

REDD+ Social & Environmental Standards

Draft REDD+ SES Version 2 (22nd June 2012)

The evolution of the REDD+ SES

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

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

Objectives of the revision

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

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

A new format for the framework for indicators

Experience from using Version 1 suggested that a simpler form of indicators is needed at both global and country levels to make REDD+ SES easier to understand at all levels. The new format breaks down each indicator into 'essence' – the core idea – and 'qualifiers' – the key elements of quality. Where possible, language has been simplified and harmonized. In some cases, Version 1 indicators have become qualifiers of draft Version 2 indicators which has led to a reduction in the total number of indicators. Version 2 indicators also avoid the use of footnotes – relevant footnotes have been included as qualifiers or moved to the criteria level.

The revision process

Each draft of REDD+ SES Version 2 has been prepared by the REDD+ SES Secretariat based on feedback from stakeholders in countries using the standards and other stakeholders and has been reviewed and approved by the International Standards Committee before publication. A draft REDD+ SES Version 2 was published on 9th February 2012 and comments were invited from members of the public on this document during a 60-day period until 9th April 2012. A total of 273 comments were received from 14 people/organizations. A new draft REDD+ SES Version 2 has been prepared based on these comments and a response has been prepared to explain how each comment has been addressed. This draft REDD+ SES Version 2 and the response to comments are being published on 22nd June 2012 and comments are invited during a 30-day period until 21st July 2012 to provide an opportunity for stakeholders and other members of the public to review the revised version and to raise any outstanding issues that they feel have not been adequately addressed.

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

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

Comments should be submitted via the form provided at www.redd-standards.org.

Need for the standards

While activities that reduce emissions from deforestation and forest degradation (REDD) and contribute to conservation, sustainable management of forests and enhancement of forest carbon stocks (REDD+) have the potential to deliver significant social and environmental benefits, many have also highlighted the serious risks notably for Indigenous Peoples and local communities, and in particular for marginalized¹ and/or vulnerable² social groups within these communities. Recognizing growing awareness at both international and national levels of the need for effective social and environmental safeguards, the REDD+ SES initiative aims to define and build support for a higher level of social and environmental performance from REDD+ programs.

Role of the REDD+ Social & Environmental Standards

REDD+ SES can be used by governments, NGOs, financing agencies and other stakeholders to support the design and implementation of REDD+ programs that respect the rights of Indigenous Peoples and local communities and generate significant social and biodiversity benefits. These standards are designed for government-led programs of policies and measures implemented at national or state, provincial, or other level and are relevant for all forms of fund-based or market-based financing. REDD+ SES provide countries³ with a tool to address the REDD+ safeguards listed in Annex 1 of the Cancun agreement (UNFCCC decision 1/CP.16 appendix 1) (with the proviso that REDD+ SES do not address issues related to accounting for greenhouse gas emissions) consistent with the guidance on systems for providing information on how safeguards are addressed and respected agreed at the Durban UNFCCC conference of parties (UNFCCC COP 17 Guidance on systems for providing information on how safeguards are addressed and respected and modalities relating to forest reference emission levels and forest reference levels as referred to in decision 1/CP.16).⁴

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

¹ 'Marginalized' people or groups are those that have little or no influence over decision-making processes. Marginalization may be related to a range of factors including gender, ethnicity, socio-economic status, and religion. The REDD+ Social & Environmental Standards explicitly adopt a differentiated approach that seeks to identify and address marginalization in all its forms.

² 'Vulnerable' people or groups are those with high exposure to external stresses and shocks (including climate change); and with high sensitivity and low adaptive capacity to adjust in response to actual or expected changes due to their lack of secure access to the assets on which secure livelihoods are built (socio-political, cultural, human, financial, natural and physical). Forest dependency may be an important factor affecting vulnerability particularly where the REDD+ program itself may change access to forest resources. In many situations marginalization exacerbates vulnerability, e.g. marginalization by gender.

³ 'Country' refers to the jurisdiction leading the REDD+ program, which could be at national, state, provincial or other level.

⁴ A table showing correspondence between REDD+ SES Version 2 and UNFCCC REDD+ safeguards is provided in Appendix 1.

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

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

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

Components of the standards

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

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

- **The principles** provide the key objectives that define high social and environmental performance of REDD+ programs.
- **The criteria** define the conditions that must be met related to processes, impacts and policies in order to deliver the principles.
- **The indicators** define quantitative or qualitative information needed to show progress achieving a criterion. REDD+ SES Version 2 separates the indicators into:
 - **'essence'** of an indicator - the core idea – followed by
 - **'qualifiers'** - key elements of quality describing important aspects of process or outcome, important elements that should be addressed in the scope of the indicator and other specific points that must be taken into account.⁵ The essence and all the qualifiers of each indicator are required to demonstrate high performance. The qualifiers are not optional elements. In some cases, the essence ensures sufficient quality of information and no qualifiers are included.

