

## Draft REDD+ Social & Environmental Standards Version 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.

The standards are being 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. 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 is being facilitated by the Climate, Community & Biodiversity Alliance (CCBA) and CARE International.

We welcome any comments and suggested amendments or additions to this draft version of the standards. 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](mailto:jdurbin@climate-standards.org) by 15 March 2010 which is the end of the second 60-day public comment period.

### 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, particularly for Indigenous Peoples and other 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.

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### 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 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. The REDD+ programs to which these standards can be applied comprise objectives, policies and measures and are defined by:

- i. A statement of objectives
- ii. Identification of the drivers of deforestation and forest degradation
- iii. Description of the policies and measures, and activities and plans for their design and implementation
- iv. Definition of the geographical areas in which activities will be implemented, where relevant
- v. Definition of the institutional arrangements for program design, implementation and evaluation.

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Comment [j1]: In response to comment no 5

### 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.

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 interpretation<sup>1</sup> to develop a set of indicators that are tailored to the context of a particular country. To guide this process of country-specific indicator

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<sup>1</sup> 'Country-specific interpretation' refers to interpretation at the level of jurisdiction leading the REDD+ program.

development, a generic 'framework for indicators' has been developed. An international review process will ensure consistency across the country-specific interpretations. ▾

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**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.

<b>Principle 1: Rights to lands, territories and resources<sup>2</sup> are recognized and respected by the REDD+ program.</b>	
<b>Criteria</b>	<b>Framework for indicators<sup>3</sup></b>
1.1 The REDD+ program <sup>4</sup> effectively identifies the different rights holders <sup>5</sup> (statutory and customary <sup>6</sup> ) and their rights to lands, territories and resources relevant to the program.	<p>1.1.1 A <u>participatory</u> 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 <u>vulnerable</u><sup>7</sup> groups) relevant to the program including <u>any overlapping or conflicting rights</u>.</p> <p>1.1.2 Land-use plans including forest management plans<sup>8</sup> in areas included in the REDD+ program identify the rights of all <u>relevant</u><sup>10</sup> rights holders and their spatial boundaries <u>including any overlapping or conflicting rights</u>.</p>
1.2 The REDD+ program <u>recognizes and respects</u> both statutory and customary rights to lands, territories and resources which Indigenous Peoples or local communities <sup>11</sup> have traditionally owned, <u>occupied</u> or otherwise used or acquired. <sup>12</sup>	<p>1.2.1 <u>The policies of the National REDD+ program include recognition of and respect for the customary rights of Indigenous Peoples and local communities.</u></p> <p>1.2.2 Land-use plans including forest management plans in areas included in the REDD+ program recognize <u>and respect</u> customary and statutory rights of Indigenous Peoples and local communities.</p> <p>1.2.3 The REDD+ program promotes securing statutory rights<sup>13</sup> to lands, territories and resources which Indigenous Peoples or local communities have traditionally owned, <u>occupied</u> or otherwise used or acquired.</p>
1.3 The REDD+ program requires the free, prior and informed consent of rights holders for any activities affecting their rights to lands,	<p>1.3.1 The policies of the REDD+ program uphold the principle of free, prior and informed consent of rights holders for any activities affecting their rights to lands, territories and resources.</p> <p>1.3.2 The REDD+ program effectively disseminates information</p>

**Comment [j2]:** In response to comment no 40 and no 44

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**Comment [j3]:** As proposed by comment no 32

**Comment [j4]:** Moved footnote to 'vulnerable' so can use same definition for vulnerable people and vulnerable groups

**Comment [PF5]:** Replacing 'poor and marginalized' with 'vulnerable' throughout the document.

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**Comment [j6]:** Footnote added in response to comment no 45

**Comment [j7]:** As proposed by comment no 20

**Comment [j8]:** As proposed by comment no 33

**Comment [j9]:** Recognition should come before respect as in the principle

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**Comment [j11]:** Order changed as suggested in comment no 46

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**Comment [j12]:** Proposed by comment no 31

**Comment [j10]:** 'and' removed to make the language exactly the same as UNDRIP Art 26

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**Deleted:** 1.2.2 The policies of the National REDD+ program include recognition of the customary rights of Indigenous Peoples and local communities.¶

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<sup>2</sup> 'Resources' is understood to include ecosystem services provided by these resources.

