

Safeguards comparative matrix

Working document

July 2011

Overview			
Cancun safeguards	UN-REDD Social and Environmental Principles and Criteria	REDD+ Social and Environmental Standards	FCPF
(a) That actions complement or are consistent with the objectives of national forest programmes and relevant international agreements;	Principle 3 – Policy coherence: The programme contributes to a low-carbon, climate-resilient and environmentally sound development policy, consistent with commitments under international conventions and agreements	Principle 4 - The REDD+ program contributes to broader sustainable development, respect and protection of human rights and good governance objectives. Principle 8 - The REDD+ program complies with applicable local and national laws and international treaties, conventions and other instruments	Note FMT 2010-9 (Revised draft March 2010) A. Environmental Assessment F. Forests
(b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;	Principle 1 – Democratic governance: The programme complies with standards of democratic governance	Principle 4 - The REDD+ program contributes to broader sustainable development, respect and protection of human rights and good governance objectives. Principle 8 - The REDD+ program complies with applicable local and national laws and international treaties, conventions and other instruments	Note FMT 2010-9 (Revised draft March 2010) A. Environmental Assessment F. Forests

<p>(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples (Resolution 61/295 of 13 September 2007);</p>	<p>Principle 2 – Stakeholder livelihoods: The programme carefully assesses potential adverse impacts on stakeholders long-term livelihoods and mitigates effects where appropriate</p>	<p>Principle 1: Rights to land, territories and resources are recognized and respected by the REDD+ program Principle 3 - The REDD+ program improve long-term livelihood security and well-being of Indigenous Peoples and local communities with special attention to the most vulnerable people Principle 8 - The REDD+ program complies with applicable local and national laws and international treaties, conventions and other instruments</p>	<p>Note FMT 2010-9 (Revised draft March 2010) A. Environmental Assessments D. Involuntary Resettlement E. Indigenous Peoples F.Forests</p>
<p>(d) The full and effective participation of relevant stakeholders, in particular, indigenous peoples and local communities;</p>	<p>Principle 1 – Democratic governance: The programme complies with standards of democratic governance</p>	<p>Principle 6 - All relevant rights holders and stakeholders participate fully and effectively in the REDD+ program</p>	<p>Note FMT 2010-9 (Revised draft March 2010) D. Involuntary Resettlement E. Indigenous Peoples F.Forests</p>
<p>(e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that they are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;</p>	<p>Principle 4 – Protect and conserve natural forests: The programme protects natural forests from degradation or conversion to other land uses, including plantation forests Principle 5 – Maintain and enhance multiple functions of forest: The programme increases benefits delivered through ecosystem services and biodiversity conservation Principle 6 – Minimise indirect adverse impacts on ecosystem services and biodiversity</p>	<p>Principle 5: The REDD+ program maintains and enhances biodiversity and ecosystem services</p>	<p>Note FMT 2010-9 (Revised draft March 2010) A. Environmental Assessments B. Natural Habitats F.Forests</p>
<p>(f) Actions to address the risk of reversals;</p>	<p>Principle 3 – Policy coherence: The programme contributes to a low-carbon, climate-resilient and environmentally sound development policy, consistent with commitments under international conventions and</p>	<p>NA</p>	

	agreements		
(g) Actions to reduce the displacement of emissions.	Principle 6 – Minimise indirect adverse impacts on ecosystem services and biodiversity	NA	

DETAILED SAFEGUARDS COMPARATIVE MATRIX

REDD+ Social and Environmental Standards	FCFP		UN-REDD Social and Environmental Principles and Criteria v1
	FCFP Objective	Operational Principle	
Principle 1: Rights to land, territories and resources are recognized and respected by the REDD+ program			
Criteria 1.1 The REDD+ program effectively identifies the different rights holders (statutory and customary) and their rights to land, territories and resources relevant to the program.	Note FMT 2010-9 (Revised draft March 2010)	Pg 5. “iv. The REDD Country Participant, with World Bank assistance, conducts a preliminary stakeholder analysis (Who is likely to win? Who is likely to lose? Who wields influence in the process? Who is vulnerable and lacks influence? What are appropriate methods and fora for engaging with these stakeholders?) “	
	E. Indigenous Peoples	Screen early to determine whether Indigenous Peoples are present in, or have collective attachment to, the project area. Indigenous Peoples are identified as possessing the following characteristics in varying degrees: self-identification and recognition of this identity by others; collective attachment to geographically distinct habitats or ancestral territories and to the natural resources in these habitats and territories; presence of distinct customary cultural, economic, social or political institutions; and indigenous language.	