⁵ Note that the word 'includes' at the beginning of a qualifier means 'the scope of this indicator includes.....'. The word 'including' at the beginning of a qualifier is used when the qualifier should be read as a specific part of the indicator sentence. 'Applies to' at the beginning of a qualifier means 'this indicator applies to.....'.

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

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

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

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

Using REDD+ SES at country level

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

1. Awareness raising/capacity building meetings and workshops
- **Governance:** a multi-stakeholder approach to ensure balanced stakeholder participation in the use of the standards
 2. Establish the facilitation team
 3. Create the Standards Committee
 - **Interpretation:** adaptation of the indicators and assessment process to the country context
 4. Develop plan for the REDD+ SES process
 5. Develop draft country-specific indicators
 6. Organize consultations on indicators
 - **Assessment:** collection of information to evaluate performance, review of the draft assessment report by stakeholders and publication.
 7. Prepare a monitoring plan
 8. Develop draft performance assessment report
 9. Organize stakeholder review of draft assessment report
 10. Publish the assessment report

'Guidelines on the use of REDD+ SES at country level' are available at www.redd-standards.org.

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

- Creates a platform for building consensus and trust between diverse stakeholders
- Enhances the quality and credibility of the multi-stakeholder self-assessment

- Promotes shared ownership by government and civil society
- Increases transparency.

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

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

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

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

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

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

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

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

Principle 1: The REDD+ program⁶ recognizes and respects⁷ rights to lands, territories⁸ and resources⁹		
Criteria	Framework for indicators	Type
1.1 The REDD+ program effectively identifies the different rights holders ¹⁰ (statutory and customary ¹¹) and their rights to lands, territories and resources relevant to the program.	1.1.1 An effective process is established to inventory and map rights to lands, territories and resources relevant to the REDD+ program. <ul style="list-style-type: none"> i. The process is participatory including representatives of women and marginalized and/or vulnerable people. ii. Includes statutory and customary rights. iii. Includes individual and collective rights. iv. Includes tenure/use/access/management rights. v. Includes rights of women and marginalized and/or vulnerable people. vi. Includes overlapping or conflicting rights. 	Process
1.2 The REDD+ program recognizes and respects both statutory and customary rights ¹² to lands, territories and resources which Indigenous Peoples or local communities ¹³ have traditionally owned, occupied or otherwise used or acquired. ¹⁴	1.2.1 Policies of the REDD+ program include recognition of and respect for customary rights. <ul style="list-style-type: none"> i. Applies to Indigenous Peoples and local communities. 	Policy
	1.2.2 Land-use plans used by the REDD+ program recognize and respect rights of Indigenous Peoples and local communities. <ul style="list-style-type: none"> i. Includes customary and statutory rights. 	Policy
	1.2.3 The REDD+ program promotes securing statutory rights to lands, territories and resources. <ul style="list-style-type: none"> i. Applies to lands, territories and resources which Indigenous Peoples and local communities have traditionally owned, occupied or otherwise used or acquired. ii. Including securing existing statutory rights and conversion of customary rights to statutory rights. 	Policy
1.3 The REDD+ program requires the free, prior and informed consent of Indigenous Peoples ¹⁵ and local communities for any activities affecting ¹⁶ their rights to lands,	1.3.1 Policies of the REDD+ program uphold the principle of free, prior and informed consent of Indigenous Peoples and local communities. <ul style="list-style-type: none"> i. Applies to any activities affecting their rights to lands, territories and resources. 	Policy
	1.3.2 Collective rights holders define a process of obtaining their free, prior and informed consent. <ul style="list-style-type: none"> i. Including definition of their own representative and traditional institutions that have authority to give consent on their behalf. 	Process

⁶ The REDD+ program to which the REDD+ SES is being applied must be defined in a published document that should include the following elements, and should indicate the progress that has been made towards their definition: (i) the objectives; (ii) identification of the drivers of deforestation and forest degradation; (iii) description of the policies, measures and activities, and plans for their design and implementation; (iv) identification of the geographical areas in which activities will be implemented, where relevant; (v) identification of the institutional arrangements for program design, implementation and evaluation.

⁷ 'Respect' is taken to include not undermining or prejudicing rights.