<sup>3</sup> 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.

<sup>4</sup> The REDD+ program comprises objectives, policies and measures developed for the program and other relevant policies that support it.

<sup>5</sup> Including holders of individual rights and Indigenous Peoples and others who hold collective rights.

<sup>6</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.

<sup>7</sup> '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.

<sup>9</sup> 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.

<sup>10</sup> 'Relevant' rights holders are identified by the REDD+ program in accordance with criterion 6.1.

<sup>11</sup> Including individual and collective rights.

<sup>12</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>13</sup> Includes securing existing statutory rights and conversion of customary rights to statutory rights.

territories and resources.	<p>about the requirement for free, prior and informed consent of rights holders 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 <u>their</u> free, prior and informed consent including <u>definition of their own representative institutions that have</u> 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.</p>
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, <u>accessible and effective</u> mechanism of local/national mediation to resolve any disputes over rights to land, territories and resources related to the REDD+ program is, <u>identified or developed</u>.</p> <p>1.4.2 Disputes <u>over rights to lands, territories and resources created by the REDD+ program</u> are resolved <u>within an</u> agreed time frame.</p> <p>1.4.3 <u>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</u>.</p>
1.5 Where the REDD+ program enables private ownership <sup>14</sup> of carbon rights <sup>15</sup> , these rights are based on the statutory and customary rights to the lands, territories and resources <sup>16</sup> that generated the greenhouse gas emissions reductions and removals.	1.5.1 <u>Where the REDD+ program enables private ownership of carbon rights, a</u> 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 [j13]:** This is in line with UNDRIP Art 32.

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**Comment [j14]:** To bring indicator in line with the criterion

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**Comment [j15]:** To allow use of any pre-existing tenure dispute resolution mechanisms

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**Comment [j16]:** 'added 'created by the REDD+ program' because unfeasible to require REDD+ program to resolve all pre-existing tenure disputes

**Comment [j17]:** Removed 'in a timely manner' to bring in line with 6.7.1

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**Comment [j18]:** To reflect the new element of the criterion

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<b>Principle 2: The benefits of the REDD+ program are shared equitably<sup>17</sup> among all relevant<sup>18</sup> rights holders and stakeholders.<sup>19</sup></b>	
<b>Criteria</b>	<b>Framework for indicators</b>
2.1 The projected costs, potential benefits and associated risks <sup>20</sup> of the REDD+ program are identified for <u>relevant</u> rights holder and stakeholder groups <sup>21</sup> at all levels <sup>22</sup> using a participatory process.	2.1.1 Projected costs, <u>potential</u> revenues and other benefits and associated risks <u>of the REDD+ program</u> are analyzed for each <u>relevant rights holder and stakeholder groups at all levels using a participatory process</u> .

**Comment [j19]:** Footnote explains full range of social, cultural and economic costs/benefits/risks in response to comment no 54 , 59 and 66

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**Comment [j20]:** Footnote added in response to comment no 51

<sup>14</sup> Ownership of carbon rights may be individual or collective.

<sup>15</sup> '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.

<sup>16</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>17</sup> 'Equity' and 'equitable' are defined as just, impartial and fair to all parties.

<sup>18</sup> 'Relevant' rights holder and stakeholder groups are identified by the REDD+ program in accordance with criterion 6.1.

<sup>19</sup> '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.

<sup>20</sup> All analysis of costs, benefits and risks should include those that are direct and indirect and include social, cultural and economic aspects. Costs should include 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.

<sup>21</sup> 'Relevant rights holder and stakeholder groups' are identified in accordance with criterion 6.1.

<sup>22</sup> At local, national and other relevant levels.