<p>Criteria 1.2 The REDD+ program respects and recognizes both statutory and customary rights to land, territories and resources which Indigenous Peoples or local communities have traditionally owned and occupied or otherwise used or acquired.</p>	<p>Note FMT 2010-9 (Revised draft March 2010)</p>	<p>Pg 7 21. Principles of good practice in consultations include the following: “Recognising diverse stakeholders and strengthen the voice of vulnerable groups especially IPs and forest dwellers. Different stakeholders have different stakes and/or interest in REDD and some may be positively or negatively impacted, so the consultation should be held at various levels. Special emphasis should be given to the issue of IPs in relation to land tenure and resource use rights and property rights. In many tropical forest countries, land tenure and policy frameworks for IPs are unclear as they often have customary/ancestral rights that are not necessarily codified in or are inconsistent with national laws ”</p>	
	<p>E. Indigenous Peoples</p>	<p>Put in place an action plan for the legal recognition of customary rights to lands and territories, when the project involves: (a) activities that are contingent on establishing legally recognized rights to lands and territories that Indigenous Peoples traditionally owned, or customarily used or occupied; or (b) the acquisition of such lands.</p>	
<p>Criteria 1.3 The REDD+ program requires the free, prior and informed consent of Indigenous Peoples and local communities for any activities affecting their rights to lands, territories and resources.</p>	<p>Note FMT 2010-9 (Revised draft March 2010)</p>	<p><i>Pg 5. “Conduct transparent consultations on core environmental and social issues relevant to REDD plus involving representatives of key stakeholders based on the principle of free, prior and informed consultation, seeking to build broad community support among concerned groups.”</i></p>	<p>Criterion 3 – Ensure broad stakeholder participation: b) Special attention is given to most vulnerable groups and the free, prior and informed consent of indigenous peoples. Criterion 5 – Avoid involuntary resettlement: The programme is not involved and not complicit in involuntary resettlement.</p>
	<p>A. Environmental Assessment</p>	<p>Involve stakeholders, including project-affected groups and local nongovernmental organizations, as early as possible, in the preparation process and ensure that their views and concerns are made known to decision makers and taken into account. Continue consultations throughout project implementation as necessary to address EA-related issues that affect them.</p>	

	D. Involuntary Resettlement	Consult project-affected persons, host communities and local nongovernmental organizations, as appropriate. Provide them opportunities to participate in the planning, implementation, and monitoring of the resettlement program, especially in the process of developing and implementing the procedures for determining eligibility for compensation benefits and development assistance (as documented in a resettlement plan), and for establishing appropriate and accessible grievance mechanisms. Pay particular attention to the needs of vulnerable groups among those displaced, especially those below the poverty line, the landless, the elderly, women and children, Indigenous Peoples, ethnic minorities, or other displaced persons who may not be protected through national land compensation legislation.	
	D. Involuntary Resettlement	Inform displaced persons of their rights, consult them on options, and provide them with technically and economically feasible resettlement alternatives and needed assistance, including (a) prompt compensation at full replacement cost for loss of assets attributable to the project; (b) if there is relocation, assistance during relocation, and residential housing, or housing sites, or agricultural sites of equivalent productive potential, as required; (c) transitional support and development assistance, such as land preparation, credit facilities, training or job opportunities as required, in addition to compensation measures; (d) cash compensation for land when the impact of land acquisition on livelihoods is minor; and (e) provision of civic infrastructure and community services as required.	
	D. Involuntary Resettlement	Disclose draft resettlement plans, including documentation of the consultation process, in a timely manner, before appraisal formally begins, in an accessible place and in a form and language that are understandable to key stakeholders.	
	D. Involuntary Resettlement	Design, document, and disclose before appraisal of projects involving involuntary restriction of access to legally designated parks and protected areas, a participatory process for: (a) preparing and implementing project components; (b) establishing eligibility criteria; (c) agreeing on mitigation measures that help improve or restore livelihoods in a manner that maintains the sustainability of the park or protected area; (d) resolving conflicts; and (e) monitoring implementation.	

	E. Indigenous Peoples	Undertake free, prior and informed consultation with affected Indigenous Peoples to ascertain their broad community support for projects affecting them and to solicit their participation: (a) in designing, implementing, and monitoring measures to avoid adverse impacts, or, when avoidance is not feasible, to minimize, mitigate, or compensate for such effects; and (b) in tailoring benefits in a culturally appropriate manner.	
	E. Indigenous Peoples	Do not undertake commercial development of cultural resources or knowledge of Indigenous Peoples without obtaining their prior agreement to such development.	
Criteria 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	Note FMT 2010-9 (Revised draft March 2010)	<i>Pg. 7" iv. Mechanisms for grievance, conflict resolution and redress must be established and accessible during the consultations, and throughout the implementation of REDD plus policies and measures."</i>	
	E. Indigenous Peoples	Prepare an Indigenous Peoples Plan that is based on the social assessment and draws on indigenous knowledge, in consultation with the affected Indigenous Peoples" communities and using qualified professionals. Normally, this plan would include a framework for continued consultation with the affected communities during project implementation; specify measures to ensure that Indigenous Peoples receive culturally appropriate benefits, and identify measures to avoid, minimize, mitigate or compensate for any adverse effects; and include grievance procedures, monitoring and evaluation arrangements, and the budget for implementing the planned measures.	
Criteria 1.5 Where the REDD+ program enables private ownership of carbon rights, these rights are based on the statutory and customary rights to the land, territories and resources that generated the greenhouse gas emissions reductions and removals.			
Principle 2 - The benefits of the REDD+ program are shared equitably among all relevant rights holders and stakeholders			Criterion 7 – Develop equitable benefit distribution systems: Benefits (including revenues) are shared equitably.

