

Draft REDD+ Social & Environmental Standards Version 1 June 15 January 2010

This draft version of the standards derives from a multi-stakeholder workshop held in Copenhagen 5-7 May 2009, consultations with government and non-government representatives in Nepal 29 June-3 July and in Tanzania 9-11 September, public comments received during the first public comment period from 2 October to 30 November 2009 (including input from consultations in Ecuador 22-26 October), ~~and~~ comments from a meeting of the Standards Committee held in Copenhagen on 4-5 December 2009, and comments from the second public comment period from 15 January to 16 April 2010 (including input from national and community level consultations in Liberia 8-12 March, and community level consultations in Nepal 10 March and Tanzania 13 March).

The standards ~~are being~~ have been developed through an inclusive process engaging governments, non-governmental organizations and other civil society organizations, Indigenous Peoples organizations, international policy and research institutions and the private sector. A Standards Committee representing a balance of interested parties is overseeing the standards ~~development~~ initiative. The majority of committee members are from countries where REDD would be implemented recognizing that governments and civil society from these countries should lead the adoption of the standards. The standards ~~development~~ process ~~initiative~~ is being facilitated by the Climate, Community & Biodiversity Alliance (CCBA) and CARE International.

This version of the standards is being implemented in pilot countries during 2010 and 2011. We welcome any comments and suggested amendments or additions to this draft-version of the standards are welcome. Please include your name, organization, the reference number of the relevant principle-criterion-indicator, your comments and suggested changes to the text. Comments should be submitted to jdurbin@climate-standards.org and will be considered in the next revision of the standards revision which will be concluded in December 2011 in 2011, by 15 March 2010 which is the end of the second 60-day public comment period. A comment submission form, versions of the standards in Bahasa Indonesia, English, French, Spanish and Portuguese, Spanish and Swahili, and background documents about the history and process for the development and implementation of these standards are available at <http://www.climate-standards.org/REDD+/>.

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 particularly for Indigenous Peoples and local communities, and in particular for marginalized and/or vulnerable 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 initiative aims to define and build support for a higher level of social and environmental performance from REDD+ programs.

Role of the standards

This initiative is developing standards that can be used by governments, NGOs, financing agencies and other stakeholders to design and implement 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 implemented at national or state/provincial/regional level and 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 performance of a REDD+ program, the standards provide guidance to assist with REDD+ design and also provide a mechanism for reporting on the

¹ '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 and Environmental Standards explicitly adopt a differentiated approach that seeks to identify and address marginalization in all its forms.

² '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. Vulnerability may result from natural causes and/or marginalization by gender, ethnicity, socio-economic status and/or religion.

Comment [jd1]: Added in response to comment no 0.24

~~social and environmental performance of REDD+ programs. The REDD+ programs to which these standards can be applied comprise objectives, policies and measures and are defined by:~~

~~A statement of objectives~~

~~Identification of the drivers of deforestation and forest degradation~~

~~Description of the policies and measures, and activities and plans for their design and implementation~~

~~Definition of the geographical areas in which activities will be implemented, where relevant~~

~~Definition of the institutional arrangements for program design, implementation and evaluation.~~

Components of the standards

The standards ~~will~~ consist of principles, criteria and indicators that define the issues of concern and the required levels of social and environmental performance:

- **Principles** are the 'intent' level of a standard which elaborate on the objectives of the standard and define the scope. They are fundamental statements about the desired outcome and are not designed to be verified.
- **Criteria** are the 'content' level of a standard which set out the conditions which need to be met in order to deliver a principle. It can be possible to verify criteria directly but they are usually further elaborated by indicators.
- **Indicators** are quantitative or qualitative parameters which can be achieved and verified in relation to a criterion to indicate, in practical terms, whether this criterion has been met.

At principle and criteria levels the standards are ~~intended to be~~ generic (i.e. the same across all countries). At the indicator level, there ~~will be~~ a process for country-specific interpretation³ to develop a set of indicators that are tailored to the context of a particular country. To guide this process of country-specific indicator development, a generic 'framework for indicators' has been developed. An international review process will ensure consistency across the country-specific interpretations.

Monitoring, Reporting and Verification

Different options are under consideration for monitoring, reporting and verification (MRV) that balance participation and ownership by stakeholders with enhanced transparency and accountability while also encouraging improved performance. As with the indicators, the MRV process will be country-specific.

Description of the REDD+ program

~~In order to apply the standards, the REDD+ program must be clearly described in a 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.~~

Comment [jd2]: Included as a requirement in response to comment 0.03 explaining what information must be defined for the REDD+ program in order to apply the standards

Principle 1: Rights to lands, territories and resources⁴ are recognized and respected⁵ by the REDD+ program

Criteria	Framework for indicators ⁶
1.1 The REDD+ program ⁷ effectively identifies the different rights holders ⁸ (statutory and customary ⁹) and their rights to	1.1.1 A participatory process is established to inventory and map existing statutory and customary lands, territories and resources tenure/use/access/management rights (including those of women and other potentially vulnerable¹⁰ groups) relevant to the program

Comment [jd3]: Added in response to comment 0.22

³ 'Country-specific interpretation' refers to interpretation at the level of jurisdiction leading the REDD+ program.

⁴ 'Resources' is understood to include ecosystem services provided by these resources.

⁵ 'Respect' is taken to include not undermining or prejudicing rights.

⁶ This framework for indicators identifies key elements for each criterion. There will be a process for country-specific interpretation to develop a set of indicators that are tailored to the context of a particular country.

⁷ The REDD+ program comprises objectives, policies and measures developed for the program and other relevant policies that support it.