⁸ The term 'Territories' is particularly relevant for Indigenous Peoples and refers to the total environment of the areas which the peoples concerned occupy or otherwise use.

⁹ 'Resources' is understood to include ecosystem services provided by these resources.

¹⁰ 'Rights holders' are defined as those whose rights are potentially affected by the REDD+ program, including holders of individual rights and Indigenous Peoples and others who hold collective rights.

¹¹ '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.

¹² Including individual and collective rights.

¹³ Wherever the term Indigenous Peoples and local communities is used through these standards it is implicit that particular attention will be paid to women and marginalized and/or vulnerable groups within these communities.

¹⁴ 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.

¹⁵ In conformance with relevant international treaties, conventions and other instruments including the United Nations Declaration on the Rights of Indigenous Peoples and International Labor Organization Convention 169.

¹⁶ Includes activities that affect rights to lands, territories and resources directly or indirectly.

territories and resources.	<ul style="list-style-type: none"> ii. The process is transparent. iii. The process takes into account the views of all community members including those of women and of marginalized and/or vulnerable people. 	
	<p>1.3.3 Free, prior and informed consent is obtained from Indigenous Peoples.</p> <ul style="list-style-type: none"> i. In accordance with their customs, norms and traditions. ii. Applies to activities that may affect their rights, particularly their rights to own and control traditionally owned lands, territories and resources. iii. Applies to each potential change to rights throughout design and implementation of the REDD+ program. 	Process
	<p>1.3.4 Free, prior and informed consent is obtained from local communities.</p> <ul style="list-style-type: none"> i. Applies to activities affecting their customary or other rights to lands, territories and resources. ii. Uses mutually agreed procedures. iii. Applies to each potential change to rights throughout design and implementation of the REDD+ program. 	Process
	<p>1.3.5 Where any relocation or displacement occurs, there is prior agreement on the provision of alternative lands and/or fair compensation.</p> <ul style="list-style-type: none"> i. Any relocation or displacement is in accordance with free, prior and informed consent. ii. Includes physical and/or economic relocation or displacement. iii. The agreement includes adequate provision of financial and technical support for the displacement. iv. The agreement includes the right to return once the reasons for the displacement have ceased. 	Process
<p>1.4 Where the REDD+ program enables private ownership¹⁷ of carbon rights¹⁸, these rights are based on the statutory and customary rights to the lands, territories and resources¹⁹ that generated the greenhouse gas emissions reductions and removals.</p>	<p>1.4.1 Where the REDD+ program enables private ownership of carbon rights, a process for defining carbon rights is developed and implemented.</p> <ul style="list-style-type: none"> i. The process is transparent. ii. The allocation of rights is based on the statutory and customary rights to the lands, territories and resources that generated the greenhouse gas emissions reductions and removals. 	Process

¹⁷ Ownership of carbon rights may be individual or collective, according to the legal framework in each country.

¹⁸ 'Carbon rights' are defined as the rights to enter into contracts and national or international transactions for the transfer of ownership of greenhouse gas emissions reductions or removals and the maintenance of carbon stocks.

¹⁹ 'The statutory and customary rights to the lands, territories and resources and the rights holders relevant to the REDD+ program' are identified in accordance with criterion 1.1.

Principle 2: The benefits²⁰ of the REDD+ program are shared equitably²¹ among all relevant²² rights holders and stakeholders.²³		
Criteria	Framework for indicators	Type
2.1 There is transparent ²⁴ and participatory assessment of predicted and actual benefits, costs, and risks ²⁵ of the REDD+ program for relevant rights holder and stakeholder groups ²⁶ at all levels, with special attention to women and marginalized and/or vulnerable people.	2.1.1 Benefits, costs and risks of the REDD+ program are assessed during program design and implementation. <ul style="list-style-type: none"> i. For each relevant rights holder and stakeholder group. ii. Applies to local, national and other relevant levels. iii. The assessment is timely and participatory in accordance with Principle 6. iv. Includes direct and indirect benefits, costs and risks. v. Includes benefits, costs and risks related to social, cultural, economic and environmental aspects and to human rights and rights to lands, territories and resources. vi. With special attention to the differentiation of benefits, costs and risks to women and marginalized and/or vulnerable people. vii. Assessment is repeated periodically as part of monitoring. viii. Benefits, costs and risks are relative to the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program. 	Process
2.2 Transparent, participatory, effective ²⁷ and efficient ²⁸ mechanisms are established for equitable sharing of benefits of the REDD+ program among and within relevant rights holder and stakeholder groups taking into account socially differentiated ²⁹ benefits, costs and risks.	2.2.1 Relevant rights holders and stakeholders participate in defining the decision-making process and distribution mechanism for equitable benefit-sharing. <ul style="list-style-type: none"> i. Participation is full and effective in accordance with Principle 6. ii. Including women and marginalized and/or vulnerable people. iii. Addresses benefit sharing between and within relevant rights holders and stakeholder groups. 	Process
	2.2.2 Relevant rights holders and stakeholders determine the form that the benefits will take and how they are delivered. <ul style="list-style-type: none"> i. The process is inclusive and transparent. ii. Including women and marginalized and/or vulnerable people. 	Process
	2.2.3 Clear policies and guidelines for equitable benefit-sharing are established. <ul style="list-style-type: none"> i. Ensuring that equitable sharing of benefits includes women and marginalized and/or vulnerable people taking into account socially differentiated benefits, costs and risks. 	Policy
	2.2.4 Administrative procedures for benefit sharing are timely, transparent, effective and efficient. <ul style="list-style-type: none"> i. Includes financial management. 	Process