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<p>2.2 Transparent, participatory, effective and efficient<sup>23</sup> mechanisms are established for equitable sharing of benefits of the REDD+ program among and within relevant rights holder and stakeholder groups taking into account costs, benefits and associated risks.</p>	<p>2.2.1 There is full and effective participation<sup>24</sup> of relevant rights holders and stakeholders that want to be involved, including the most vulnerable people, in defining the decision-making process and the distribution mechanism for equitable benefit-sharing among and within relevant rights holders and stakeholder groups.</p> <p>2.2.2 Clear policies and guidelines for benefit-sharing are developed, agreed, disseminated and followed.</p> <p>2.2.3 Administrative procedures for fund management and benefits distribution are timely and cost-effective.</p> <p>2.2.4 The design of the benefit-sharing mechanisms is based on a review of options with respect to the equity, effectiveness<sup>27</sup> and efficiency of the REDD+ program.</p> <p>2.2.5 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 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 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.<sup>28</sup></p>

<b>Principle 3: The REDD+ program improves long-term livelihood<sup>29</sup> security and well-being of Indigenous Peoples and local communities with special attention to the most vulnerable people.</b>	
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 the long-term livelihood security and the well-being of Indigenous Peoples and local communities.</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, acknowledge that they have received benefits from participation in the REDD+ program.</p> <p>3.1.4 The REDD+ program generates additional resources<sup>31</sup> to improve the long-term livelihood security and well-being of Indigenous Peoples and local communities.</p>

<sup>23</sup> 'Efficient' is defined as achieving the target with minimum cost, effort and time.

<sup>24</sup> '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.

<sup>27</sup> The 'effectiveness' of the REDD+ program is defined as the extent to which the emissions reductions and other goals of the program are achieved.

<sup>28</sup> '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.

<sup>29</sup> 'Livelihoods' are based on social, cultural, human, financial, natural, physical and political capabilities/assets.

<sup>31</sup> Resources should be additional compared against the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program.

- Comment [j22]: Comment no 59
- Comment [j23]: Comment no 62
- Comment [j24]: Footnote added in response to comment no 62
- Comment [j21]: Comment no 58
- Comment [j25]: Comment no 58
- Comment [j26]: To ensure that participation is voluntary and to bring in line with changes to P6
- Comment [j27]: Added in response to comment no 55 and 58
- Deleted: <sup>25</sup>
- Deleted: and rights holders
- Comment [j28]: Comment no 68
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- Deleted: including the most vulnerable people.<sup>25</sup>
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- Deleted: poor and marginalized (... [4])
- Comment [j32]: Footnote added (... [5])
- Comment [j33]: Resources for (... [6])
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- Deleted: sustainable livelihood (... [7])

	3.1.5 Measures are adopted to ensure <u>long-term livelihood security and well-being benefits for Indigenous Peoples and local communities</u> 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 <u>inclusive and transparent</u> process that <u>requires Indigenous Peoples and local communities</u> , including <u>the most vulnerable people</u> among them, <u>to determine</u> the form that the benefits will take, <u>how they are delivered and how they will improve their long-term livelihood security and well-being.</u>
3.3 There is participatory assessment of positive and negative social, cultural and economic impacts of the REDD+ program including both predicted and actual impacts.	3.3.1 A participatory process is established and implemented to assess the predicted and actual positive and negative impacts of the REDD+ program for <u>Indigenous Peoples and local communities</u> and specifically for <u>the most vulnerable people.</u> 3.3.2 The social impact monitoring takes a differentiated approach that can identify positive and negative impacts on <u>the most vulnerable people.</u>
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.	3.4.1 Measures are developed and implemented <sup>32</sup> to <u>effectively</u> mitigate potential and actual negative, <u>and enhance positive</u> , impacts on <u>Indigenous Peoples and local communities</u> in general, and <u>the most vulnerable people</u> in particular, both during the design and implementation phases of the REDD+ program.