<p>Criteria 2.1 The projected costs, potential benefits and associated risks of the REDD+ program are identified for relevant rights holder and stakeholder groups at all levels using a participatory process</p>	<p>Note FMT 2010-9 (Revised draft March 2010)</p>	<p>Pg. 7 Note FMT 2010-9 “21. Principles of good practice in consultations include the following10: i. Consultations should be premised on transparency and facilitate access to information. Access to information provides an important guard against arbitrariness in public decision making, and can help enhance transparency and accountability. v. Different stakeholders have different stakes and /or interest in REDD and some may be positively or negatively impacted, so the consultation should be held at various levels.”</p>	
	<p>Note FMT 2010-9 (Revised draft March 2010)</p>	<p>Pg. 9 “ii. Social and Environmental Impacts: The REDD Country Participant (in close collaboration with relevant stakeholders) will analyze whether the proposed Readiness activities, as well as the policies and measures that will be proposed as part of the Readiness Package, are likely to have environmental and social impacts, especially for forest-dependent indigenous peoples and other forest dwellers. This process will enable the REDD Country Participant to identify likely impacts and risks, as well as opportunities, and consequently make more informed and appropriate choices between strategic options. “</p>	
	<p>D. Involuntary Resettlement</p>	<p>Through census and socio-economic surveys of the affected population, identify, assess, and address the potential economic and social impacts of the project that are caused by involuntary taking of land (e.g., relocation or loss of shelter, loss of assets or access to assets, loss of income sources or means of livelihood, whether or not the affected person must move to another location) or involuntary restriction of access to legally designated parks and protected areas.</p>	
	<p>D. Involuntary Resettlement</p>	<p>Identify and address impacts also if they result from other activities that are (a) directly and significantly related to the proposed project, (b) necessary to achieve its objectives, and (c) carried out or planned to be carried out contemporaneously with the project.</p>	
	<p>E. Indigenous Peoples</p>	<p>Undertake free, prior and informed consultation with affected Indigenous Peoples to ascertain their broad community support for projects affecting them and to solicit their participation: (a) in designing, implementing, and monitoring measures to avoid adverse impacts, or, when avoidance is not feasible, to minimize, mitigate, or compensate for such effects; and (b) in tailoring benefits in a culturally appropriate manner.</p>	

	E. Indigenous Peoples	Undertake social assessment or use similar methods to assess potential project impacts, both positive and adverse, on Indigenous Peoples. Give full consideration to options preferred by the affected Indigenous Peoples in the provision of benefits and design of mitigation measures. Identify social and economic benefits for Indigenous Peoples that are culturally appropriate, and gender and inter-generationally inclusive and develop measures to avoid, minimize and/or mitigate adverse impacts on Indigenous Peoples.	
Criteria 2.2 Transparent, participatory effective and efficient mechanisms are established for equitable sharing of benefits of the REDD+ program among and within relevant rights holder and stakeholder groups taking into account costs, benefits and associated risks	Note FMT 2010-9 (Revised draft March 2010)	Pg.11 2. Social Studies a) Assessment to determine culturally-appropriate consultations with and participation of local communities and of other stakeholders, including the identification of key stakeholders for REDD; 3. Legal and Policy Review a) Laws, regulations and policies that are applicable to or relate to any efforts necessary to reduce carbon emissions, ensure equitable benefit-sharing and respect of traditional rights and livelihoods, including the relevant provisions of: [Mention laws].”	
	E. Indigenous Peoples	Undertake free, prior and informed consultation with affected Indigenous Peoples to [...] solicit their participation: [...] (b) in tailoring benefits in a culturally appropriate manner.	
	E. Indigenous Peoples	Undertake social assessment or use similar methods to assess potential project impacts, both positive and adverse, on Indigenous Peoples. Give full consideration to options preferred by the affected Indigenous Peoples in the provision of benefits and design of mitigation measures. Identify social and economic benefits for Indigenous Peoples that are culturally appropriate, and gender and inter-generationally inclusive and develop measures to avoid, minimize and/or mitigate adverse impacts on Indigenous Peoples.	
	E. Indigenous Peoples	Where restriction of access of Indigenous Peoples to parks and protected areas is not avoidable, ensure that the affected Indigenous Peoples” communities [...] share equitably in benefits from the parks and protected areas.	

<p>Criteria 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 right holders and stakeholders</p>	<p>Note FMT 2010-9 (Revised draft March 2010)</p>	<p>Pg. 7 Note FMT 2010-9 “21. Principles of good practice in consultations include the following: i. Consultations should be premised on transparency and facilitate access to information. Access to information provides an important guard against arbitrariness in public decision making, and can help enhance transparency and accountability.”</p>	
	<p>Note FMT 2010-9 (Revised draft March 2010)</p>	<p>Pg.5 Note FMT 2010-9 “iii. Conduct transparent consultations on core environmental and social issues relevant to REDD plus involving representatives of key stakeholders based on the principle of free, prior and informed consultation, seeking to build broad community support among concerned groups. Stakeholders include public sector agencies (ministries of finance, agriculture, energy, mines, transport, etc.), civil society, including forest-dependent indigenous peoples and other forest-dependent people, NGOs, and the private sector. The consultations should be meaningful, with adequate prior information, time to review, and transparent consideration of inputs, suggestions and concerns by different groups. Simple information exchanges do not qualify as meaningful consultations”</p>	
	<p>E. Indigenous Peoples</p>	<p>Undertake free, prior and informed consultation with affected Indigenous Peoples to ascertain their broad community support for projects affecting them and to solicit their participation: (a) in designing, implementing, and monitoring measures to avoid adverse impacts, or, when avoidance is not feasible, to minimize, mitigate, or compensate for such effects; and (b) in tailoring benefits in a culturally appropriate manner.</p>	
	<p>E. Indigenous Peoples</p>	<p>Prepare an Indigenous Peoples Plan that is based on the social assessment and draws on indigenous knowledge, in consultation with the affected Indigenous Peoples“ communities and using qualified professionals. Normally, this plan would include a framework for continued consultation with the affected communities during project implementation; specify measures to ensure that Indigenous Peoples receive culturally appropriate benefits, and identify measures to avoid, minimize, mitigate or compensate for any adverse effects; and include grievance procedures, monitoring and evaluation arrangements, and the budget for implementing the planned measures.</p>	

