievances and disputes that arise during design, implementation and evaluation of the REDD+ program.</p> <p>iii. Includes <u>grievances and</u> disputes over rights to lands, territories and resources <u>and other rights</u> relating to the REDD+ program.</p> <p>iv. Includes grievances and disputes related to benefit sharing.</p> <p>v. <u>Includes grievances and disputes related to participation.</u></p> <p>vi. The processes are transparent, impartial, <u>safe</u> and accessible, <u>giving special attention to women and marginalized and/or vulnerable groups.</u></p> <p>i. Grievances are heard, responded to and resolved within an agreed time period, <u>leading to redress and remedy as appropriate.</u></p> <p>ii. <u>Includes grievances related to the operational procedures of relevant international agencies and/or international treaties, conventions or other instruments.</u></p> <p>vii.</p>
	<p><u>6.4.2 Rights holders and stakeholders are informed about and can access relevant grievance mechanisms.</u></p>	<p>ii. <u>Applies to grievance mechanisms at local, national, international levels and other relevant levels.</u></p> <p>iii. <u>Includes grievances related to the operational procedures of relevant international agencies and/or international treaties, conventions or other instruments.</u></p> <p>iv. <u>Ensuring that information is provided in a form that they understand.</u></p>
	<p>6.4.3-2 No activity is undertaken by the REDD+ program that could prejudice the outcome of an unresolved dispute related to the program.</p>	<p>i. Includes disputes over rights to lands, territories and resources.</p> <p>ii. Includes disputes related to benefit sharing.</p> <p>iii. Applies to the specific area or activity affected by the dispute.</p>
<p>6.5 <u>The REDD+ program ensures that</u> Rights holders and stakeholders have the information that they need about the REDD+ program, provided in a culturally appropriate, <u>gender sensitive</u> and timely way, and the</p>	<p>6.5.1 Rights-holders and stakeholders have access to relevant information about the REDD+ program.</p>	<p>i. <del>Information</del> <u>includes information about:</u></p> <p>a) <u>REDD+ program design, implementation and evaluation;</u></p> <p>b) <u>REDD+ program governance structures and processes including opportunities to participate in decision-making,</u></p>

**Comment [j96]:** Responding to comment 6.26- recommended adding other rights and freedoms that may be violated by REDD+ program. Decided not to use freedoms as not widely understood.

**Comment [j97]:** Responding to comment 6.37- recommended including grievances related to participaton.

**Comment [AL98]:** Mirroring the process indicator included in 6.1.2

**Comment [j99]:** Responding to comments 6.35 and 6.38- recommended including redress and remedy.

**Comment [j100]:** Deleted because this is addressed under 6.5.1 and 6.5.2 and 6.4.1

**Comment [j101]:** Responding to comment 6.44 -re worded 'The REDD+ program ensures that ...' to ensure that the REDD+ program institutions, structures and mechanisms are responsible for ensuring that the information is provided.

**Comment [j102]:** Included gender sensitive in addition to culturally appropriate as for 6.2

capacity to participate fully and effectively in program design, implementation and evaluation.

and in design, analysis, monitoring and evaluation processes;

a) the results of monitoring and evaluation;

b) c) potential assessment of predicted and actual impacts on rights holders and stakeholders related to social, cultural, environmental and economic social, cultural, economic and environmental risks and opportunities aspects and to human rights and rights to lands territories and resources;

d) assessment of predicted and actual impacts on biodiversity and ecosystem services;

e) legal implications;

d) REDD+ program governance structures and processes including opportunities to participate in decision making processes;

e) the requirement for free, prior and informed consent;

f) benefit-sharing including procedures and guidelines;

e) g) grievance mechanisms at local, national, international and other relevant levels;

h) relevant local and national laws and international treaties, conventions and other instruments, legal processes and implications and associated rights with special attention to rights of Indigenous Peoples, women and marginalized and/or vulnerable people;;

f) i) the global, national and local context for the REDD+ program.

ii. With special attention to women and marginalized and/or vulnerable people.

iii. Ensuring adequate time between information dissemination and decision-making to enable rights holders and stakeholders to coordinate their response.

iv. Rights holders and stakeholders know what information is

**Comment [j104]:** Responding to comment 2.16- To cover all opportunities for participation

**Comment [j103]:** Responding to comments 6.41 and 6.43 - Do we need this as well as 4.3 - adequate information available to the public? Yes because this involved active dissemination to rights holders and stakeholders.