⁸ Including holders of individual rights and Indigenous Peoples and others who hold collective rights.

⁹ '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.

<p>lands, territories and resources relevant to the program.</p>	<p><u>including those of marginalized and/or vulnerable groups, and including any overlapping or conflicting rights.</u></p> <p>1.1.2 Land-use plans including forest management plans¹¹ in areas included in the REDD+ program identify the rights of all relevant¹² rights holders and their spatial boundaries including any overlapping or conflicting rights.</p>
<p>1.2 The REDD+ program recognizes and respects both statutory and customary rights¹³ to lands, territories and resources which Indigenous Peoples or local communities¹⁴ have traditionally owned, occupied or otherwise used or acquired.¹⁵</p>	<p>1.2.1 The policies of the National REDD+ program include recognition of and respect for the customary rights of Indigenous Peoples and local communities.</p> <p>1.2.2 Land-use plans including forest management plans in areas included in the REDD+ program recognize and respect customary and statutory rights of Indigenous Peoples and local communities.</p> <p>1.2.3 The REDD+ program promotes securing statutory rights¹⁶ to lands, territories and resources which Indigenous Peoples or local communities have traditionally owned, occupied or otherwise used or acquired.</p>
<p>1.3 <u>The REDD+ program requires the free, prior and informed consent of rights holdersIndigenous Peoples and local communities for any activities affecting their rights to lands, territories and resources.</u></p>	<p>1.3.1 The policies of the REDD+ program uphold the principle of free, prior and informed consent of <u>Indigenous Peoples and local communities rights holders</u> for any activities affecting their rights to lands, territories and resources.</p> <p>1.3.2 The REDD+ program effectively disseminates information about the requirement for free, prior and informed consent of rights holders<u>Indigenous Peoples and local communities</u> for any activities affecting their rights to lands, territories and resources.</p> <p>1.3.3 Collective rights holders define a verifiable process of obtaining their free, prior and informed consent including definition of their own representative <u>and traditional</u> institutions that have authority to give consent on their behalf.</p> <p>1.3.4 Free, prior and informed consent is obtained from rights holders for any activities affecting their rights to lands, territories and resources following the agreed process.<u>Free, prior and informed consent is obtained from Indigenous Peoples, in accordance with their customs, norms and traditions, for activities that may affect their rights, particularly their rights to own and control traditionally owned lands, territories and resources.</u></p> <p><u>1.3.5 Free, prior and informed consent is obtained from members of local communities for any activities affecting their customary or other rights to lands, territories and resources pursuant to mutually acceptable procedures.</u></p> <p><u>1.3.6 Where any relocation or displacement, whether physical or economic, occurs in accordance with free, prior and informed</u></p>

Comment [jd4]: This criterion has been focused on indigenous peoples and local communities based on comments received that FPIC may not be feasible for all rights holders and extending it to all rights holders may undermine the possibility of ensuring FPIC for indigenous peoples. Including local communities is consistent with UN-REDD guidance <http://www.un-redd.org/Home/EngagementofIPs/tabid/1033/language/en-US/Default.aspx>

¹⁰ “Vulnerable” people or groups are those lacking secure access to the assets on which secure 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 peoples’ ability to use these assets. This category specifically includes groups that are disadvantaged by gender, ethnicity, socio-economic status etc.

¹¹ Recognizing that any land use and forest management plans developed under the REDD+ program should be developed with full and effective participation of all relevant stakeholders and rights holders in accordance with criterion 6.2.

¹² ‘Relevant’ rights holders are identified by the REDD+ program in accordance with criterion 6.1.

¹³ Including individual and collective rights.

¹⁴ Wherever the term Indigenous Peoples and local communities is used through these standards -it is implicit that particular attention will be paid to marginalized and/or vulnerable groups within these communities.~~Including individual and collective rights.~~

¹⁵ 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.

¹⁶ Includes securing existing statutory rights and conversion of customary rights to statutory rights.

	<u>consent, there is prior agreement on the provision of alternative lands and/or fair compensation, and the right to return once the reasons for the displacement have ceased.</u>
1.4 The REDD+ program identifies and uses a process for effective resolution of any disputes over rights to lands, territories and resources related to the program and does not proceed with any activity that could prejudice the outcome of the dispute resolution process.	<p>1.4.1 A transparent, accessible and effective mechanism of local/national mediation to resolve any disputes over rights to land, territories and resources related to the REDD+ program is identified or developed.</p> <p>1.4.2 Disputes over rights to lands, territories and resources created by the REDD+ program are <u>transparently</u> resolved within an agreed time frame.</p> <p>1.4.3 No activity is undertaken by the REDD+ program that could prejudice the outcome of an unresolved dispute over rights to lands, territories and resources related to the program.</p>
1.5 Where the REDD+ program enables private ownership ¹⁷ of carbon rights ¹⁸ , these rights are based on the statutory and customary rights to the lands, territories and resources ¹⁹ that generated the greenhouse gas emissions reductions and removals.	1.5.1 Where the REDD+ program enables private ownership of carbon rights, a transparent process for defining carbon rights is developed and implemented based on the statutory and customary rights to the lands, territories and resources that generated the greenhouse gas emissions reductions and removals.

Comment [jd5]: Added in response to comment 1.09:

Comment [jd6]: Removed in response to comment 1.08: 'mediation' is one, but not the only form of dispute resolution.