²⁰ The term 'benefits' in Principle 2 is understood to reflect a full consideration of benefits, costs and risks.

²¹ 'Equity' and 'equitable' are defined as just, impartial and fair to all parties including marginalized and vulnerable people.

²² 'Relevant' rights holder and stakeholder groups are identified by the REDD+ program in accordance with criterion 6.1.

²³ 'Stakeholders' are those who can potentially affect or be affected by the REDD+ program.

²⁴ 'Transparent' means that decisions taken and their enforcement are done in a manner that follows rules and regulations. It also means that information is freely available and directly accessible to those who will be affected by such decisions and their enforcement. It also means that enough information is provided and that it is provided in easily understandable forms and media

²⁵ All assessment of benefits, costs, and risks should include those that are direct and indirect and include those related to social, cultural, environmental and economic aspects and to human rights and rights to lands territories and resources. Costs should include those related to responsibilities and also opportunity costs. All benefits, costs and risks should be relative to the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program. Note that the term 'benefits' refers to positive impacts and the phrase 'costs and risks' equates with negative impacts.

²⁶ 'Relevant rights holder and stakeholder groups' are identified in accordance with criterion 6.1.

²⁷ 'Effective' is defined as the extent to which the emissions reductions and other goals of the program are achieved.

²⁸ 'Efficient' is defined as achieving the target with minimum cost, effort and time.

²⁹ 'Socially differentiated' includes differentiated by gender, marginalization and vulnerability.

Principle 3: The REDD+ program improves long-term livelihood³⁰ security and well-being of Indigenous Peoples and local communities with special attention to women and the most marginalized and/or vulnerable people.³¹		
Criteria	Framework for indicators	Type
3.1 The REDD+ program generates additional, positive impacts ³² on the long-term livelihood security and well-being of Indigenous Peoples and local communities, with special attention to women and the most marginalized and/or vulnerable people.	3.1.1 The objectives and policies of the REDD+ program include improving long-term livelihood security and well-being of Indigenous Peoples and local communities. <ul style="list-style-type: none"> i. With special attention to women and the most marginalized and/or vulnerable people. 	Policy
	3.1.2 The REDD+ program generates additional, positive impacts on the long-term livelihood security and well-being of Indigenous Peoples and local communities. <ul style="list-style-type: none"> i. Relative to the expected situation of Indigenous Peoples and local communities under the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program. ii. With special attention to women and the most marginalized and/or vulnerable people. 	Outcome
	3.1.3 The REDD+ program generates additional resources to improve long-term livelihood security and well-being of Indigenous Peoples and local communities. <ul style="list-style-type: none"> i. Includes financial, human or other resources. ii. Relative to the level of resources available under the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program. 	Outcome
3.2 The REDD+ program is adapted based on assessment of predicted and actual impacts in order to mitigate negative, and enhance positive, impacts on Indigenous Peoples and local communities with special attention to women and the most marginalized and/or vulnerable people.	3.2.1 The REDD+ program is adapted in order to mitigate negative, and enhance and sustain positive, impacts on Indigenous Peoples and local communities. <ul style="list-style-type: none"> i. Based on assessment of impacts undertaken in accordance with criterion 5.4. ii. Applies to REDD+ program design based on assessment of predicted impacts. iii. Applies to REDD+ program implementation based on assessment of both predicted and actual impacts. iv. With special attention to potential impacts on women and the most marginalized and/or vulnerable people. v. Includes measures to address the risk of reversals that might lead to a reduction in the benefits achieved by the REDD+ program. 	Process

³⁰ 'Livelihoods' can be defined by five capitals/assets: socio-political, cultural, human, financial, natural and physical.