**Comment [j105]:** Rewordrd to align with 2.1 and 3.2

**Comment [j106]:** Included provision of information about rights for Indigenous Peoples, women and for marginalized and/or vulnerable people.

		available about the REDD+ program and how to access it.
	6.5.2 The most effective means of dissemination of information about the REDD+ program are identified and used for each rights-holder and stakeholder group.	<ul style="list-style-type: none"> <li>i. With special attention to Indigenous Peoples and local communities, including <u>women and the most-vulnerable and/or marginalized people</u> among them.</li> <li>ii. Ensuring that information is provided in a form that they understand.</li> </ul>
	6.5.3 Constraints to effective participation are addressed through capacity building.	<ul style="list-style-type: none"> <li>i. Applies to all relevant rights holder and stakeholder groups.</li> <li>ii. <u>With special attention to Indigenous Peoples and local communities.</u></li> <li>iii. <u>With special attention to women and marginalized and/or vulnerable groups.</u></li> <li>iv. Capacity building is appropriate and effective for the needs of the groups concerned.</li> <li>v. Includes capacity to use relevant grievance mechanisms.</li> <li>vi. Includes capacity to understand, implement and monitor <u>the free, prior and informed consent and legal requirements</u> related to the REDD+ program.</li> </ul>
	6.5.4 Rights holders and stakeholders can access relevant legal advice.	<ul style="list-style-type: none"> <li>i. <u>Including advice related to their rights.</u></li> <li>ii. Including advice on relevant legal processes of the REDD+ program, and legal <u>and financial</u> implications of the program.</li> </ul>
6.6 Rights holder and stakeholder representatives collect and disseminate all relevant information about the REDD+ program from and to the people they represent in an appropriate and timely way, respecting the time needed for inclusive decision making.	<del>6.6.1 A process is established to ensure that rights holders and stakeholders receive and supply all relevant information through their representatives.</del>	
	6.6.2 Rights holder and stakeholder representatives collect and disseminate all relevant information from and to the people they represent.	<ul style="list-style-type: none"> <li>i. <u>With special attention to women and marginalized and/or vulnerable people.</u></li> <li>ii. Ensuring adequate time to enable rights holders and stakeholders to coordinate their input.</li> </ul>

**Comment [j107]:** This was a common message among the three countries for the women to receive information about their rights

**Comment [j108]:** Deleted because the process leads to 6.6.2 so don't need both indicators.

**Comment [j109]:** Responding to comment 7.05- Definition of local laws amended to explicitly include those of IPs

**Principle 7: The REDD+ program complies with applicable local<sup>54</sup> and national laws and international treaties, conventions and other instruments.<sup>55</sup>**

<sup>54</sup> Local laws include all legal norms given by organisms of government whose jurisdiction is less than the national level, such as departmental, municipal and customary norms including those of Indigenous Peoples.

<sup>55</sup> Including, but not limited to, the Universal Declaration of Human Rights, the United Nations Framework Convention on Climate Change, the Convention on Biological Diversity, the United Nations Declaration on the Rights of Indigenous Peoples, the

Criteria	Framework for indicators	
	Essence	Qualifiers
7.1 The REDD+ program complies with applicable local law, national law and international treaties, conventions and other instruments ratified or adopted by the country.	7.1.1 <u>Local and national laws and international treaties, conventions and other instruments ratified or adopted by the country relevant to the REDD+ program are identified.</u>	i.
	<del>7.1.2 National and local laws relevant to the REDD+ program are identified.</del>	
	7.1.3 The REDD+ program recognizes and respects the human rights of Indigenous Peoples and local communities.	<ul style="list-style-type: none"> <li>i. With special attention to <u>the rights of</u> women and marginalized and/or vulnerable people.</li> <li>ii. Applies to human rights defined by national and international law.</li> <li>iii. Includes the right to self-determination for Indigenous Peoples, and the requirement for free, prior and informed consent in relation to the adoption of legislative or administrative measures as well as other relevant decision-making processes that <u>may affect rights them.</u></li> </ul>
	7.1.4 Appropriate measures are taken to ensure compliance of the REDD+ program with relevant legal instruments.	<ul style="list-style-type: none"> <li>i. Applies to local and national laws and international treaties, conventions and other instruments identified in 7.1.1 <del>and 7.1.2.</del></li> <li>ii. Areas of actual or potential non-compliance are identified using appropriate assessment methods, such as human rights impact assessment.</li> </ul>
7.2 Where local or national law is not consistent with the <u>REDD+ SES or relevant international treaties, conventions or other instruments standards</u> , a review process is undertaken to reconcile the inconsistencies.	7.2. <del>2.1</del> A <u>review</u> process is established to address any <u>gaps and inconsistencies between the standards and local or national law and the REDD+ SES or relevant international treaties, conventions or other instruments.</u>	i. Applies to preexisting laws and changes in the legal framework that may occur during implementation of the REDD+ program.
	<u>7.2.1 Gaps and inconsistencies between local or national law and the REDD+ SES or relevant international treaties, conventions or other instruments are identified.</u>	ii.