	E. Indigenous Peoples	Disclose the draft Indigenous Peoples Plan, including documentation of the consultation process, in a timely manner before appraisal formally begins, in an accessible place and in a form and language that are understandable to key stakeholders.	
	E. Indigenous Peoples	Monitor implementation of the Indigenous Peoples Plan, using experienced social scientists.	
Principle 3 - The REDD+ program improve long-term livelihood security and well-being of Indigenous Peoples and local communities with special attention to the most vulnerable people			Principle 2 – Stakeholder livelihoods: The programme carefully assesses potential adverse impacts on stakeholders’ long-term livelihoods and mitigates effects where appropriate.
Criteria 3.1 The REDD+ generates 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	Note FMT 2010-9 (Revised draft March 2010)	Pg. 18 Note FMT 2010 - 9 e. Indigenous Peoples (OP/BP 4.10). This policy contributes to the Bank’s mission of poverty reduction and sustainable development by ensuring that the development process fully respects the dignity, human rights, economies, and cultures of Indigenous Peoples.....Bank-financed projects are also designed to ensure that the Indigenous Peoples receive social and economic benefits that are culturally appropriate and gender and inter-generationally inclusive....	
	F. Forests	Give preference to small-scale community-level management approaches where they best reduce poverty in a sustainable manner.	
Criteria 3.2 There is participatory assessment of positive and negative social, cultural, human rights, environmental and economic impacts of the REDD+ program for Indigenous Peoples and local communities including both predicted and actual impacts	Note FMT 2010-9 (Revised draft March 2010)	Pg. 5 “iii. Conduct transparent consultations on core environmental and social issues relevant to REDD plus involving representatives of key stakeholders based on the principle of free, prior and informed consultation, seeking to build broad community support among concerned groups.”	
	Note FMT 2010-9 (Revised draft March 2010)	Pg. 9 “ii. Social and Environmental Impacts: The REDD Country Participant (in close collaboration with relevant stakeholders) will analyze whether the proposed Readiness activities, as well as the policies and measures that will be proposed as part of the Readiness Package, are likely to have environmental and social impacts, especially for forest-dependent indigenous peoples and other forest dwellers. This process will enable the REDD Country Participant to identify likely impacts and risks, as well as opportunities, and consequently make more informed and appropriate choices between strategic options.”	

	A. Environmental Assessment	Assess potential impacts of the proposed project on physical, biological, socio-economic and physical cultural resources, including transboundary and global concerns, and potential impacts on human health and safety.	
		Provide for assessment of feasible investment, technical, and siting alternatives, including the "no action" alternative, potential impacts, feasibility of mitigating these impacts, their capital and recurrent costs, their suitability under local conditions, and their institutional, training and monitoring requirements associated with them.	
	A. Environmental Assessment	Involve stakeholders, including project-affected groups and local nongovernmental organizations, as early as possible, in the preparation process and ensure that their views and concerns are made known to decision makers and taken into account. Continue consultations throughout project implementation as necessary to address EA-related issues that affect them.	
	B. Natural Habitats	Consult key stakeholders, including local nongovernmental organizations and local communities, and involve such people in design, implementation, monitoring, and evaluation of projects, including mitigation planning.	
	E. Indigenous Peoples	Undertake social assessment or use similar methods to assess potential project impacts, both positive and adverse, on Indigenous Peoples. Give full consideration to options preferred by the affected Indigenous Peoples in the provision of benefits and design of mitigation measures. Identify social and economic benefits for Indigenous Peoples that are culturally appropriate, and gender and inter-generationally inclusive and develop measures to avoid, minimize and/or mitigate adverse impacts on Indigenous Peoples.	
	G. Physical Cultural Resources	Use an environmental assessment (EA) or equivalent process to identify PCR and prevent or minimize or compensate for adverse impacts and enhance positive impacts on PCR through site selection and design.	
	G. Physical Cultural Resources	As part of the EA, as appropriate, conduct field based surveys, using qualified specialists.	

	G. Physical Cultural Resources	Consult concerned government authorities, relevant non-governmental organizations, relevant experts and local people in documenting the presence and significance of PCR, assessing the nature and extent of potential impacts on these resources, and designing and implementing mitigation plans.	
Criteria 3.3 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 for Indigenous Peoples and local communities	Note FMT 2010-9 (Revised draft March 2010)	Pg. 7 Note FMT 2010-9. 21. Principles of good practice in consultations include the following: “vi. Consultation processes should link directly to planning and decision making processes. It is critical to have feedback loop. Information gleaned from the consultation process has to be incorporated into policy design and decision making processes.”	
	A. Environmental Assessment	Involve stakeholders, including project-affected groups and local nongovernmental organizations, as early as possible, in the preparation process and ensure that their views and concerns are made known to decision makers and taken into account. Continue consultations throughout project implementation as necessary to address EA-related issues that affect them.	
	D. Involuntary Resettlement	Assess all viable alternative project designs to avoid, where feasible, or minimize involuntary resettlement.	
Principle 4 - The REDD+ program contributes to broader sustainable development, respect and protection of human rights and good governance objectives.			
Criteria 4.1 The REDD+ program contributes to achieving the objectives of sustainable development policies, strategies and plans established at national and other relevant levels	Note FMT 2010-9 (Revised draft March 2010)	<p>Pg. 11 Scope of Analytical and Diagnostic Studies</p> <p>3. Legal and Policy Review</p> <p>a) Laws, regulations and policies that are applicable to or relate to any efforts necessary to reduce carbon emissions, ensure equitable benefit-sharing and respect of traditional rights and livelihoods, including the relevant provisions of: [Mention laws].</p> <p>b) Relevant international treaties and other instruments to which Country X needs to comply for REDD to be</p>	<p>Criterion 10 – Ensure consistency with development policy objectives: The programme is designed to be compatible with and contribute to poverty reduction strategies and other existing sustainable development goals at all levels of government. Social and economic implications of REDD+ programme are carefully assessed and adverse impacts mitigated where appropriate.</p> <p>Criterion 11 – Ensure consistency with biodiversity conservation, other environmental and natural resource management policy objectives: The programme is</p>