Principle 2: The benefits of the REDD+ program are shared equitably²⁰ among all relevant²¹ rights holders and stakeholders.²²	
Criteria	Framework for indicators
2.1 The projected costs, potential benefits and associated risks ²³ of the REDD+ program are identified for relevant rights holder and stakeholder groups ²⁴ at all levels ²⁵ using a participatory process.	2.1.1 Projected costs, potential revenues and other benefits and associated risks of the REDD+ program are analyzed for each relevant rights holder and stakeholder groups at all levels using a participatory process.
2.2 Transparent, participatory, effective and efficient ²⁶ mechanisms are established for equitable sharing of benefits of	2.2.1 There is full and effective participation ²⁷ of relevant rights holders and stakeholders that want to be involved, including the <u>most-most-marginalized and/or vulnerable people among them</u> , in defining the decision-making process and the distribution

¹⁷ Ownership of carbon rights may be individual or collective.
¹⁸ 'Carbon rights' are defined as the rights to enter into contracts and transactions for the transfer of ownership of greenhouse gas emissions reductions or removals and the maintenance of carbon stocks.
¹⁹ '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
²⁰ 'Equity' and 'equitable' are defined as just, impartial and fair to all parties including marginalized and vulnerable groups.
²¹ 'Relevant' rights holder and stakeholder groups are identified by the REDD+ program in accordance with criterion 6.1.
²² 'Rights holders' are those whose rights are potentially affected by the REDD+ program and 'stakeholders' are those whose interests are potentially affected by the program.
²³ All analysis of costs, benefits and risks should include those that are direct and indirect and include social, cultural, human -rights, environmental and economic aspects. Costs should include those related to responsibilities and also opportunity costs. All costs, benefits and risks should be compared against the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program.
²⁴ 'Relevant rights holder and stakeholder groups' are identified in accordance with criterion 6.1.
²⁵ At local, national and other relevant levels.
²⁶ 'Efficient' is defined as achieving the target with minimum cost, effort and time.
²⁷ 'Full and effective participation' means meaningful influence of all relevant rights holders and stakeholders who want to be involved throughout the process, ensuring they have prior access to adequate information.

<p>the REDD+ program among and within relevant rights holder and stakeholder groups taking into account costs, benefits and associated risks.</p>	<p>mechanism for equitable benefit-sharing among and within relevant rights holders and stakeholder groups.</p> <p><u>23.2.42</u> The REDD+ program adopts an inclusive and transparent process that requires Indigenous Peoples and local communities, including the most marginalized and/or vulnerable people among them, to determine the form that the benefits will take, how they are delivered and how they will improve their long-term livelihood security and well-being.</p> <p>2.2.32 Clear policies and guidelines for benefit-sharing are developed, agreed, disseminated and followed/implemented.</p> <p>2.2.43 Administrative procedures for fund management and benefits distribution are timely and cost-effective.</p> <p>2.2.45 The design of the benefit-sharing mechanisms is based on a review of options with respect to the equity, effectiveness²⁸ and efficiency of the REDD+ program.</p> <p>2.2.65 The benefit-sharing process includes a transparent and accessible procedure for submitting and resolving complaints.</p>
<p>2.3 There is transparent and participatory monitoring of the costs and benefits of the REDD+ program, including any revenues, and their distribution among relevant rights holders and stakeholders.</p>	<p>2.3.1 Relevant rights holders and stakeholders, including representatives of the most marginalized and/or vulnerable groups, participate effectively in monitoring of the implementation of the agreed benefit-sharing process at national and local levels.</p> <p>2.3.2 Relevant rights holders and stakeholders, including representatives of the most marginalized and/or vulnerable groups, participate effectively in the reporting and review of costs, revenues and other benefits and how they have been distributed, taking into account the initial analysis of projected costs, potential benefits and associated risks.²⁹</p>

Comment [jd7]: Moved from criterion 3.2 in response to comment 2.02

Comment [jd8]: In response to comment 2.07

Principle 3: The REDD+ program improves long-term livelihood³⁰ security and well-being of Indigenous Peoples and local communities with special attention to the most vulnerable people.

Criteria	Framework for indicators
<p>3.1 The REDD+ program is generating additional, positive impacts on the long-term livelihood security and well-being of Indigenous Peoples and local communities, with special attention to the most vulnerable people.</p>	<p>3.1.1 The objectives of the REDD+ program include improving long-term livelihood security and well-being of Indigenous Peoples and local communities, with special attention to the most vulnerable people.</p> <p>3.1.2 The most vulnerable people are identified among the Indigenous Peoples and local communities participating in the REDD+ program.</p> <p>3.1.3 Indigenous Peoples and local communities, including the most vulnerable people among them, acknowledge that they have received benefits from participation in the REDD+ program.</p> <p>3.1.4 The REDD+ program generates additional resources³¹ to improve long-term livelihood security and well-being of Indigenous Peoples and local communities.</p> <p>3.1.5 Measures are adopted to ensure long-term livelihood security and well-being benefits for Indigenous Peoples and local</p>

Comment [PF9]: Where the standards focus on livelihood security benefits, it's appropriate to focus only on vulnerability

Comment [jd10]: In response to comment 3.02

Comment [jd11]: Footnote amended in response to comment 3.03

²⁸ The 'effectiveness' of the REDD+ program is defined as the extent to which the emissions reductions and other goals of the program are achieved.

²⁹ 'The initial analysis of projected costs, potential benefits and associated risks for each rights holder and stakeholder group' undertaken in accordance with criterion 2.1.

³⁰ 'Livelihoods' are based on social, cultural, human, financial, natural, physical and political capabilities/assets.