**Comment [j110]:** Responding to comment 7.09 – criteria need to address a legal gap analysis and development/adoption of new laws as needed. Amended 7.3

**Comment [j111]:** Responding to comment 7.07- merged with 7.1.1  
**Comment [j112]:** Clarifying the existing text

**Comment [j113]:** Changed to be consistent with UNDRIP

**Comment [j114]:** Responding to comment 7.09, amended to include gap analysis, with an additional indicator

**Comment [j115]:** Responding to comments 7.14 and 7.15 - amended to consider cases where existing laws are not consistent with relevant international law.

**Comment [j116]:** Responding to comment 7.09 - amended to include gap analysis, with an additional indicator

## Glossary

**Accountability** is understood as the structures' performance of tasks or functions are subject to another's oversight, direction or request that they provide information or justification for their actions (World Bank Institute, *Accountability in governance*)

**Benefits, costs and risks** of the REDD+ program include those that are direct and indirect and include those related to social, cultural, environmental and economic aspects and to human rights and rights to lands territories and resources. Costs should include those related to responsibilities and also opportunity costs. All benefits, costs and risks should be relative to the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program. Note that the term 'benefits' refers to positive impacts and the phrase 'costs and risks' equates with negative impacts.

**Carbon rights** are defined as the rights to enter into contracts and national or international transactions for the transfer of ownership of greenhouse gas emissions reductions or removals and the maintenance of carbon stocks.

**Conversion** is defined as the replacement of an existing land cover type by another land cover type, including through deforestation or through change to planted forest (UN-REDD Programme, *Social and Environmental Principles and Criteria*, 2012).

**Country** refers to the jurisdiction leading the REDD+ program, which could be at national, state, provincial or other level.

**Country-specific interpretation** refers to interpretation at the level of jurisdiction leading the REDD+ program.

**Criteria** define the conditions that must be met related to processes, impacts and policies in order to deliver the principles.

**Comment [AL117]:** Changed to reflect changes in the introduction

**Customary rights** to lands and resources refers to patterns of long-standing community land and resource usage in accordance with Indigenous Peoples' and local communities' customary laws, values, customs, and traditions, including seasonal or cyclical use, rather than formal legal title to land and resources issued by the State (World Bank, OP14. *Indigenous Peoples*).

**Deforestation:** The direct human-induced conversion of forested land to non-forested land (UNFCCC Decision 11/CP.7)) and or the conversion of forest to other land use or the long-term reduction of the tree canopy below the minimum 10 percent threshold (FAO, *Forest Resources Assessment*, 2010).

**Degradation:** The reduction in the capacity of a forest to provide goods and services (FAO, *Forest Resources Assessment*, 2010)

**Comment [AL118]:** Responding to comment 0.05

**Duty bearers** have an obligation to ensure respect, protection and fulfillment of rights.

**Ecosystem services** are the benefits people obtain from ecosystems. These include provisioning services such as food, water, timber, and fiber; regulating services that affect climate, floods, disease, wastes, and water quality; cultural services that provide recreational, aesthetic, and spiritual benefits; and supporting services such as soil formation, photosynthesis, and nutrient cycling (Millennium Ecosystem Assessment, *Ecosystems and human well-being: synthesis*, 2005). For the purposes of these standards, 'ecosystem services' refers to services other than greenhouse gas emissions reductions or removals from both forest and non-forest ecosystems.

**Comment [AL119]:** Responding to comment 5.02

**Effectiveness** of the REDD+ program is defined as the extent to which the emissions reductions and other goals of the program are achieved.