		<p>implemented or to take into consideration, including treaties related to: [Climate Change; Biodiversity; UN Declaration on the Rights of Indigenous Peoples]. Pg. 12 c) Relevant court decisions that could have an impact on REDD, including those decisions of international tribunals.</p>	<p>designed to be compatible with and contribute to environmental strategies and goals such as national and subnational forest programmes, plans to implement the Convention on Biological Diversity, UN Convention to Combat Desertification and other relevant MEAs. Inconsistencies in the policy framework governing use of natural resources are addressed where possible.</p>
<p>Criteria 4.2 The REDD+ program leads to improvements in governance of the forest sector and other relevant sectors</p>	<p>Note FMT 2010-9 (Revised draft March 2010)</p>	<p>Pg 7. 21. Principles of good practice in consultations include the following: i. Consultations should be premised on transparency and facilitate access to information. Access to information provides an important guard against arbitrariness in public decision making, and can help enhance transparency and accountability.</p>	<p>Criterion 2 – Implement activities in a transparent and accountable manner: Programme administration and REDD+ readiness activities are carried out in an accountable and transparent manner.</p>

		<p>ii. Consultations should facilitate meaningful participation at all levels. The consultation process should be inclusive and not be seen as top-down process. It is therefore important to establish structures and mechanisms to manage the process which includes a broad range of relevant stakeholders at the national and local level. National REDD committees should have representatives from relevant stakeholder groups with direct participation by Indigenous Peoples and civil society groups, including but not limited to development NGOs. In addition to setting national committees, participatory forums and structures need to be established at the local level to ensure active engagement of local stakeholders.</p> <p>iii. Consultations should facilitate dialogue, exchange of information and consensus building. Effective forest governance within REDD will entail genuine ownership by all relevant stakeholders. This requires time for mutual understanding and the acceptance of goals and strategies; and facilitating collaboration and consensus.</p>	
Criteria 4.3 The REDD+ program contributes to respect and protection of human rights			
Criteria 4.4 There is strong government commitment to the REDD+ program in their country			
Criteria 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	Note FMT 2010-9 (Revised draft March 2010)	<p>Pg. 11 Scope of Analytical and Diagnostic Studies 3. Legal and Policy Review a) Laws, regulations and policies that are applicable to or relate to any efforts necessary to reduce carbon emissions, ensure equitable benefit-sharing and respect of traditional rights and livelihoods, including the relevant provisions of: [Mention laws]. b) Relevant international treaties and other instruments to which Country X needs to comply for REDD to be implemented or to take into consideration, including treaties related to: [Climate Change; Biodiversity; UN Declaration on the Rights of Indigenous Peoples]. Pg.12 c) Relevant court decisions that could have an impact on REDD, including those decisions of international tribunals.</p>	

	A. Environmental Assessment	Assess the adequacy of the applicable legal and institutional framework, including applicable international environmental agreements, and confirm that they provide that the cooperating government does not finance project activities that would contravene such international obligations.	
	F. Forests	Use forest certification systems that require: (a) compliance with relevant laws	
Principle 5: The REDD+ program maintains and enhances biodiversity and ecosystem services			Principle 5 – Maintain and enhance multiple functions of forest: The programme increases benefits delivered through ecosystem services and biodiversity conservation
Criteria 5.1 Biodiversity and ecosystem services potentially affected by the REDD+ program are maintained and enhances	Note FMT 2010-9 (Revised draft March 2010)	Annex 1 – p.9 “ii. The Readiness process should ensure that activities and strategies will not cause adverse social and environmental impacts, while also striving to enhance benefits for local communities and the environment.”	Criterion 12 –Ensure that REDD+ activities do not cause the conversion of natural forest, and do address the other causes of conversion: REDD+ activities do not convert natural forest to other land uses such as plantation forest. The programme prioritises REDD+ interventions that reduce conversion of natural forest. Criterion 14 – Set goals and plan for maintenance and enhancement of ecosystem services and biodiversity in new and existing forest: The programme sets goals for delivery of ecosystem-based multiple benefits, and land use planning explicitly takes account of these. The implementation of REDD+ is informed by analysis of the potential for multiple benefits and trade-offs between different benefits (e.g. through spatial analysis). Management plans and activities aim to ensure that forests deliver multiple benefits that are valued locally (for example, by enabling community forest management), and to collectively meet programme goals. For example, consider impacts of species choice in new planting.
	A. Environmental Assessment	Prevent and, where not possible to prevent, at least minimize, or compensate for adverse project impacts and enhance positive impacts through environmental management and planning that includes the proposed mitigation measures, monitoring, institutional capacity development and training measures, an implementation schedule, and cost estimates.	
	B. Natural Habitats	Avoid significant conversion or degradation of critical natural habitats , including those habitats that are (a) legally protected, (b) officially proposed for protection, (c) identified by authoritative sources for their high conservation value, or (d) recognized as protected by traditional local communities.	