³¹ Resources should be additional compared with those available under against the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program.

	communities are sustainable.
3.2 The relevant Indigenous Peoples and local communities determine the way in which the REDD+ program improves their long-term livelihood security and well-being through an inclusive and transparent process.	3.2.1 The REDD+ program adopts an inclusive and transparent process that requires Indigenous Peoples and local communities, including the most vulnerable people among them, to determine the form that the benefits will take, how they are delivered and how they will improve their long-term livelihood security and well-being.
3.2.3 There is participatory assessment of positive and negative social, cultural, <u>human rights, environmental</u> and economic impacts of the REDD+ program <u>for Indigenous Peoples and local communities</u> including both predicted and actual impacts.	3.2.3.1 A participatory process is established and implemented to assess the predicted and actual positive and negative <u>social, cultural, human rights environmental and economic</u> impacts of the REDD+ program for Indigenous Peoples and local communities and specifically for the most vulnerable people <u>among them, including gender differentiated impacts.</u> 3.2.3.2 The social, <u>cultural, human rights, environmental and economic</u> impact monitoring takes a differentiated approach that can identify positive and negative impacts on the most vulnerable people, <u>including gender differentiated impacts.</u>
3.3.4 The REDD+ program is adapted based on predictive and ongoing impact assessment to mitigate negative, and enhance positive, long-term livelihood security and well-being impacts <u>for Indigenous Peoples and local communities.</u>	3.4.1 Measures are developed and implemented³² to effectively mitigate potential and actual negative, and enhance positive, impacts on Indigenous Peoples and local communities in general, and the most vulnerable people in particular, both during the design and implementation phases of the REDD+ program. <u>3.3.1 Measures to identify and effectively mitigate potential negative impacts on Indigenous Peoples and local communities in general, and the most vulnerable people in particular, are included in the design of the REDD+ program.³³</u> <u>3.3.2 Feedback from monitoring is used to develop and implement measures to further mitigate potential and actual negative impacts on the most vulnerable people in particular, during the implementation phase of the REDD+ program.</u> <u>3.3.3 Feedback from monitoring results in measures to enhance the positive impacts on Indigenous Peoples and local communities in general, and the most vulnerable people in particular.</u>

Comment [jd12]: Moved to indicator 2.2.2 in response to comment no 2.02

Comment [jd13]: Added in response to comments 4.05 and 8.03

Comment [jd14R13]: Added in response to comment 4.05

Comment [jd15]: Environmental added in response to comment 3.04

Comment [jd16]: Broken into three indicators for clarity and consistency with level of detail in other indicators

Principle 4: The REDD+ program contributes to broader sustainable development, <u>respect and protection of human rights</u> and good governance³⁴ objectives.	
Criteria	Framework for indicators
4.1 The REDD+ program contributes to achieving the objectives of sustainable development policies, strategies and plans ³⁵ established at national and other relevant levels.	4.1.1 The REDD+ program elaborates how its policies and measures will contribute to the implementation of any existing poverty reduction policies, strategies and plans developed at national <u>and/or</u> other relevant levels <u>of government.</u> 4.1.2 The REDD+ program elaborates how its policies and

³² Recognizing that any mitigation measures within the REDD+ program should be developed and implemented with full and effective participation of all relevant stakeholders and rights holders in accordance with criterion 6.2

³³ Recognizing that any mitigation measures within the REDD+ program should be developed and implemented with full and effective participation of all relevant rights holders and stakeholders in accordance with criterion 6.2

³⁴ The elements of good governance include accessibility, people's participation, transparency, accountability, rule of law, predictability, justice and sustainability.

³⁵ E.g. poverty reduction strategies/targets, national/government budgets, national biodiversity strategies, conservation policies and regulations, national climate change strategies, national adaptation plans etc.

	<p>measures will contribute to the implementation of any existing biodiversity policies, strategies and plans³⁶ developed at national level and for other relevant levelecological regions.</p> <p>4.1.3 National livelihood, poverty and other millennium development goal monitoring shows improvements in areas where REDD+ program activities are implemented.</p>
4.2 The REDD+ program leads to improvements in governance of the forest sector and other relevant sectors.	<p>4.2.1 The REDD+ program identifies the broader forest governance issues that it can address, particularly those related to the equity³⁷, effectiveness and efficiency of the REDD+ program, and establishes country-specific performance targets.</p> <p>4.2.2 The REDD+ program includes institutional capacity strengthening and other measures that aim to improve these governance aspects.</p> <p>4.2.3 The REDD+ program monitoring and evaluation plan includes key forest governance indicators.</p>
4.3 The REDD+ program contributes to respect and protection of human rights.	<p>4.3.1 The REDD+ program elaborates how its policies and measures will contribute to the improved respect and protection of human rights.</p> <p>4.3.2 The REDD+ program monitoring and evaluation plan includes key human rights indicators.</p>
4.4 3 There is strong government commitment to the REDD+ program in their country.	<p>4.43.1 REDD+ program institutional arrangements reflect government leadership.</p> <p>4.43.2 Government agencies/organizations play a leading role in the development, implementation and evaluation of the REDD+ program.</p>
4.4.5 The REDD+ program is coherent with relevant policies, strategies and plans at all relevant levels and there is effective coordination between government and other agencies/organizations responsible for the design, implementation and evaluation of the REDD+ program and other relevant government agencies/organizations	<p>4.5.1 Land use planning elements of the REDD+ program including recognition of customary rights to land territories and resources are consistent with other land use planning processes.</p> <p>4.5.2 The REDD+ program is consistent with national policies and strategies to protect human rights and combat discrimination against marginalized groups.</p> <p>4.5.32 The REDD+ program is integrated into the broader policy framework of the forest sector and other relevant sectors.</p> <p>4.5.43 Inconsistencies between the REDD+ program and other relevant sustainable development, governance, and, and human rights, policies, strategies and plans are identified and resolved.</p> <p>4.5.44 A review process and timeline for resolving the inconsistencies between the REDD+ program and other relevant sustainable development policies, strategies and plans is established and implemented.</p> <p>4.5.6 An effective and efficient process is established to link the REDD+ program with all relevant ministries and government agencies/organizations at all relevant levels.</p>
4.5 There is effective coordination between government and other agencies/organizations responsible for the design, implementation and evaluation of the REDD+ program	<p>4.5.1 An effective and efficient process is established to link the REDD+ program with all relevant ministries and government agencies/organizations at all relevant levels.</p>