³¹ 'Vulnerable' people are those with high exposure to external stresses and shocks (including climate change); and with high sensitivity and low adaptive capacity to adjust in response to actual or expected changes due to their lack of secure access to the assets on which secure livelihoods are built (socio-political, cultural, human, financial, natural and physical). Forest dependency may be an important factor affecting vulnerability particularly where the REDD+ program itself may change access to forest resources. In many situations marginalization exacerbates vulnerability, e.g. marginalization by gender.

³² All impacts are relative to the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program.

Principle 4: The REDD+ program contributes to good governance³³, to broader sustainable development and to social justice.³⁴		
Criteria	Framework for indicators	Type
4.1 The governance structures of the REDD+ program are clearly defined, transparent, effective and accountable.	4.1.1 Information on the roles, responsibilities and decision-making processes, of REDD+ program governance structures is publicly accessible. <ul style="list-style-type: none"> i. Includes criteria and processes for participation of rights holders, duty bearers³⁵ and other stakeholders and other internal regulations. ii. Includes information on decisions taken. 	Process
	4.1.2 Decisions of the REDD+ program are made in accordance with defined roles, responsibilities, regulations and policies. <ul style="list-style-type: none"> i. Following internal regulations and decision-making processes defined by the governance structures. 	Process
	4.1.3 There are effective mechanisms for oversight of the governance structures of the REDD+ program.	Process
4.2 The REDD+ program is coherent with relevant policies, strategies and plans at all relevant levels and there is effective coordination between agencies/organizations responsible for the design, implementation and evaluation of the REDD+ program and other relevant agencies/organizations.	4.2.1 The REDD+ program is integrated into the broader policy framework of the forest sector and other relevant sectors. <ul style="list-style-type: none"> i. With special attention to the agriculture, mining and other sectors when these are drivers of deforestation. 	Policy
	4.2.2 Inconsistencies between the REDD+ program and other relevant policies, strategies and plans are identified and resolved. <ul style="list-style-type: none"> i. Including development, governance, human rights and land use policies, strategies and plans. ii. With special attention to inconsistencies with respect to rights of women and the most marginalized and/or vulnerable people. Using an agreed process and timeline. 	Process
	4.2.3 There is effective and efficient coordination between the REDD+ program and all relevant agencies/organizations. <ul style="list-style-type: none"> i. Including relevant non-government and multilateral as well as government agencies/organizations. ii. Applies to all relevant levels. iii. With special attention to agencies/organizations that are involved in sectors that are related to drivers of deforestation. 	Process
4.3 Adequate information about the REDD+ program is publicly available.	4.3.1 Adequate information about the REDD+ program is publicly available. <ul style="list-style-type: none"> i. Includes information about: <ul style="list-style-type: none"> a. REDD+ program design, implementation and evaluation; b. assessment of predicted and actual impacts on rights holders and stakeholders related to social, cultural, environmental and economic aspects and to human rights and rights to lands, territories and resources; c. assessment of predicted and actual impacts on biodiversity and ecosystem services; d. benefit-sharing including procedures and guidelines; e. the requirement for free, prior and informed consent. ii. Information is accessible to potentially interested members of the public. iii. Access is free and timely. 	Process

³³ Good governance is characterized by accountability, effectiveness, efficiency, fairness/equity, participation and transparency.

³⁴ 'Social justice' is understood to mean 'respect, protection and fulfillment of human rights'. Human rights are the fundamental rights and freedoms that belong to every person in the world, based on core principles like dignity, fairness, equality, respect and autonomy, including but not limited to the rights enshrined in relevant international treaties, conventions and other instruments.

³⁵ 'Duty bearers' have an obligation to ensure respect, protection and fulfillment of rights.

