

REDD+ Environmental and Social Standards

Draft 9th December 2009

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 and public comments received during a public consultation period from 2 October to 30 November 2009 including input from consultations in Ecuador 22-26 October. This version has been prepared based on review of comments received and discussion by the Standards Committee during a meeting 4-5 December 2009 in Copenhagen. This version presents the revised principles and criteria to be taken forward to the second round of public comment (mid-January to mid-March). The draft released for public comment on October 2nd also included a framework for indicators. Comments received on this framework for indicators will be addressed over the next month so that the new version for the second public comment period also includes a revised framework for indicators.

Principle 1: Rights to lands, territories and resources¹ are recognized and respected.

- 1.1 The REDD+ program² effectively identifies the different rights holders³ (statutory and customary⁴) and their rights to lands, territories and resources relevant to the program.
- 1.2 The REDD+ program respects and recognizes both statutory and customary rights to lands, territories and resources which Indigenous Peoples or local communities⁵ have traditionally owned and occupied or otherwise used or acquired.⁶
- 1.3 The REDD+ program requires the free, prior and informed consent of rights holders for any activities affecting their rights to lands, territories and resources.
- 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.
- 1.5 Where the REDD+ program enables private ownership⁷ of carbon rights⁸, these rights are based on the statutory and customary rights to the lands, territories and resources (as identified in 1.1) that generated the greenhouse gas emissions reductions and removals.

Comment [j1]: Change to plural 'lands' to ensure consistency with UNDRIP language

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Comment [j2]: These changes strengthen the expectations from the process towards effective conflict resolution and include a safeguard that activities cannot proceed that could prejudice the outcome of the dispute resolution process.

¹ 'Resources' is understood to include ecosystem services provided by these resources

² The REDD+ program comprises objectives, policies and measures developed for the program and other relevant policies that support it.

³ Including holders of individual rights and Indigenous Peoples and others who hold collective rights

⁴ '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.

⁵ Including individual and collective rights.

⁶ 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 which they have otherwise acquired.

⁷ Ownership of carbon rights may be individual or collective.

⁸ For the purposes of these standards, '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.

Principle 2: The benefits of the REDD+ program are shared equitably⁹ among all relevant¹⁰ rights holders and stakeholders.¹¹

- 2.1 The projected costs potential benefits and associated risks¹² of the REDD+ program are identified for rights holder and stakeholder groups at all levels using a participatory process.
- 2.2 Transparent, participatory, effective and efficient¹³ mechanisms are established for equitable sharing of benefits of the REDD+ program among and within rights holder and stakeholder groups taking into account costs, benefits and associated risks.
- 2.3 There is transparent and participatory monitoring of the costs and benefits of the REDD+ program, including any revenues, and their distribution among stakeholders.

Principle 3: The REDD+ program contributes to long-term livelihood¹⁴ security and enhances well-being of Indigenous Peoples and local communities with special attention to the most vulnerable people.¹⁶

- 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.
- 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.
- 3.3 There is participatory assessment of positive and negative social, cultural and economic impacts of the REDD+ program including both predicted and actual impacts.
- 3.4 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.

⁹ 'Equity' and 'equitable' are defined as just, impartial and fair to all parties.

¹⁰ The 'relevant' rights holder and stakeholder groups are identified by the REDD+ program in accordance with criterion 6.1.

¹¹ '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.

¹² 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

¹³ 'Efficient' is defined as achieving the target with minimum cost, effort and time.

¹⁴ 'livelihoods' are based on social, cultural, human, financial, natural, physical and political capabilities/assets.

¹⁶ 'The most vulnerable people' 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 stress, 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..

¹⁹ The elements of good governance include accessibility, people's participation, transparency, accountability, rule of law, predictability, justice and sustainability.

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Comment [j3]: This principle ensures equitable benefit sharing both vertically and horizontally so needs to assess the costs and benefits for all levels including government and international investor/donors.

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Comment [j4]: The indicators must specify the rigor and detail of the monitoring of costs and benefits

Comment [j5]: 'long-term livelihood security' has been used instead of 'sustainable livelihoods' because livelihood security is the important issue to local people rather than an outsider's definition of sustainability. Improving well-being is preferred to poverty alleviation which can seem pejorative. See comment no 72, 73, 84, 89

Comment [j6]: 'Indigenous Peoples' and local communities has been used instead of 'forest-dependent peoples' because this is the term used in UNFCCC negotiations. 'Forest-dependent peoples' was not appreciated by IPs and also raised problems defining the level of dependence. See also comment no 70, 74, 75, 76, 83

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Comment [j7]: 'The most vulnerable people' has been used throughout the document instead of 'the poor and marginalized'. In this case the term ... [1]

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Principle 4: The REDD+ program contributes to broader sustainable development and good governance¹⁹ objectives.

4.1 The REDD+ program contributes to achieving the objectives of sustainable development policies and strategies²⁰ established at national and other relevant levels.