Comment [jd17]: Added in response to comment 5.01

Comment [jd18]: 4.4 Coherence between policies and 4.5 coordination with relevant ministries and partners have been combined. in response to comment 4.04

Comment [jd19]: Added in response to comment 4.05

Comment [jd20]: Added in response to comment 4.06

Comment [jd21]: In response to comment 5.01

Comment [jd22]: In response to comment no 4.08

³⁶ Including public, private and community protected areas.

³⁷ 'Equity' and 'equitable' are defined as just, impartial and fair to all parties including marginalized and vulnerable groups.

and other relevant government agencies/organizations.

Principle 5: The REDD+ program maintains and enhances³⁸ biodiversity and ecosystem services.^{39,40}

Criteria	Framework for indicators
<p>5.1 Biodiversity and ecosystem services potentially affected by the REDD+ program are maintained and enhanced.</p>	<p>5.1.1 Biodiversity and ecosystem services⁴¹ values potentially affected by the REDD+ program are identified, prioritized and mapped⁴² at a scale and level of detail appropriate to each element/activity within the program,⁴³ including but are not limited to areas of significance for threatened or endemic species, for significant concentrations or source populations of other species, for ecosystems and for ecosystem services of economic, climate change adaptation, cultural or religious importance to stakeholders, particularly Indigenous Peoples and local communities</p> <p><u>5.1.2 The objectives of the REDD+ program include making a significant contribution to maintaining and enhancing biodiversity and ecosystem services.</u></p> <p>5.1.32 The REDD+ program identifies and implements measures that aim to maintain and enhance the identified biodiversity and ecosystem service prioritiesvalues potentially affected by the REDD+ program.</p> <p><u>5.1.4 The REDD+ program does not lead to the conversion of natural forests or other areas that important for maintaining and enhancing the identified biodiversity and ecosystem service priorities.</u></p> <p>5.1.53 The REDD+ program generates additional resources⁴⁴ to maintain and enhance biodiversity and ecosystem services.</p>
<p>5.2 The positive and negative environmental impacts of the REDD+ program <u>on biodiversity and ecosystem service priorities and any other negative environmental impacts</u> are assessed including both predicted and actual impacts.</p>	<p>5.2.1 A monitoring plan and indicators are defined for measurement of the identified biodiversity and ecosystem service values priorities potentially affected by the REDD+ program drawing from traditional knowledge and scientific research as appropriate.</p> <p>5.2.2 There is an assessment of both predicted and actual environmental impacts of the REDD+ program⁴⁵, involving Indigenous Peoples and local communities and other stakeholders as appropriate.</p>

Comment [jd24]: In response to comment 5.03

Comment [jd25]: This has been added to follow draft LCA REDD text adapted to include other areas identified as important for the conservation and maintenance of biodiversity and ecosystem service priorities.

Comment [jd26]: In response to comment 5.04

³⁸ Impacts on biodiversity and ecosystem services are relative to the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program.

³⁹ 'Ecosystem services' in this context refers to services other than greenhouse gas emissions reductions or removals.

⁴⁰ Including Focusing on biodiversity and ecosystem service values priorities identified in existing national biodiversity strategy and action plans (NBSAP), gap analyses supporting the Convention on Biological Diversity 2010 targets or application of frameworks aligned with these efforts such as multilateral development bank safeguards (World Bank OP 4.04, IFC Performance Standard 6), key biodiversity areas, high conservation value areas and other relevant systematic conservation planning approaches.

⁴¹ Including biodiversity and ecosystem service priorities identified in existing national biodiversity strategy and action plans (NBSAP), gap analyses supporting the Convention on Biological Diversity 2010 targets or application of frameworks aligned with these efforts such as multilateral development bank safeguards (World Bank OP 4.04, IFC Performance Standard 6), key biodiversity areas, high conservation value areas and other relevant systematic conservation planning approaches.

⁴² Paying specific attention to any plans to including natural forest and areas important for the conservation of biodiversity and ecosystem service priorities and paying specific attention to any plans to expand non-native forests and their impacts on biodiversity and ecosystem service priorities/values.

⁴³ Including but are not limited to areas of significance for threatened or endemic species, for significant concentrations or source populations of other species, for ecosystems and for ecosystem services of economic, climate change adaptation, cultural or religious importance to stakeholders, particularly Indigenous Peoples and local communities.

⁴⁴ Resources should be additional compared against the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program.