**Efficient** is defined as achieving the target with minimum cost, effort and time.

**Equity and equitable** are defined as just, impartial and fair to all parties.

**Framework for indicators** identifies key elements for each criterion. There is a process for country-specific interpretation to develop a set of indicators that are tailored to the context of a particular country/state/province.

**Full and fully** as used in full and effective participation means throughout the process.

**Full and effective participation** means meaningful influence of all relevant rights holder and stakeholder groups who want to be involved throughout the process, and includes consultation and free, prior and informed consent.

[Good governance](#) is characterized by accountability, effectiveness, efficiency, fairness/equity, participation and transparency (FAO, *Framework for assessing and monitoring forest governance, 2011*).

**Comment [AL120]:** Responding to comment 4.02

**Human rights** are the fundamental rights and freedoms that belong to every person in the world, based on core principles like dignity, fairness, equality, respect and autonomy, including but not limited to the rights enshrined in relevant international treaties, conventions and other instruments.

**Implementation** is understood to include on-going planning/decision-making as well as the implementation of the activities.

[Indicators](#) define quantitative or qualitative information needed to show progress achieving a criterion. REDD+ SES Version 2 separates the indicators into:

- [‘essence’ of an indicator – the core idea- followed by](#)
- [‘qualifiers’ – key elements of quality describing important aspects of process or outcome, important elements that should be addressed in the scope of the indicator and other specific points that must be taken into account. The essence and all the qualifiers of each indicator are required to demonstrate high performance. The qualifiers are not optional elements. In some cases, the essence ensures sufficient quality of information and no qualifiers are included.](#)

**Comment [AL121]:** Changed to reflect changes in the introduction

[Integrity](#) “includes, but is not limited to probity, impartiality, fairness, honesty and truthfulness”, serving as an antithesis to “corruption” or “the abuse of office.” (United Nations, *Human Resources Handbook, 2000*).

**Comment [AL122]:** Responding to G.05

[Livelihoods](#) can be defined by five capitals/assets: socio-political, cultural, human, financial, natural and physical. (Eldis, *Sustainable Livelihood Approach, 2012*).

[Local laws](#) include all legal norms given by organisms of government whose jurisdiction is less than the national level, such as departmental, municipal and customary norms including those of Indigenous Peoples.

**Marginalized people or groups** are those that normally have little or no influence over decision-making processes. Marginalization may be related to gender, ethnicity, socio-economic status, geographic location and/or religion. The REDD+ Social & Environmental Standards explicitly adopt a differentiated approach that seeks to identify and address marginalization in all its forms.

**Comment [AL123]:** Responding to G.06

[Natural forests](#) are defined as forest predominantly composed of trees established through natural regeneration. This can include primary forests (naturally regenerated forests where there are no clear indication of human induced activities and the ecological process is not significantly disturbed) and other

naturally regenerated forests (where there are clear indications of human induced activities) (FAO, Forest Resources Assessment, 2010).

Principles provide key objectives that define high social and environmental performance of REDD+ program.

**Comment [AL124]:** Changed to reflect changes in the introduction

REDD+ program to which the REDD+ SES is being applied must be defined in a published document that (i) states the objectives; (ii) identifies the drivers of deforestation and forest degradation; (iii) describes the policies, measures and activities, and plans for their design and implementation; (iv) defines the geographical areas in which activities will be implemented, where relevant; (v) defines the institutional arrangements for program design, implementation and evaluation.

**Resources** is understood to include ecosystem services provided by these resources.

**Respect** is taken to include not undermining or prejudicing rights.

**Rights holders** are those whose rights are potentially affected by the REDD+ program, including holders of individual rights and Indigenous Peoples and others who hold collective rights.

Social justice is understood to mean 'respect, protection and fulfillment of human rights'.

Socially differentiated includes differentiated by gender, marginalization and vulnerability.

Stakeholders are those can potentially affect or be affected by the program.

Standards consist of principles, criteria and indicators which define the issues of concern and conditions to be met to achieve high social and environmental performance and a process for assessment.

**Comment [AL125]:** Changed to reflect changes in the introduction

Territories are particularly relevant for Indigenous Peoples and refers to the total environment of the areas which peoples concerned occupy or otherwise use (ILO Convention 169).