4.2 The REDD+ program is coherent with relevant policies and strategies at all relevant levels.

4.3 There is strong government commitment to the REDD+ program in their country.

4.4 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 The REDD+ program leads to improvements in governance of the forest sector and other relevant sectors.

Principle 5: The REDD+ program maintains and enhances²² biodiversity and ecosystem services^{23,24}

5.1 Biodiversity and ecosystem services affected by the REDD+ program are maintained and enhanced.

5.2 The positive and negative environmental impacts of the REDD+ program are assessed including both predicted and actual impacts.

5.3 The REDD+ program design addresses maintenance and enhancement of biodiversity and ecosystem service values.

5.4 The REDD+ program is adapted based on predictive and ongoing impact assessment to mitigate negative, and enhance positive environmental impacts.

²⁰ e.g. poverty reduction strategies/targets, national budgets, national biodiversity strategies, national climate change strategies, national adaptation plans etc.

²² 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.

²³ 'Ecosystem services' in this context refers to services other than greenhouse gas emissions reductions or removals

²⁴ 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.

Comment [j8]: Former criterion 4.2 'Where the REDD+ program is not consistent with the government's sustainable development strategies and those at other relevant levels, a review process is undertaken to resolve the inconsistencies' becomes an indicator under this criterion.

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Comment [j9]: Ownership might imply control of all benefits/carbon rights. Ensure that commitment to includes responsibility and accountability as in Paris Declaration

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Deleted: Where the REDD+ program is not consistent with national sustainable development strategies and those at other relevant levels, a review process is undertaken to resolve the inconsistencies. ¶ 4.3

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Principle 6: All relevant²⁵ rights holders and stakeholders participate fully²⁶ and effectively in the REDD+ program.

6.1 The REDD+ program identifies and characterizes the rights and interests of all rights holder and stakeholder groups and their relevance to the REDD+ program.

6.2 All relevant rights holder and stakeholder groups that want to be involved in REDD+ program design, implementation²⁷ and evaluation are fully involved through effective consultation or more active participation.

6.3 Rights holder and stakeholder groups determine, in a verifiable manner, the process by which they will be consulted and represented, taking account of statutory and customary institutions.

6.4 Rights holder and stakeholder group representatives ensure effective involvement of and accountability to the people they represent and assist with consensus building.

6.5 Rights holders and stakeholder groups have a good understanding of the key issues related to the REDD+ program and the capacity to participate effectively.

6.6 Mechanisms are in place to receive and resolve grievances and disputes relating to the design, implementation and evaluation of the REDD+ program.

6.7 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.

6.8 Rights holders and stakeholders have access to legal advice and understand relevant legal implications and processes.

6.9 The REDD+ program makes sufficient resources available to ensure full and effective participation of rights holders and stakeholders.

Comment [j10]: Rights holders have been put before stakeholders throughout the document – see comment no 131

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Comment [j11]: Ensuring that participation is voluntary

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Comment [j12]: In response to comments 138, 139, and 144

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Comment [j13]: This will be moved to before 6.6 but left in this order so the changes can be seen

Comment [j14]: Moved from 7.5 as more relevant to effective participation

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.

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7.1 Adequate information on the REDD+ program is publicly available to promote general awareness and promote good governance.

Comment [j15]: Previous criterion 4.1 Becomes an indicator of this new criterion 7.1

7.2 Rights holders and stakeholders have the information that they need, 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.

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7.3 Rights holder and stakeholder group representatives collect and disseminate all relevant information from and to the people they represent in an appropriate and timely way.

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²⁵ The 'relevant' rights holder and stakeholder groups are identified by the REDD+ program in accordance with criterion 6.1.

²⁶ 'Fully' means throughout the process.

²⁷ 'implementation' is understood to include on-going planning/decision-making as well as the implementation of the activities.

7.3 Information is available and disseminated in time to enable [rights holder and stakeholder feedback](#) to their representatives and respecting the time needed for inclusive decision making.

[7.4 The REDD+ program makes sufficient resources available to provide and collect information in a timely and appropriate manner.](#)

Principle 8: The REDD+ program complies with applicable local²⁸ and national laws and international treaties and agreements.

8.1 The REDD+ program complies with local law, national law and international treaties and agreements ratified or adopted by the country.

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.

8.3 Relevant²⁹ [rights holders and stakeholders](#) have the capacity to implement and monitor legal requirements.

Comment [j16]: Moved to Indicator 7.1.2

Comment [j17]: Moved to criterion 6.8

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7.4 National policies support stakeholder access to information about the REDD+ program, including information on rights to land, territories and resources.

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7.5 Stakeholders and rights holders have access to legal advice and understand relevant legal implications and processes.

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²⁸ 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.

²⁹ [Relevant rights and stakeholders refers in this criterion to those with responsibility for the implementation and monitoring of legal requirements.](#)

'The most vulnerable people' has been used throughout the document instead of 'the poor and marginalized'. In this case the term 'improve the well-being of the most vulnerable people' has been used instead of 'poverty alleviation' to which some people object because of the subjective nature and cultural difficulties in defining poverty.