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**Comment [j35]:** Comment no 88

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Principle 4: The REDD+ program contributes to broader sustainable development and good governance <sup>33</sup> objectives.	
Criteria	Framework for indicators
4.1 The REDD+ program contributes to achieving the objectives of sustainable development policies, strategies and plans <sup>34</sup> established at national and other relevant levels.	4.1.1 The REDD+ program elaborates how <u>its policies and measures</u> will contribute to the implementation of any existing poverty reduction <u>policy, strategy and plan</u> developed at national or other relevant levels of government. 4.1.2 The REDD+ program elaborates how <u>its policies and measures</u> will contribute to the implementation of any existing biodiversity <u>policy, strategy and plan</u> developed at national level or for relevant ecological regions. 4.1.3 <u>National livelihood, poverty and other millennium development goal monitoring shows improvements in areas where REDD+ program activities are implemented.</u>
4.4 The REDD+ program is coherent with relevant policies, strategies and plans at all relevant levels.	4.4.1 <u>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.</u> 4.4.2 <u>The REDD+ program is integrated into the broader policy framework of the forest sector and other relevant sectors.</u> 4.4.3 Inconsistencies between the REDD+ program and other <u>relevant sustainable development policies, strategies and plans</u>

<sup>32</sup> 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

<sup>33</sup> The elements of good governance include accessibility, people's participation, transparency, accountability, rule of law, predictability, justice and sustainability.

<sup>34</sup> e.g. poverty reduction strategies/targets, national budgets, national biodiversity strategies, national climate change strategies, national adaptation plans etc.

	are identified.
	4.4.4 A review process and timeline for resolving the inconsistencies <u>between the REDD+ program and other relevant sustainable development policies, strategies and plans</u> is established <u>and implemented</u> .
4.3 There is strong government commitment to the REDD+ program in their country.	4.3.1 REDD+ program institutional arrangements reflect government leadership. 4.3.2 Government agencies/organizations play a leading role in the development, implementation and evaluation of the REDD+ program.
4.5 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.	4.5.1 An effective and efficient process is established to link the REDD+ program with all relevant ministries and government agencies/organizations <u>at all relevant levels</u> .
4.2 The REDD+ program leads to improvements in governance of the forest sector and other relevant sectors.	4.2.1 The REDD+ program identifies the broader forest governance issues that it can address, particularly those related to the equity, effectiveness and efficiency of the REDD+ program, and establishes country-specific performance targets. 4.2.2 The REDD+ program includes <u>institutional capacity strengthening and other</u> measures that aim to improve these governance aspects. 4.2.3 The REDD+ program monitoring and evaluation plan includes key forest governance indicators.

Comment [j43]: Comment no 98

Comment [j44]: Comment no 95

**Principle 5: The REDD+ program maintains and enhances<sup>35</sup> biodiversity and ecosystem services.<sup>3637</sup>**

Criteria	Framework for indicators
5.1 Biodiversity and ecosystem services <u>potentially</u> affected by the REDD+ program are maintained and enhanced.	5.1.1 Biodiversity and ecosystem service values <u>potentially affected</u> by the REDD+ program are identified and mapped <sup>39</sup> at a scale and level of detail appropriate to each element/activity within the program 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 <u>economic, climate change adaptation, cultural</u> or religious importance to stakeholders, particularly <u>Indigenous Peoples and local communities</u> . 5.1.2 The REDD+ program <u>identifies and implements</u> measures that aim to maintain and enhance the identified biodiversity <u>and</u> ecosystem service values <u>potentially affected by the REDD+</u>

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Comment [j45]: In response to comment no 1 and 121

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<sup>35</sup> 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.

<sup>36</sup> 'Ecosystem services' in this context refers to services other than greenhouse gas emissions reductions or removals.

<sup>37</sup> Including biodiversity and ecosystem service values 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.

<sup>39</sup> Paying specific attention to any plans to expand non-native forests and their impacts on biodiversity and ecosystem service values.