**Comment [AL126]:** Responding to comment 1.14

Transparency and transparent mean that decisions taken and their enforcement are done in a manner that follows rules and regulations. It also means that information is freely available and directly accessible to those who will be affected by such decisions and their enforcement. It also means that enough information is provided and that it is provided in easily understandable forms and media (OECD, *Citizens as partners*, 2001).

Traditional knowledge: "...the manifestations of \*indigenous peoples+ sciences, technologies and cultures, including human and genetic resources, seeds, medicines, knowledge of the properties of fauna and flora, oral traditions, literatures, designs, sports and traditional games and visual and performing arts" (UN Declaration on the Rights of Indigenous Peoples).

Vulnerable people or groups are those with high exposure to external stresses and shocks (including climate change); and with high sensitivity and low adaptive capacity to adjust in response to actual or expected changes due to their lack of secure access to the assets on which secure livelihoods are built (socio-political, cultural, human, financial, natural and physical). Forest dependency may be an important factor affecting vulnerability particularly where the REDD+ program itself may change access to forest resources. In many situations marginalization exacerbates vulnerability, e.g. marginalization by gender.

**Annex 1 - Correspondence between REDD+SES Version 2 principles and the safeguards listed in the Cancun Agreement (UNFCCC decision 1/CP.16 appendix 1)**

UNFCCC Safeguards	REDD+ SES Version June 18 <sup>th</sup> 2012
<p>(a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;</p>	<p><b>Principle 4: The REDD+ program contributes to good governance, to broader sustainable development and to social justice.</b>            4.2 The REDD+ program is coherent with relevant policies, strategies and plans at all relevant levels and there is effective coordination between agencies/organizations responsible for the design, implementation and evaluation of the REDD+ program and other relevant agencies/organizations.</p> <p><b>Principle 7: The REDD+ program complies with applicable local and national laws and international treaties, conventions and other instruments.</b>            7.1 The REDD+ program complies with applicable local law, national law and international treaties, conventions and other instruments ratified or adopted by the country</p>
<p>(b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;</p>	<p><b>Principle 4: The REDD+ program contributes to good governance, to broader sustainable development and to social justice.</b>            4.1 The governance structures of the REDD+ program are clearly defined, transparent, effective and accountable.            4.3 Adequate information about the REDD+ program is publicly available.            4.4 Finances of the REDD+ program are managed with integrity, transparency and accountability.            4.5 The REDD+ program leads to improvements in governance of the forest sector and other relevant sectors.</p>
<p>(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;</p>	<p><b>Principle 1: The REDD+ program recognizes and respects rights to lands, territories and resources</b>            1.1 The REDD+ program effectively identifies the different rights holders (statutory and customary) and their rights to lands, territories and resources relevant to the program.            1.2 The REDD+ program recognizes and respects both statutory and customary rights to lands, territories and resources which Indigenous Peoples or local communities have traditionally owned, occupied or otherwise used or acquired.            1.3 The REDD+ program requires the free, prior and informed consent of Indigenous Peoples and local communities for any activities affecting their rights to lands, territories and resources.            1.4 Where the REDD+ program enables private ownership of carbon rights, these rights are based on the statutory and customary rights to the lands, territories and resources that generated the greenhouse gas emissions reductions and removals.</p> <p><b>Principle 6: All relevant rights holders and stakeholders participate fully and effectively in the REDD+ program.</b>            6.3 The REDD+ program builds on, respects, supports and protects rights holders' and stakeholders' traditional and other knowledge, skills, institutions and management systems including those of Indigenous Peoples and local communities.</p> <p><b>Principle 7: The REDD+ program complies with applicable local and national laws and international treaties, conventions and other instruments.</b>            7.1 The REDD+ program complies with applicable local law, national law and international treaties, conventions and other instruments ratified or adopted by the country</p>