⁴⁵ For example through strategic environmental assessment or environmental impact assessments

<p>5.3 The REDD+ program design and implementation addresses maintenance and enhancement of biodiversity and ecosystem services building on relevant traditional knowledge and management practices of Indigenous Peoples and local communities and other stakeholders.</p>	<p>5.3.1 The objectives of the REDD+ program include making a significant contribution to maintaining and enhancing biodiversity and ecosystem services.</p> <p>5.3.2 The REDD+ program identifies and implements measures to maintain and enhance identified biodiversity and ecosystem service values potentially affected by the REDD+ program building on relevant traditional knowledge and management practices of Indigenous Peoples and local communities and other stakeholders.</p>
<p>5.3.4 The REDD+ program is adapted based on predictive and ongoing impact assessment to mitigate negative, and enhance positive, environmental impacts.</p>	<p>5.3.4.1 Measures are developed and implemented to mitigate potential and actual negative, and enhance positive, environmental impacts of the REDD+ program both during the design and the implementation phases of the program, building on relevant traditional knowledge and management practices of Indigenous Peoples and local communities and other stakeholders. <u>Measures to identify and effectively mitigate potential negative environmental impacts are included in the design of the REDD+ program.</u></p> <p>5.3.2 Feedback from monitoring is used to develop and implement measures to further mitigate potential and actual negative environmental impacts, during the implementation phase of the REDD+ program.</p> <p>5.3.3 Feedback from monitoring results in measures to enhance environmental impacts. <u>stakeholders.</u></p>

Comment [jd27]: 5.3 deleted in response to comment 5.05 and 5.3.1 moved to 5.1 and respecting and building on traditional knowledge covered in 6.6 in response to comment 5.02

Comment [jd28]: Broken into three indicators for clarity and consistency with level of detail in other indicators

Principle 6: All relevant⁴⁶ rights holders and stakeholders participate fully⁴⁷ and effectively⁴⁸ in the REDD+ program.	
Criteria	Framework for indicators
<p>6.1 The REDD+ program identifies and characterizes the rights and interests of all rights holder and stakeholder groups⁴⁹ and their relevance to the REDD+ program.</p>	<p>6.1.1 Rights holder and stakeholder groups are identified including Indigenous Peoples, local communities, with special attention to most marginalized and/or the most vulnerable groups.</p> <p>6.1.2 The rights and interests of each rights holder and stakeholder group in relation to the REDD+ program are characterized, including potential barriers to their participation, and their relevance to the REDD+ program defined.</p> <p>6.1.3 There is a procedure to enable any interested party to apply be considered as a relevant rights holder or stakeholder based on their rights and interests related to REDD+ program.</p>
<p>6.2 All relevant rights holder and stakeholder groups that want to be involved in REDD+ program design⁵⁰, implementation⁵¹ and evaluation are fully involved through <u>culturally appropriate and effective consultation or more active</u></p>	<p>6.2.1 A process and institutional structure are established and functional to enable all relevant rights holder and stakeholder groups to participate <u>fully and effectively</u> in program design, implementation and evaluation.</p> <p>6.2.2 There is effective <u>and equitable</u> representation of the most marginalized and/or vulnerable groups in the rights holder and stakeholder consultation and participation process, <u>including</u></p>

⁴⁶ The 'relevant' rights holder and stakeholder groups are identified by the REDD+ program in accordance with criterion 6.1.

⁴⁷ ~~'Fully' means throughout the process.~~

⁴⁸ ~~'Full and Effective participation' means meaningful influence of all relevant rights holders and stakeholder groups who want to be involved throughout the process, and includes consultation and free, prior and informed consent, ensuring they have prior access to adequate information.~~

⁴⁹ Groups of rights holders or stakeholders who have a similar rights or interests with respect to the REDD+ program.

⁵⁰ Including the development of land use and forest management plans related to the REDD+ program.

⁵¹ 'Implementation' is understood to include on-going planning/decision-making as well as the implementation of the activities.

<p>participation.</p>	<p><u>women.</u></p> <p>6.2.3 Consultations about the REDD+ program are tailored to the local context using socially and culturally appropriate methods and are conducted at mutually agreed locations.</p> <p>6.2.4 Local government is involved in the REDD+ program as well as government at national or other relevant levels and their roles <u>and responsibilities</u> are clearly defined.</p> <p>6.2.5 The REDD+ program design and implementation is adapted based on <u>ongoing</u> rights holder and stakeholder consultation or more active participation in design, implementation and evaluation of the program.</p> <p><u>6.2.6 Relevant rights holders and stakeholder groups have access to sufficient resources to participate fully and effectively in the design, implementation and evaluation of the REDD+ program.</u></p>
<p>6.3 The relevant rights holder and stakeholder groups determine, in a verifiable manner, the process <u>and mechanism</u> by which they will participate be consulted and be represented in relation to the REDD+ program, taking account of statutory and customary institutions.</p>	<p>6.3.1 The consultation-participation processes employed by the REDD+ program are developed with and approved by the relevant rights holder and stakeholder groups, taking account of statutory and customary institutions <u>and practices.</u></p> <p>6.3.2 The REDD+ program recognizes and respects and does not undermine rights holder and stakeholder groups' own decision-making structures and processes particularly those of Indigenous Peoples and local communities.</p> <p>6.3.3 Rights holder and stakeholder groups select their own representatives to participate in decision-making about the REDD+ program.</p> <p><u>6.3.4 Rights holder and stakeholder group representatives ensure effective involvement of, and accountability to, the people they represent, informing them about how the REDD+ program could potentially affect them and facilitating discussion and feedback.</u></p>
<p>6.4 Rights holder and stakeholder group representatives ensure effective involvement of, and accountability to, the people they represent and assist with consensus building.</p>	<p>6.4.1 Rights holder and stakeholder representatives adopt a transparent process to inform the people they represent about how the REDD+ program could potentially affect them and facilitate discussion and feedback.</p>
<p>6.45 The relevant rights holders and stakeholder groups have a good understanding of the key issues related to the REDD+ program and the capacity to participate effectively.</p>	<p>6.45.1 Information dissemination and other awareness-raising activities ensure that relevant rights holders and stakeholders have a good understanding of the REDD+ program, particularly Indigenous Peoples and local communities, including <u>marginalized and the most</u> vulnerable people among them.</p> <p>6.45.2 Constraints to the effective participation of relevant rights holder and stakeholder groups in design, implementation and evaluation are identified and resolved through effective capacity-building <u>that is appropriate to the situation and needs of the groups concerned.</u></p>
<p>6.56 Design, implementation and evaluation of the REDD+ program builds on, <u>respects</u> and supports rights holders' and stakeholders' <u>traditional and other</u> knowledge, skills and management systems including those of Indigenous Peoples and local communities.</p>	<p>6.56.1 A process is established to identify indigenous-traditional and other knowledge, skills and management systems of relevance to the REDD+ program.</p> <p>6.56.2 The REDD+ program <u>builds on and respects</u>incorporates, as appropriate, the identified <u>relevant</u> rights holder and stakeholder <u>traditional and other</u> knowledge, skills and management systems in planning, implementation and evaluation.</p> <p><u>6.5.3 Where the traditional knowledge, innovations and practices of Indigenous Peoples and local communities is used, recorded or exploited, this is with their free, prior and informed consent in</u></p>