4.4 Finances of the REDD+ program are managed with integrity ³⁶ , transparency and accountability.	4.4.1 Information about REDD+ program financial management is publicly accessible. i. Includes: a. assignment of clear authority, roles and responsibilities for the collection, commitment and use of funds of the REDD+ program, b. accounting systems, c. procedures for internal controls and external audits, and d. schedules for reporting.	Process
	4.4.2 Audited financial reports for the REDD+ program are published regularly. i. Audits are undertaken by independent accredited auditors in accordance with professional auditing standards of the country. ii. Applies to public and private finance.	Process
4.5 The REDD+ program leads to improvements in governance of the forest sector and other relevant sectors.	4.5.1 The REDD+ program establishes and monitors performance targets for the governance issues that it can address in the forest sector and other relevant sectors. i. Includes effective and transparent forest governance structures. ii. With special attention to targets related to the equity, effectiveness and efficiency of the REDD+ program. iii. With special attention to sectors that are related to drivers of deforestation.	Process
	4.5.2 The activities of the REDD+ program include institutional capacity strengthening and other measures to improve governance. i. Linked to the governance issues identified and monitored in 4.5.1.	Process
4.6 The REDD+ program contributes to achieving the objectives of sustainable development policies, strategies and plans ³⁷ established at national and other relevant levels.	4.6.1 The REDD+ program elaborates how its policies and measures will contribute to the implementation of any existing sustainable development policies, strategies and plans. i. Applies to policies, strategies and plans developed at national and other relevant levels. ii. Includes poverty reduction, biodiversity and other relevant policies, strategies and plans, including plans for public, private and indigenous/community protected and conserved areas.	Policy
	4.6.2 National poverty monitoring shows improvements in areas where the REDD+ program is implemented. i. Includes livelihood and Millennium Development Goal monitoring where these are taking place.	Outcome
4.7 The REDD+ program contributes to respect, protection and fulfilment of human rights.	4.7.1 The REDD+ program identifies human rights issues that it can address and elaborates how its policies and measures will contribute to the improved respect, protection and fulfillment of human rights. i. Applies to human rights defined by national and international law. ii. With special attention to rights of women and marginalized and/or vulnerable people.	Policy
	4.7.2 The REDD+ program monitoring and evaluation plan includes key human rights indicators. i. Linked to the human rights issues identified in 4.7.1.	Policy

³⁶ Integrity “includes, but is not limited to probity, impartiality, fairness, honesty and truthfulness”, serving as an antithesis to “corruption” or “the abuse of office.”

³⁷ Such as poverty reduction strategies/targets, national/government budgets, biodiversity strategies, conservation policies and regulations, climate change strategies, adaptation plans etc.

Principle 5: The REDD+ program maintains and enhances³⁸ biodiversity and ecosystem services.³⁹		
Criteria	Framework for indicators	Type
5.1 Biodiversity and ecosystem services potentially affected by the REDD+ program are identified, prioritized and mapped.	<p>5.1.1 Biodiversity and ecosystem services potentially affected by the REDD+ program are identified, prioritized and mapped.</p> <ul style="list-style-type: none"> i. Includes biodiversity and ecosystem service priorities identified in existing national biodiversity strategy and action plans (NBSAP), gap analyses supporting the Convention on Biological Diversity targets, key biodiversity areas, high conservation value areas and other relevant systematic conservation planning approaches. ii. Includes areas of significance for threatened or endemic species, for significant concentrations of a species during any time in their lifecycle, and for ecosystem services of economic, climate change adaptation, cultural, religious importance, particularly to Indigenous Peoples and local communities including women and marginalized and/or vulnerable groups. iii. At a scale and level of detail appropriate to each element/activity within the program. iv. With special attention to any plans for afforestation, reforestation and forest restoration and their potential impacts on biodiversity and ecosystem services. 	Process
5.2 The REDD+ program maintains and enhances the identified biodiversity and ecosystem service priorities.	5.2.1 The objectives and policies of the REDD+ program include making a significant contribution to maintaining and enhancing biodiversity and ecosystem services.	Policy
	<p>5.2.2 The REDD+ program maintains and enhances the identified biodiversity and ecosystem service priorities.</p> <ul style="list-style-type: none"> i. Relative to the situation of biodiversity and ecosystems service priorities under the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program. 	Outcome
	<p>5.2.3 The REDD+ program generates additional resources to maintain and enhance biodiversity and ecosystem service priorities.</p> <ul style="list-style-type: none"> i. Includes financial, human or other resources. ii. Relative to the level of resources available under the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program. 	Outcome
5.3 The REDD+ program does not lead to the conversion ⁴⁰ or degradation ⁴¹ of natural forests ⁴² or other areas that are important for	<p>5.3.1 Monitoring of the impacts of the REDD+ program on natural forests and other important areas demonstrates there is no conversion or degradation.</p> <ul style="list-style-type: none"> i. Includes any areas identified in 5.1.1 as important for maintaining and enhancing the identified biodiversity and ecosystem service priorities. 	Outcome

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

³⁹ 'Ecosystem services' are the benefits people obtain from ecosystems including provisioning services such as food, water, timber and fiber; regulating services regulating services that affect climate, floods, disease, wastes, and water quality; cultural services that provide recreational, aesthetic, and spiritual benefits; and supporting services such as soil formation, photosynthesis, and nutrient cycling. For the purposes of these standards, 'ecosystem services' refers to services other than greenhouse gas emissions reductions or removals from both forest and non-forest ecosystems.