<p>(d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;</p>	<p><b>Principle 6: All relevant rights holders and stakeholders participate fully and effectively in the REDD+ program.</b></p> <p>6.1 The REDD+ program identifies all rights holder and stakeholder groups and characterizes their rights and interests and their relevance to the REDD+ program.</p> <p>6.2 All relevant rights holder and stakeholder groups that want to be involved in REDD+ program design, implementation, monitoring and evaluation are fully involved through culturally appropriate, gender sensitive and effective participation.</p> <p>6.4 The REDD+ program identifies and uses processes for effective resolution of grievances and disputes relating to the design, implementation and evaluation of the REDD+ program, including disputes over rights to lands, territories and resources relating to the program</p> <p>6.5 The REDD+ program ensures that rights holders and stakeholders have the information that they need about the REDD+ program, provided in a culturally appropriate, gender sensitive and timely way, and the capacity to participate fully and effectively in program design, implementation and evaluation.</p> <p>6.6 Rights holder and stakeholder representatives collect and disseminate all relevant information about the REDD+ program from and to the people they represent in an appropriate and timely way, respecting the time needed for inclusive decision making.</p>
<p>(e) Actions are consistent with the conservation of natural forests and biological diversity, ensuring that actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;</p>	<p><b>Principle 3: The REDD+ program improves long-term livelihood security and well-being of Indigenous Peoples and local communities with special attention to women and the most marginalized and/or vulnerable people.</b></p> <p>3.1 The REDD+ program generates additional, positive impacts on the long-term livelihood security and well-being of Indigenous Peoples and local communities, with special attention to women and the most marginalized and/or vulnerable people.</p> <p>3.2 The REDD+ program is adapted based on assessment of predicted and actual impacts in order to mitigate negative, and enhance positive, impacts on Indigenous Peoples and local communities with special attention to women and the most marginalized and/or vulnerable people.</p> <p><b>Principle 5: The REDD+ program maintains and enhances biodiversity and ecosystem services.</b></p> <p>5.1 Biodiversity and ecosystem services potentially affected by the REDD+ program are identified, prioritized and mapped.</p> <p>5.2 The REDD+ program maintains and enhances the identified biodiversity and ecosystem services priorities.</p> <p>5.3 The REDD+ program does not lead to the conversion or degradation of natural forests or other areas that are important for maintaining and enhancing the identified biodiversity and ecosystem service priorities.</p> <p>5.4 There is a transparent assessment of predicted and actual, and positive and negative environmental impacts of the REDD+ program on biodiversity and ecosystem service priorities and any other negative environmental impacts.</p> <p>5.5 The REDD+ program is adapted based on assessment of predicted and actual impacts, in order to mitigate negative, and enhance positive, environmental impacts.</p>
<p>(f) Actions to address the risks of reversals</p>	<p><b>Principle 3: The REDD+ program improves long-term livelihood security and well-being of Indigenous Peoples and local communities with special attention to women and the most marginalized and/or vulnerable people.</b></p> <p>3.2 The REDD+ program is adapted based on assessment of predicted and actual impacts in order to mitigate negative, and enhance positive, impacts on Indigenous Peoples and local communities with special attention to women and the most marginalized and/or vulnerable people.</p> <p><b>Principle 5: The REDD+ program maintains and enhances biodiversity and ecosystem services.</b></p> <p>5.5 The REDD+ program is adapted based on assessment of predicted and actual impacts, in order to mitigate negative, and enhance positive, environmental impacts.</p>
<p>(g) Actions to reduce displacement of emissions.</p>	<p><b>Principle 5: The REDD+ program maintains and enhances biodiversity and ecosystem services.</b></p> <p>5.4 There is a transparent assessment of predicted and actual, and positive and negative environmental impacts of the REDD+ program on biodiversity and ecosystem service priorities and any other negative environmental impacts.</p> <p>5.5 The REDD+ program is adapted based on assessment of predicted and actual impacts, in order to mitigate negative, and enhance positive, environmental impacts.</p>

Not covered

**Principle 2: The benefits of the REDD+ program are shared equitably among all relevant rights holders and stakeholders.**

2.1 There is transparent and participatory assessment of predicted and actual benefits, costs and risks of the REDD+ program for relevant rights holder and stakeholder groups at all levels, with special attention to women and marginalized and/or vulnerable people.

2.2 Transparent, participatory, effective and efficient mechanisms are established for equitable sharing of benefits of the REDD+ program among and within relevant rights holder and stakeholder groups taking into account socially differentiated benefits costs and risks.

**Principle 4: The REDD+ program contributes to good governance, to broader sustainable development and to social justice.**

4.6 The REDD+ program contributes to achieving the objectives of sustainable development policies, strategies and plans established at national and other relevant levels.

4.7 The REDD+ program contributes to respect, protection and fulfillment of human rights.

**Principle 7: The REDD+ program complies with applicable local and national laws and international treaties, conventions and other instruments.**

7.2 Where local or national law is not consistent with REDD+ SES or relevant international treaties, conventions or other instruments, a process is undertaken to reconcile the inconsistencies.