	<p><u>program.</u></p> <p>5.1.3 <u>The REDD+ program generates additional resources<sup>40</sup> to maintain and enhance biodiversity and ecosystem services.</u></p>
5.2 The positive and negative environmental impacts of the REDD+ program are assessed including both predicted and actual impacts.	<p>5.2.1 A monitoring plan and indicators are defined for measurement of the identified biodiversity and ecosystem service values <u>potentially affected by the REDD+ program</u> drawing from traditional knowledge and scientific research as appropriate.</p> <p>5.2.2 There is an assessment of both predicted and actual <u>environmental impacts of the REDD+ program<sup>41</sup></u>, involving <u>Indigenous Peoples and local communities</u> and other stakeholders as appropriate.</p>
5.3 The REDD+ program design and implementation addresses maintenance and enhancement of biodiversity and ecosystem services <u>building on relevant traditional knowledge and management practices of Indigenous Peoples and local communities and other stakeholders.</u>	<p>5.3.1 <u>The objectives of the REDD+ program include making a significant contribution to maintaining and enhancing biodiversity and ecosystem services.</u></p> <p>5.3.2 The REDD+ program <u>identifies and implements measures to</u> maintain and enhance identified biodiversity and ecosystem service values <u>potentially affected by the REDD+ program</u> building on relevant traditional knowledge and management practices of <u>Indigenous Peoples and local communities</u> and other stakeholders.</p>
5.4 The REDD+ program is adapted based on predictive and ongoing impact assessment to mitigate negative, and enhance positive, environmental impacts.	<p>5.4.1 <u>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></p>

**Comment [j48]:** In line with changes to 3.1.4 in response to comment no. 90

**Comment [j49]:** Formulation changed to mirror 3.1.4

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**Comment [PF51]:** This fits better here rather than under 5.1

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**Comment [j50]:** Comment 122 suggests removing this criterion as it seems redundant with 5.1. However, the requirement to build on trad. knowledge and management practices of IP/LCs seems important so this aspect has been included in the criterion.

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**Comment [j52]:** Addition in line with criterion and comment no 127.

**Comment [j53]:** Addition proposed by comment no 127.

<b>Principle 6: All relevant<sup>42</sup> rights holders and stakeholders participate fully<sup>43</sup> and effectively<sup>44</sup> in the REDD+ program.</b>	
<b>Criteria</b>	<b>Framework for indicators</b>
6.1 The REDD+ program identifies and characterizes the rights and interests of all rights holder and stakeholder groups <sup>45</sup> and their relevance to the REDD+ program.	<p>6.1.1 <u>Rights holder and stakeholder groups are identified including Indigenous Peoples, local communities, with special attention to the most vulnerable groups.</u></p> <p>6.1.2 The rights and interests of each <u>rights holder and stakeholder group</u> in relation to the REDD+ program are characterized, including potential barriers to their participation, <u>and their relevance to the REDD+ program defined.</u></p> <p>6.1.3 <u>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.</u></p>
6.2 All relevant rights holder and stakeholder groups that want to be	6.2.1 A process and institutional structure are established and functional to enable all relevant <u>rights holder and stakeholder</u>

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<sup>40</sup> Resources should be additional compared against the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program.

<sup>41</sup> For example through strategic environmental assessment or environmental impact assessments

<sup>42</sup> The 'relevant' rights holder and stakeholder groups are identified by the REDD+ program in accordance with criterion 6.1.

<sup>43</sup> 'Fully' means throughout the process.

<sup>44</sup> 'Effective participation' means meaningful influence of all relevant rights holders and stakeholders who want to be involved, ensuring they have prior access to adequate information.

<sup>45</sup> Groups of rights holders or stakeholders who have a similar rights or interests with respect to the REDD+ program.