Comment [jd29]: Changed in response to comment 6.02

Comment [jd30]: Added in response to comment 6.08

Comment [jd31]: Amended in response to comment 6.10

Comment [jd32]: Moved from criterion 6.9 to indicator of 6.2 in response to comment 6.05

Comment [jd34]: Added in response to comment 6.11

Comment [jd33]: Wording changed to accommodate incorporation of criterion 6.4 in response to comment 6.05

Comment [jd35]: Criterion 6.4 combined with 6.3 in response to comment 6.05

Comment [jd36]: In response to comment 5.02

Comment [jd37]: Moved from 5.3 as should cover more than just management for biodiversity and ecosystem services. New language in response to comment 5.02

	<u>accordance with relevant international standards.</u> ⁵²
6.67 Mechanisms are in place to receive and resolve grievances and disputes <u>effectively</u> relating to the design, implementation and evaluation of the REDD+ program.	<p>6.67.1 A transparent, impartial, and accessible process is established to address grievances and disputes that arise during REDD+ program design, implementation and evaluation including a process for hearing, responding to and resolving rights holder and stakeholder grievances within an agreed time period.</p> <p>6.67.2 The grievance and dispute resolution process is publicized to all rights holders and stakeholders.</p> <p>6.67.3 The grievance and dispute resolution process is managed by a third-party mediator to prevent any conflict of interest. 6.6.3 <u>Rights holders and stakeholders have information on and are able to access relevant international mechanisms to resolve grievances related to the operational procedures of relevant international agencies and/or international treaties, conventions or other instruments.</u></p>
6.78 Rights holders and stakeholders have access to legal advice and understand relevant legal processes, and legal and financial implications related to the REDD+ program.	6.78.1 A legal advice service is available and accessible to rights holders and stakeholders to advise them on relevant legal processes and legal and financial implications related to the REDD+ program.
6.9 The REDD+ program makes sufficient resources available to ensure full and effective participation of rights holders and stakeholders.	6.9.1 Relevant rights holders and stakeholder groups have access to sufficient resources to participate fully and effectively in the design, implementation and evaluation of the REDD+ program.

Comment [jd38]: Deleted in response to comment 6.04. Mediation is just one form of dispute resolution.

Comment [jd39]: Moved to indicator of 6.2 in response to comment 6.05

Principle 7: All rights holders and stakeholders have timely access to appropriate and accurate information to enable informed decision-making and good governance of the REDD+ program.	
Criteria	Framework for indicators
7.1 Adequate information about the REDD+ program is publicly available to promote general awareness and good governance.	<p>7.1.1 Adequate information about the REDD+ program is made publicly available and accessible to potentially interested members of the public, including information about program design, implementation <u>and</u> evaluation, <u>including social and environmental impact assessment</u>, benefit-sharing, biodiversity and ecosystem services and rights to lands, territories, resources.</p> <p>7.1.2 Government policies support <u>free and timely</u> stakeholder access to information about the REDD+ program, including information on rights to lands, territories, resources.</p>
7.2 Rights holders and stakeholders have the information that they need about the REDD+ program, provided in a <u>culturally</u> appropriate and timely way, to participate fully and effectively in program design, implementation and evaluation, including information about potential social, cultural, economic and <u>ecological-environmental</u> risks and	<p>7.2.1 Rights holders and stakeholders know what information is available about the REDD+ program and how to access it.</p> <p>7.2.2 The most effective means of dissemination of information about the REDD+ program are identified and used for each rights holder and stakeholder group.</p> <p>7.2.3 Rights holders and stakeholders have access to relevant information about the REDD+ program, including the results of monitoring and evaluation, potential social, cultural, economic and <u>ecological-environmental</u> risks and opportunities, legal</p>

Comment [jd40]: Added in response to comment

⁵² E.g. the Convention on Biological Diversity.