	B. Natural Habitats	Where projects adversely affect non-critical natural habitats, proceed only if viable alternatives are not available, and if appropriate conservation and mitigation measures, including those required to maintain ecological services they provide, are in place. Include also mitigation measures that minimize habitat loss and establish and maintain an ecologically similar protected area.	
	F. Forests	Ensure that forest restoration projects maintain or enhance biodiversity and ecosystem functionality and that all plantation projects are environmentally appropriate, socially beneficial and economically viable.	
	F. Forests	Use forest certification systems that require: (d) conservation of biological diversity and ecological functions; (e) measures to maintain or enhance environmentally sound multiple benefits from the forest;	
Criteria 5.2 The positive and negative environmental impacts of the REDD+ program on biodiversity and ecosystem service priorities and any other negative environmental impacts are assessed including both predicted and actual impacts	A. Environmental Assessment	Use a screening process for each proposed project, as early as possible, to determine the appropriate extent and type of environmental assessment (EA) so that appropriate studies are undertaken proportional to potential risks and to direct, and, as relevant, indirect, cumulative, and associated impacts. Use sectoral or regional environmental assessment when appropriate.	Criterion 15 - Use monitoring and adaptive management to support maintenance and enhancement of biodiversity and ecosystem services: Progress towards goals and management objectives is monitored, and activities reviewed and adjusted where necessary if outcomes are negative
	A. Environmental Assessment	Assess potential impacts of the proposed project on physical, biological, socio-economic and physical cultural resources, including transboundary and global concerns, and potential impacts on human health and safety.	
	B. Natural Habitats	Use a precautionary approach to natural resources management to ensure opportunities for environmentally sustainable development. Determine if project benefits substantially outweigh potential environmental costs.	
	F. Forests	Use forest certification systems that require: (h) active monitoring and assessment of relevant forest management areas;	
Criteria 5.3 The REDD+ program is adapted based on predictive and ongoing impact assessment to mitigate negative, and enhance positive environmental impacts	A. Environmental Assessment	Prevent and, where not possible to prevent, at least minimize, or compensate for adverse project impacts and enhance positive impacts through environmental management and planning that includes the proposed mitigation measures, monitoring , institutional capacity development and training measures, an implementation schedule, and cost estimates.	Criterion 15 - Use monitoring and adaptive management to support maintenance and enhancement of biodiversity and ecosystem services Principle 6 – Minimise indirect adverse impacts on ecosystem services and biodiversity Criterion 16 – Minimise indirect land-use change impacts on carbon stocks Criterion 17 – Minimise indirect land-use change in natural ecosystems and its impacts on biodiversity Criterion 18 – Minimise other indirect impacts on biodiversity

	F. Forests	Use forest certification systems that require: (a) compliance with relevant laws; (b) recognition of, and respect for, legal or customary land tenure and use rights as well as the rights of Indigenous Peoples and workers; (c) measures to enhance sound community relations; (d) conservation of biological diversity and ecological functions; (e) measures to maintain or enhance environmentally sound multiple benefits from the forest; (f) prevention or minimization of environmental impacts; (g) effective forest management planning; (h) active monitoring and assessment of relevant forest management areas; and (i) independent, cost effective, third-party assessment of forest management performance against measurable performance standards defined at the national level and compatible with internationally accepted principles and criteria of sustainable forest management through decision making procedures that are fair, transparent, independent, designed to avoid conflict of interest and involve the meaningful participation of key stakeholders, including the private sector, Indigenous Peoples, and local communities.	
Principle 6 - All relevant rights holders and stakeholders participate fully and effectively in the REDD+ program			Criterion 3 – Ensure broad stakeholder participation: a) All relevant stakeholder groups are identified and enabled to participate in a meaningful and effective manner; b) Special attention is given to most vulnerable groups and the free, prior and informed consent of indigenous peoples.
Criteria 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	Note FMT 2010-9 (Revised draft March 2010)	Paragraph 15, section iv. The REDD Country Participant [...] conducts a preliminary stakeholder analysis (Who is likely to win? Who is likely to lose? Who wields influence in the process? Who is vulnerable and lacks influence? What are appropriate methods and fora for engaging with these stakeholders?) Paragraph 16, section i. Build upon and complete the diagnostic work required, including a more structured and detailed stakeholder analysis and assessment of the key environmental and social issues relevant to REDD plus. Paragraph 16, section iii. Stakeholders include public sector agencies (ministries of finance, agriculture, energy, mines, transport, etc.), civil society, including forest-dependent indigenous peoples and other forest-dependent people, NGOs, and the private sector.	

	E. Indigenous Peoples	Screen early to determine whether Indigenous Peoples are present in, or have collective attachment to, the project area. Indigenous Peoples are identified as possessing the following characteristics in varying degrees: self-identification and recognition of this identity by others; collective attachment to geographically distinct habitats or ancestral territories and to the natural resources in these habitats and territories; presence of distinct customary cultural, economic, social or political institutions; and indigenous language.	
	E. Indigenous Peoples	Prepare an Indigenous Peoples Plan that is based on the social assessment and draws on indigenous knowledge, in consultation with the affected Indigenous Peoples“ communities and using qualified professionals. Normally, this plan would include a framework for continued consultation with the affected communities during project implementation; specify measures to ensure that Indigenous Peoples receive culturally appropriate benefits, and identify measures to avoid, minimize, mitigate or compensate for any adverse effects; and include grievance procedures, monitoring and evaluation arrangements, and the budget for implementing the planned measures.	
	F. Forests	Use forest certification systems that require: (a) compliance with relevant laws; (b) recognition of, and respect for, legal or customary land tenure and use rights as well as the rights of Indigenous Peoples and workers; (c) measures to enhance sound community relations; (d) conservation of biological diversity and ecological functions; (e) measures to maintain or enhance environmentally sound multiple benefits from the forest; (f) prevention or minimization of environmental impacts; (g) effective forest management planning; (h) active monitoring and assessment of relevant forest management areas; and (i) independent, cost effective, third-party assessment of forest management performance against measurable performance standards defined at the national level and compatible with internationally accepted principles and criteria of sustainable forest management through decision making procedures that are fair, transparent, independent, designed to avoid conflict of interest and involve the meaningful participation of key stakeholders, including the private sector, Indigenous Peoples, and local communities.	