<p>involved in REDD+ program design<sup>46</sup>, implementation<sup>47</sup> and evaluation are fully involved through effective consultation or more active participation.</p>	<p>groups to participate in program design, implementation and evaluation.</p> <p>6.2.2 There is effective representation of <u>the most vulnerable groups</u> in the <u>rights holder and stakeholder</u> consultation and participation process.</p> <p>6.2.3 Consultations <u>about the REDD+ program</u> 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 <u>government at national or other relevant levels and their roles are clearly defined</u>.</p> <p>6.2.5 The REDD+ program <u>design and implementation is adapted</u>, based on <u>rights holder and stakeholder consultation or more active participation</u>.</p>	<p><b>Deleted:</b> women, youth and other potentially marginalized</p> <p><b>Comment [j54]:</b> Comment no 136 suggests adding 'and vulnerable'</p> <p><b>Deleted:</b> identified in 6.1</p>
<p>6.3 <u>The relevant</u> rights holder and stakeholder groups determine, in a verifiable manner, the process by which they will be consulted and represented <u>in relation to the REDD+ program</u>, taking account of statutory and customary institutions.</p>	<p>6.3.1 <u>The consultation 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></p> <p>6.3.2 The REDD+ program <u>recognizes and respects</u> and does not undermine <u>rights holder and stakeholder</u> groups' own decision-making structures and processes particularly those of Indigenous Peoples and local communities.</p> <p>6.3.3 <u>Rights holder and stakeholder</u> groups select their own representatives to participate in decision-making about the REDD+ program.</p>	<p><b>Comment [j55]:</b> Comment no 147</p> <p><b>Deleted:</b> national</p> <p><b>Deleted:</b> and its</p> <p><b>Deleted:</b> is clearly defined.</p> <p><b>Deleted:</b> plan/strategy</p> <p><b>Deleted:</b> revised</p> <p><b>Deleted:</b> the</p> <p><b>Deleted:</b> /</p> <p><b>Deleted:</b> s</p> <p><b>Deleted:</b> R</p> <p><b>Comment [j56]:</b> New indicator in line with the criterion and comment no 126</p> <p><b>Deleted:</b> 1</p> <p><b>Deleted:</b> 2</p> <p><b>Deleted:</b> S</p> <p><b>Deleted:</b> S</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 <u>Rights holder and stakeholder</u> representatives <u>adopt</u> 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><b>Deleted:</b> have designed and are implement</p> <p><b>Deleted:</b> ing</p>
<p>6.5 <u>The relevant</u> 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>6.5.1 Information dissemination and other awareness-raising activities ensure <u>that relevant rights holders and stakeholders have a good understanding of the REDD+ program, particularly Indigenous Peoples and local communities, including the most vulnerable people among them.</u></p> <p>6.5.2 <u>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></p>	<p><b>Deleted:</b> R</p> <p><b>Deleted:</b> and rights holders</p> <p><b>Deleted:</b></p> <p><b>Deleted:</b> forest-dependent peoples</p> <p><b>Deleted:</b> and</p> <p><b>Deleted:</b> poor and marginalized groups</p>
<p>6.6 Design, implementation and evaluation of the REDD+ program builds on and supports rights holders and stakeholders' knowledge, skills and management systems including those of Indigenous Peoples and local communities.</p>	<p>6.6.1 A process is established to identify indigenous and other <u>knowledge, skills and management systems of relevance to the REDD+ program.</u></p> <p>6.6.2 The REDD+ program incorporates, as appropriate, the identified <u>rights holder and stakeholder</u> knowledge, skills and management systems in planning, implementation and evaluation.</p>	<p><b>Comment [j57]:</b> New indicator to reflect the new requirement for capacity building in the criterion see comments no 138, 139, 144</p> <p><b>Comment [PF58]:</b> No need for stakeholder</p> <p><b>Deleted:</b> stakeholder</p>
<p>6.7 Mechanisms are in place to receive and resolve grievances and disputes relating to the design, implementation and evaluation of the</p>	<p>6.7.1 A transparent, <u>impartial, and accessible</u> process is established to address grievances and disputes that arise during <u>REDD+ program design, implementation and evaluation</u> including a process for hearing, responding to and resolving <u>rights holder</u></p>	<p><b>Comment [j59]:</b> Comment no 140 suggested including independent and timely – timely is addressed below</p> <p><b>Deleted:</b> 6</p> <p><b>Deleted:</b> project planning</p> <p><b>Deleted:</b> and</p>

<sup>46</sup> Including the development of land use and forest management plans related to the REDD+ program.