opportunities, legal implications, and the global and national context.	implications, <u>opportunities to participate in decision-making processes, grievance mechanisms</u> and the global, national and local context. 7.2.4 Indigenous Peoples and local communities, <u>including marginalized and/or vulnerable groups among them</u> , have access to <u>the relevant the</u> information they need about the REDD+ program in a form they understand.
7.3 Rights holder and stakeholder group representatives collect and disseminate all relevant information about the REDD+ program from and to the people they represent in an appropriate and timely way.	7.3.1 Rights holder and stakeholder group representatives collect and disseminate all relevant information related to the REDD+ program from and to the people they represent. 7.3.2 A process is established to ensure that rights holders and stakeholders receive and supply all relevant information related to the REDD+ program through their representatives.
7.4 Information is available and disseminated about the REDD+ program in time to enable rights holder and stakeholder feedback to their representatives and respecting the time needed for inclusive decision making.	7.4.1 Information is available and disseminated about the REDD+ program allowing adequate time between information dissemination and decision-making to enable rights holders and stakeholders to coordinate their response.
7.5 The REDD+ program makes sufficient resources available to provide and collect information in a timely and appropriate manner.	7.5.1 There are sufficient resources to ensure that relevant information about the REDD+ program is disseminated to, and collected from, rights holders and stakeholders in a timely and appropriate manner.

Principle 8: The REDD+ program complies with applicable local⁵³ and national laws and international treaties, conventions and other instruments⁵⁴ ~~agreements~~.

Criteria	Framework for indicators
8.1 The REDD+ program complies with <u>applicable</u> local law, national law and international treaties, conventions and <u>other instruments agreements</u> ratified or adopted by the country.	8.1.1 International treaties, conventions and <u>other instruments ratified or adopted by the country agreements</u> relevant to the REDD+ program are identified. 8.1.2 National and local laws relevant to the REDD+ program are identified. <u>8.1.3 The REDD+ program recognizes and respects the human rights⁵⁵ of Indigenous Peoples and local communities, including women and other marginalized groups, as defined by national and international law.</u> 8.1.4 Any possible areas where the <u>design and/or implementation</u> REDD+ program does not, or may not, comply with the relevant

Comment [jd41]: Added in response to comment 8.03 to include UNDRIP

Comment [jd42]: A list of relevant international instruments has been included as a footnote in response to comment 8.04

Comment [jd43]: Added in response to comment 0.17

⁵³ 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.

⁵⁴ Including the Universal Declaration of Human Rights, United Nations Framework Convention on Climate Change, Convention on Biological Diversity, United Nations Declaration on the Rights of Indigenous Peoples, Convention on the Elimination of All Forms of Discrimination Against Women, International Labor Organization Convention 169.

⁵⁵ Including 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 affect rights.

	local and national laws and international treaties, conventions and <u>other instruments⁵⁶ agreements</u> are identified ⁵⁷ and monitored, <u>and appropriate measures are taken to ensure compliance.</u>
8.2 Where local or national law is not consistent with the standards, a review process should be undertaken that results in a plan to resolve the inconsistencies.	8.2.1 A review process is established to address the inconsistencies between the standards and local or national law, <u>including preexisting laws and changes in the legal framework that may occur during implementation of the REDD+ program.</u>
8.3 Relevant ⁵⁸ rights holders and stakeholders have the capacity to understand, implement and monitor legal requirements related to the REDD+ program.	8.3.1 Relevant rights holders and stakeholders have the capacity to enable them to understand, implement and monitor legal requirements related to the REDD+ program.

Comment [jd44]: Added in response to comment 8.03

Comment [jd45]: Added in response to 8.03

Comment [jd46]: New wording in response to comment 8.02

⁵⁶ Including respect for the rights enshrined in these treaties, conventions and other instruments.

⁵⁷ Using appropriate assessment, including human rights impact assessment.

⁵⁸ Relevant rights and stakeholders refers in this criterion to those with responsibility for the implementation and monitoring of legal requirements.

Glossary

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

Costs, benefits and risks of the REDD+ program include those that are direct and indirect and include social, cultural and economic aspects. Costs include opportunity costs. All costs, benefits and risks are compared against the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program.

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

Criteria are the 'content' level of a standard which set out the conditions which need to be met in order to deliver a principle. It can be possible to verify criteria directly but they are usually further elaborated by indicators.

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.

Ecosystem services in this context refers to services other than greenhouse gas emissions reductions or removals.

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 will be 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.

~~means meaningful influence of all relevant rights holders and stakeholders who want to be involved throughout the process, ensuring they have prior access to adequate information.~~

Good governance includes accessibility, people's participation, transparency, accountability, rule of law, predictability, justice and sustainability.

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

Indicators are quantitative or qualitative parameters which can be achieved and verified in relation to a criterion.

Livelihoods are based on social, cultural, human, financial, natural, physical and political capabilities/assets.

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.

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 and/or religion. The REDD+ Social & Environmental Standards explicitly adopt a differentiated approach that seeks to identify and, where necessary, counter marginalization in all its forms.

Principles are the 'intent' level of a standard which elaborate on the objectives of the standard and define the scope. They are fundamental statements about the desired outcome and are not designed to be verified.

REDD+ program comprises objectives, policies and measures developed for the program and other relevant policies that support it.

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

Rights holders are those whose rights are potentially affected by the REDD+ program and 'stakeholders' are those whose interests are potentially affected by the program.

Standards consist of principles, criteria and indicators that define the issues of concern and the required levels of social and environmental performance.

Vulnerable people or groups are those lacking secure access to the assets on which secure 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 peoples' ability to use 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.

~~**Vulnerable people or groups** are those with least secure access to the assets on which secure livelihoods are built (social, cultural, human, financial, natural, physical and political) and/or high exposure to external stresses and shocks, including climate change, that may affect these assets and peoples' ability to use these assets. This category specifically includes individuals or groups that are disadvantaged by gender, ethnicity, socio-economic status etc.~~

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