⁴⁰ 'Conversion' is defined as the replacement of an existing land cover type by another land cover type.

⁴¹ 'Degradation' is defined as the reduction in the capacity of an ecosystem to provide goods and services.

⁴² 'Natural forest' is defined as forest predominantly composed of trees established through natural regeneration. This can include primary forests (naturally regenerated forests where there are no clear indication of human induced activities and the ecological process is not significantly disturbed) and other naturally regenerated forests (where there are clear indications of human induced activities).

maintaining and enhancing the identified biodiversity and ecosystem service priorities.	<ul style="list-style-type: none"> ii. Relative to the expected conversion or degradation under the reference scenario which is the most likely land use scenario in the absence of the REDD+ program. iii. With special attention to any plans for afforestation, reforestation and forest restoration and their impacts on biodiversity and ecosystem service priorities. 	
5.4 There is transparent assessment of predicted and actual, and positive and negative environmental impacts ⁴³ of the REDD+ program on biodiversity and ecosystem service priorities and any other negative environmental impacts.	<p>5.4.1 The predicted and actual environmental impacts of the REDD+ program are assessed.</p> <ul style="list-style-type: none"> i. Includes positive and negative impacts on the identified biodiversity and ecosystem service priorities and also any potential negative environmental impacts (e.g. pollution). ii. Includes direct and indirect impacts. iii. The assessment involves Indigenous Peoples and local communities and other stakeholders as appropriate. iv. Using strategic environmental assessment, environmental impact assessment or other appropriate methods. v. Assessment is repeated periodically as part of monitoring. 	Process
5.5 The REDD+ program is adapted based on assessment of predicted and actual impacts, in order to mitigate negative, and enhance positive environmental impacts.	<p>5.5.1 The REDD+ program is adapted in order to mitigate negative, and to enhance and sustain positive, environmental impacts.</p> <ul style="list-style-type: none"> i. Based on assessment of impacts undertaken in accordance with criterion 5.4. ii. Applies to REDD+ program design based on assessment of predicted impacts. iii. Applies to REDD+ program implementation based on assessment of both predicted and actual impacts. iv. With special attention to any areas identified in 5.1.1 as important for maintaining and enhancing the identified biodiversity and ecosystem service priorities. v. Includes measures to address the risk of reversals that might lead to a reduction in the benefits achieved by the REDD+ program. 	Process

Principle 6: All relevant⁴⁴ rights holders and stakeholders participate fully and effectively⁴⁵ in the REDD+ program.		
Criteria	Framework for indicators	
6.1 The REDD+ program identifies all rights holder and stakeholder groups ⁴⁶ and characterizes their rights and interests and their relevance to the REDD+ program.	<p>6.1.1 Rights holder and stakeholder groups are identified and their rights and interests and relevance to the REDD+ program are characterized.</p> <ul style="list-style-type: none"> i. Includes statutory and customary rights to lands, territories and resources and other rights. ii. Includes Indigenous Peoples and local communities. iii. Includes duty bearers. iv. With special attention to women, marginalized and/or vulnerable people. v. Identifying potential barriers to participation for each rights holder and stakeholder group with special attention to women and marginalized and/or vulnerable groups. 	Process

⁴³ Assessment of impacts should include those that are direct and indirect, including indirect land use change.

⁴⁴ The 'relevant' rights holder and stakeholder groups are identified by the REDD+ program in accordance with criterion 6.1.

⁴⁵ 'Full and effective participation' means meaningful influence of all relevant rights holder and stakeholder groups who want to be involved throughout the process, and includes consultation and free, prior and informed consent..

⁴⁶ This criterion focuses on the identification of groups of rights holders or stakeholders who have a similar rights or interests with respect to the REDD+ program rather than individual rights holders and stakeholders.