<sup>47</sup> 'Implementation' is understood to include on-going planning/decision-making as well as the implementation of the activities.

REDD+ program.	<p><u>and stakeholder grievances within an agreed time period.</u></p> <p>6.7.2 The grievance <u>and dispute resolution</u> process is publicized to all <u>rights holders and</u> stakeholders.</p> <p>6.7.3 The grievance <u>and dispute resolution</u> process is managed by a third-party mediator to prevent any conflict of interest.</p>
6.8 Rights holders and stakeholders have access to legal advice and understand relevant legal <u>processes, and legal and financial</u> implications <u>related to the REDD+ program.</u>	6.8.1 A legal advice service is available and accessible to rights holders <u>and stakeholders</u> to advise them on <u>relevant legal processes and</u> legal <u>and financial</u> implications <u>related to the REDD+ program.</u>
6.9 The REDD+ program makes sufficient resources available to ensure full and effective participation of rights holders and stakeholders.	6.9.1 <u>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>

- Comment [PF60]:** Within an agreed timeframe implies timely otherwise it presumably wouldn't be acceptable to at least some parties
- Comment [j61]:** To bring into line with 1.4.2
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<b>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.</b>	
<b>Criteria</b>	<b>Framework for indicators</b>
7.1 Adequate information <u>about</u> the REDD+ program is publicly available to promote general awareness and good governance.	7.1.1 <u>Adequate information about the REDD+ program is made publicly available and accessible to potentially interested members of the public.</u>
7.2 Rights holders and stakeholders have the information that they need <u>about the REDD+ program</u> , provided in an appropriate and timely way, to participate fully and effectively in program design, implementation and evaluation, including information about potential social, cultural, economic and ecological risks and opportunities, legal implications, and the global and national context.	<p>7.2.1 <u>Rights holders and stakeholders</u> know what information is available <u>about the REDD+ program</u> and how to access it.</p> <p>7.2.2 The most effective means of dissemination of information <u>about the REDD+ program</u> are identified and used for each <u>rights holder and</u> stakeholder group.</p> <p>7.2.3 <u>Rights holders and stakeholders</u> have access to relevant information about the REDD+ program, including the results of monitoring and evaluation, potential social, cultural, economic and ecological risks and opportunities, legal implications, and the global, national <u>and local</u> context.</p> <p>7.2.4 Indigenous Peoples and local communities have <u>access to relevant</u> the information they need <u>about the REDD+ program</u> in a form they understand.</p>
7.3 Rights holder and stakeholder group representatives collect and disseminate all relevant information <u>about the REDD+ program</u> from and to the people they represent in an appropriate and timely way.	<p>7.3.1 <u>Rights holder and</u> stakeholder group representatives collect and disseminate all relevant information related to the REDD+ program from and to the people they represent.</p> <p>7.3.2 A process is established to ensure that <u>rights holders and</u> stakeholders receive and supply all relevant information related to the REDD+ program through their representatives.</p>
7.4 Information is available and disseminated <u>about the REDD+ program</u> in time to enable rights holder and stakeholder feedback to their representatives and respecting the time needed for inclusive decision making.	7.4.1 <u>Information is available and disseminated about the REDD+ program allowing</u> adequate time between information <u>dissemination</u> and decision-making to enable <u>rights holders and</u> stakeholders to coordinate their response.