<p>Criteria 6.2 All relevant rights holder and stakeholder groups that want to be involved in REDD+ program design, implementation and evaluation are fully involved through culturally appropriate and effective participation</p>	<p>Note FMT 2010-9 (Revised draft March 2010)</p>	<p>P. 11 “2.a) Assessment to determine culturally-appropriate consultations with and participation of local communities and of other stakeholders, including the identification of key stakeholders for REDD “ P. 12-13 “Indigenous People will be consulted in an adequate and culturally-appropriate manner following the international good practices and taking into account their issues of language and gender.”</p>	
	<p>D. Involuntary Resettlement</p>	<p>Consult project-affected persons, host communities and local nongovernmental organizations, as appropriate. Provide them opportunities to participate in the planning, implementation, and monitoring of the resettlement program, especially in the process of developing and implementing the procedures for determining eligibility for compensation benefits and development assistance (as documented in a resettlement plan), and for establishing appropriate and accessible grievance mechanisms. Pay particular attention to the needs of vulnerable groups among those displaced, especially those below the poverty line, the landless, the elderly, women and children, Indigenous Peoples, ethnic minorities, or other displaced persons who may not be protected through national land compensation legislation</p>	
<p>Criteria 6.3 The relevant right holder and stakeholder groups determine, in a verifiable manner, the process and mechanism by which they will participate and be represented in relation to the REDD+ program, taking into account of statutory and customary institutions</p>	<p>Note FMT 2010-9 (Revised draft March 2010)</p>	<p>Paragraph 15, section v. [...] the REDD Country Participant [...] involves representatives of key stakeholder groups and seeks their feedback on the draft ToR for the Preparation Phase in a transparent manner; the feedback is incorporated into the ToR. [...] Representation of these key stakeholder groups should allow these groups to decide who represents them.</p>	
<p>Criteria 6.4 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>Note FMT 2010-9 (Revised draft March 2010)</p>	<p>P.7 “21. i. In the context of REDD, information dissemination at all levels will be a critical pre-requisite to meaningful consultations. Public awareness and information, education and communication campaigns are important vehicles for ensuring that key stakeholders understand the objectives of REDD and their role in the process, and can make informed and substantive contributions to the formulation of REDD strategies and policies.”</p>	
	<p>D. Involuntary Resettlement</p>	<p>Inform displaced persons of their rights, consult them on options, and provide them with technically and economically feasible resettlement alternatives and needed assistance [...]</p>	

	E. Indigenous Peoples	Undertake free, prior and informed consultation with affected Indigenous Peoples to ascertain their broad community support for projects affecting them and to solicit their participation: (a) in designing, implementing, and monitoring measures to avoid adverse impacts, or, when avoidance is not feasible, to minimize, mitigate, or compensate for such effects; and (b) in tailoring benefits in a culturally appropriate manner.	
Criteria 6.5 Design, implementation and evaluation of the REDD+ program builds on, respects and supports rights holders' and stakeholders' traditional and other knowledge, skills and management systems including those of Indigenous Peoples and local communities	Note FMT 2010-9 (Revised draft March 2010)	P. 11 "3.a) Laws, regulations and policies that are applicable to or relate to any efforts necessary to reduce carbon emissions, ensure equitable benefit-sharing and respect of traditional rights and livelihoods"	Criterion 6 – Respect traditional knowledge: The programme is not involved and not complicit in alteration, damage or removal of any critical cultural heritage or the erosion of traditional knowledge.
	E. Indigenous Peoples	Undertake free, prior and informed consultation with affected Indigenous Peoples to ascertain their broad community support for projects affecting them and to solicit their participation: (a) in designing, implementing, and monitoring measures to avoid adverse impacts, or, when avoidance is not feasible, to minimize, mitigate, or compensate for such effects; and (b) in tailoring benefits in a culturally appropriate manner.	
Criteria 6.6 Mechanisms are in place to receive and resolve grievances and disputes effectively relating to the design, implementation and evaluation the REDD+ program.	Note FMT 2010-9 (Revised draft March 2010)	Paragraph 21, section iv. Mechanisms for grievance, conflict resolution and redress must be established and accessible during the consultations, and throughout the implementation of REDD plus policies and measures	
	D. Involuntary Resettlement	Consult project-affected persons, host communities and local nongovernmental organizations, as appropriate. Provide them opportunities to participate in the planning, implementation, and monitoring of the resettlement program, especially in the process of developing and implementing the procedures for determining eligibility for compensation benefits and development assistance (as documented in a resettlement plan), and for establishing appropriate and accessible grievance mechanisms. Pay particular attention to the needs of vulnerable groups among those displaced, especially those below the poverty line, the landless, the elderly, women and children, Indigenous Peoples, ethnic minorities, or other displaced persons who may not be protected through national land compensation legislation	