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7.5 The REDD+ program makes sufficient resources available to provide and collect information in a timely and appropriate manner.	7.5.1 <u>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.</u>
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**Deleted:** 7.4 National policies support stakeholder access to information about the REDD+ program, including information on rights to land, territories and resources. ... [16]

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**Comment [j70]:** Comment no 161

**Principle 8: The REDD+ program complies with applicable local<sup>48</sup> and national laws and international treaties, conventions and agreements.**

Criteria	Framework for indicators
8.1 The REDD+ program complies with local law, national law and international treaties, <u>conventions</u> and agreements ratified or adopted by the country.	8.1.1 International treaties, <u>conventions</u> and agreements relevant to the REDD+ program are identified. 8.1.2 National and local laws relevant to the REDD+ program are identified. 8.1.3 Any possible areas where the REDD+ program does <u>not</u> or may <u>not</u> comply with the relevant local and national laws and international treaties, <u>conventions</u> and agreements are identified and monitored.
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.
8.3 Relevant <sup>49</sup> rights holders and stakeholders have the capacity to <u>understand</u> , implement and monitor legal requirements <u>related to the REDD+ program</u> .	8.3.1 Relevant <u>rights holders and</u> stakeholders have the capacity to enable them to <u>understand</u> , implement and monitor legal requirements related to the REDD+ program.

**Comment [j71]:** Addition of 'understand' based on comment no 160

<sup>48</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.

<sup>49</sup> 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 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.

**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 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.

<b>Page 4: [1] Deleted</b>	<b>jdurbin</b>	<b>1/15/2010 9:49:00 AM</b>
making a significant contribution to		
<b>Page 4: [2] Deleted</b>	<b>jdurbin</b>	<b>1/5/2010 5:25:00 PM</b>
and poverty alleviation for forest-dependent peoples.		
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Poor and marginalized groups		
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poor and marginalised groups		
<b>Page 4: [5] Comment [j32]</b>	<b>jdurbin</b>	<b>1/15/2010 5:26:00 PM</b>
Footnote added in response to comment no 85		
<b>Page 4: [6] Comment [j33]</b>	<b>jdurbin</b>	<b>1/15/2010 5:26:00 PM</b>
Resources for comment no 90		
<b>Page 4: [7] Deleted</b>	<b>jdurbin</b>	<b>1/5/2010 5:28:00 PM</b>
sustainable livelihoods and poverty alleviation		
<b>Page 5: [8] Deleted</b>	<b>jdurbin</b>	<b>1/5/2010 5:32:00 PM</b>
poorer people and other marginalized groups		
<b>Page 5: [9] Deleted</b>	<b>Phil Franks</b>	<b>1/14/2010 6:56:00 PM</b>
4.1.1 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.		
<b>Page 5: [10] Comment [PF37]</b>	<b>Phil Franks</b>	<b>1/15/2010 5:26:00 PM</b>
It is the program as a whole that should elaborate this not each PAM that must elaborate its specific contribution.		
<b>Page 5: [11] Deleted</b>	<b>jdurbin</b>	<b>1/8/2010 8:43:00 AM</b>
4.1.4 The REDD+ program is supported by the broader policy framework for forests and other relevant sectors.		
<b>Page 5: [12] Comment [j38]</b>	<b>jdurbin</b>	<b>1/15/2010 5:26:00 PM</b>
Comment no 80 suggested adding 'that include MDGs'		
<b>Page 5: [13] Comment [j39]</b>	<b>jdurbin</b>	<b>1/15/2010 5:26:00 PM</b>
moved to the sustainable development principle 4 from principle 2 following comment 71 and because of the removal of poverty reduction language from principle 3		
<b>Page 5: [14] Comment [j40]</b>	<b>jdurbin</b>	<b>1/15/2010 5:26:00 PM</b>
reordering based on comment no 107		
<b>Page 5: [15] Comment [PF41]</b>	<b>Phil Franks</b>	<b>1/15/2010 5:26:00 PM</b>
this indicator is about coherence rather than sustainable development impact so seems better placed under 4.4		
<b>Page 10: [16] Deleted</b>	<b>jdurbin</b>	<b>1/8/2010 10:50:00 AM</b>

<p>7.4 National policies support stakeholder access to information about the REDD+ program, including information on rights to land, territories and resources [j1]. [j2]</p>	<p>7.4.1 Policies and/or legislation uphold the right to information about the REDD+ program.</p> <p>7.4.2 The right to [j3]information policies and/or legislation are [j4]implemented.</p>
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