	E. Indigenous Peoples	Prepare an Indigenous Peoples Plan that is based on the social assessment and draws on indigenous knowledge, in consultation with the affected Indigenous Peoples“ communities and using qualified professionals. Normally, this plan would include a framework for continued consultation with the affected communities during project implementation; specify measures to ensure that Indigenous Peoples receive culturally appropriate benefits, and identify measures to avoid, minimize, mitigate or compensate for any adverse effects; and include grievance procedures, monitoring and evaluation arrangements, and the budget for implementing the planned measures.	
Criteria 6.7 Rights holders and stakeholders have access to legal advice and understand relevant legal processes, and legal and financial implications related to the REDD+ program	D. Involuntary Resettlement	Inform displaced persons of their rights, consult them on options, and provide them with technically and economically feasible resettlement alternatives and needed assistance, including (a) prompt compensation at full replacement cost for loss of assets attributable to the project; (b) if there is relocation, assistance during relocation, and residential housing, or housing sites, or agricultural sites of equivalent productive potential, as required; (c) transitional support and development assistance, such as land preparation, credit facilities, training or job opportunities as required, in addition to compensation measures; (d) cash compensation for land when the impact of land acquisition on livelihoods is minor; and (e) provision of civic infrastructure and community services as required.	
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 7.1 Adequate information about the REDD+ program is publicly available to promote general awareness and good governance	Note FMT 2010-9 (Revised draft March 2010)	Paragraph 21, section iv. It is also important to ensure the public disclosure of all information and analysis gathered from the consultation process. It should be clearly, publicly documented how views gathered through the consultation process have been taken into account and where they have not, explanations provided as to why they were not incorporated.	
	A. Environmental Assessment	Disclose draft EA in a timely manner, before appraisal formally begins, in an accessible place and in a form and language understandable to key stakeholders.	
	B. Natural Habitats	Disclose draft mitigation plan in a timely manner, before appraisal formally begins, in an accessible place and in a form and language understandable to key stakeholders.	

	C. Pest Management	Disclose draft mitigation plan in a timely manner, before appraisal formally begins, in an accessible place and in a form and language that are understandable to key stakeholders.	
	D. Involuntary Resettlement	Design, document, and disclose before appraisal of projects involving involuntary restriction of access to legally designated parks and protected areas, a participatory process for: (a) preparing and implementing project components; (b) establishing eligibility criteria; (c) agreeing on mitigation measures that help improve or restore livelihoods in a manner that maintains the sustainability of the park or protected area; (d) resolving conflicts; and (e) monitoring implementation.	
	E. Indigenous Peoples	Disclose the draft Indigenous Peoples Plan, including documentation of the consultation process, in a timely manner before appraisal formally begins, in an accessible place and in a form and language that are understandable to key stakeholders.	
	F. Forests	Disclose any time-bound action plans in a timely manner, before appraisal formally begins, in an accessible place and in a form and language that are understandable to key stakeholders.	
	G. Physical Cultural Resources	Disclose draft mitigation plans as part of the EA or equivalent process, in a timely manner, before appraisal formally begins, in an accessible place and in a form and language that are understandable to key stakeholders.	
Criteria 7.2 Rights holders and stakeholders have the information that they need about the REDD+ program, provided in a culturally appropriate and timely way, to participate fully and effectively in program design, implementation and evaluation, including information about potential social, cultural, economic and environmental risks and opportunities, legal implications, and the global and national context	Note FMT 2010-9 (Revised draft March 2010)	Paragraph 21, section i. In the context of REDD, information dissemination at all levels will be a critical pre-requisite to meaningful consultations. Public awareness and information, education and communication campaigns are important vehicles for ensuring that key stakeholders understand the objectives of REDD and their role in the process, and can make informed and substantive contributions to the formulation of REDD strategies and policies.	

Criteria 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	Note FMT 2010-9 (Revised draft March 2010)	P. 7 "21, i. In the context of REDD, information dissemination at all levels will be a critical pre-requisite to meaningful consultations. Public awareness and information, education and communication campaigns are important vehicles for ensuring that key stakeholders understand the objectives of REDD and their role in the process, and can make informed and substantive contributions to the formulation of REDD strategies and policies. " P.12 "Part 2. d) Organization of series of focused workshops/consultation sessions to share information and seek inputs and feedback on the findings of the analytical and diagnostic studies. "	
Criteria 7.4 Information is available and disseminated about the red+ program in time to enable rights holder and stakeholders feedback to their representatives and respecting the time needed for inclusive decision making	Note FMT 2010-9 (Revised draft March 2010)	Paragraph 16, section iii. The consultations should be meaningful, with adequate prior information, time to review, and transparent consideration of inputs, suggestions and concerns by different groups.	
Criteria7.5 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 local and national laws and international treaties, conventions and other instruments			Principle 3 – Policy coherence: The programme contributes to a low-carbon, climate-resilient and environmentally sound development policy, consistent with commitments under international conventions and agreements.
Criteria 8.1 The REDD+ program complies with applicable local law, national law and international treaties, conventions and instruments ratified or adopted by the country	Note FMT 2010-9 (Revised draft March 2010)	Paragraph 16, section ii. Assess the policy, legal, regulatory, institutional, and capacity gaps to implement REDD plus and to manage the key environmental and social issues relevant to REDD plus	
	A. Environmental Assessment	Assess the adequacy of the applicable legal and institutional framework, including applicable international environmental agreements, and confirm that they provide that the cooperating government does not finance project activities that would contravene such international obligations.	
	F. Forests	Use forest certification systems that require: (a) compliance with relevant laws	
Criteria 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.			

Criteria 8.3 Relevant rights holders and stakeholders have the capacity to understand, implement and monitor legal requirements related to the REDD+ program	D. Involuntary Resettlement		
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