	<p>6.1.2 There is a procedure to enable any interested party to apply to be considered a relevant rights holder or stakeholder.</p> <ul style="list-style-type: none"> i. Relevance is based on their rights and interests related to REDD+ program. ii. The procedure is transparent, impartial, safe and accessible for all relevant stakeholders, with special attention to women and marginalized and/or vulnerable people. 	Process
<p>6.2 All relevant rights holder and stakeholder groups that want to be involved in REDD+ program design⁴⁷, implementation⁴⁸, monitoring and evaluation are fully involved through culturally appropriate, gender sensitive and effective participation.</p>	<p>6.2.1 A process and institutional structure for full and effective participation are established and functional.</p> <ul style="list-style-type: none"> i. Applies to all relevant rights holder and stakeholder groups. ii. Applies to REDD+ program design, implementation and evaluation. iii. With special attention to women and marginalized and/or vulnerable people. iv. Developed and agreed with the relevant rights holder and stakeholder groups. v. Taking account of statutory and customary institutions and practices. 	Process
	<p>6.2.2 Consultations use socially and culturally appropriate approaches.</p> <ul style="list-style-type: none"> i. Approaches are tailored to the local context. ii. Consultations are conducted at mutually agreed locations. iii. Consultations are gender sensitive. 	Process
	<p>6.2.3 All relevant levels of government are involved in the REDD+ program.</p> <ul style="list-style-type: none"> i. Roles and responsibilities are clearly defined. 	Process
	<p>6.2.4 The REDD+ program design and implementation is adapted in response to rights holder and stakeholder participation.</p> <ul style="list-style-type: none"> i. Through full and effective participation in design, implementation and evaluation of the program. 	Process
	<p>6.2.5 Rights holder and stakeholder groups select their own representatives.</p> <ul style="list-style-type: none"> i. With special attention to the participation of women and vulnerable and/or marginalized people in the selection of representatives. ii. The selection procedure is transparent, impartial, safe and accessible for all relevant stakeholders. 	Process
	<p>6.2.6 Rights holder and stakeholder group representatives involve and are accountable to the people they represent.</p> <ul style="list-style-type: none"> i. Representatives inform the people they represent about how the REDD+ program could potentially affect them, facilitating discussion and feedback. 	Process
<p>6.3 The REDD+ program builds on, respects, supports and protects rights holders' and stakeholders' traditional and other knowledge, skills, institutions and management systems including those of Indigenous Peoples and</p>	<p>6.3.1 The REDD+ program builds on, respects, supports and protects the decision-making structures and processes of Indigenous Peoples and local communities.</p> <ul style="list-style-type: none"> i. Ensuring that customary institutions and practices are not undermined. ii. Ensuring that institutions and practices of women and marginalized and/or vulnerable groups are not undermined. 	Process
	<p>6.3.2 The REDD+ program identifies, builds on, respects and supports relevant traditional and other knowledge, skills and management systems.</p>	Process

⁴⁷ Including the development of land use and forest management plans related to the REDD+ program.

⁴⁸ 'Implementation' is understood to include on-going planning/decision-making as well as the implementation of the activities.

local communities.	i. Applies to design, implementation, monitoring and evaluation of the REDD+ program.	
	<p>6.3.3 Free, prior and informed consent is obtained for any use of traditional knowledge, innovations and practices of Indigenous Peoples and local communities.</p> <ul style="list-style-type: none"> i. In accordance with relevant international standards including the Akwé: Kon guidelines of the Convention on Biological Diversity. ii. The process for obtaining free, prior and informed consents is: <ul style="list-style-type: none"> a. transparent. b. takes into account the views of all community members including those of women and of marginalized and/or vulnerable people. c. in accordance with relevant customs, norms and traditions. d. applies to each potential use throughout design and implementation of the REDD+ program. 	Process
6.4 The REDD+ program identifies and uses processes for effective resolution of grievances and disputes relating to the design, implementation and evaluation of the REDD+ program, including disputes over rights to lands, territories and resources relating to the program.	<p>6.4.1 Processes are identified and used to resolve grievances and disputes related to the REDD+ program.</p> <ul style="list-style-type: none"> i. Includes national, local, regional, international and customary processes. ii. Includes grievances and disputes that arise during design, implementation and evaluation of the REDD+ program. iii. Includes grievances and disputes over rights to lands, territories and resources and other rights relating to the REDD+ program. iv. Includes grievances and disputes related to benefit sharing. v. Includes grievances and disputes related to participation. vi. The processes are transparent, impartial, safe and accessible, giving special attention to women and marginalized and/or vulnerable groups. vii. Grievances are heard, responded to and resolved within an agreed time period, leading to redress and remedy as appropriate. viii. Includes grievances related to the operational procedures of relevant international agencies and/or international treaties, conventions or other instruments. 	Process
	<p>6.4.2 No activity is undertaken by the REDD+ program that could prejudice the outcome of an unresolved dispute related to the program.</p> <ul style="list-style-type: none"> i. Includes disputes over rights to lands, territories and resources. ii. Includes disputes related to benefit sharing. iii. Applies to the specific area or activity affected by the dispute. 	Process
6.5 The REDD+ program ensures that rights holders and stakeholders have the information that they need about the REDD+ program, provided in a culturally appropriate, gender sensitive and timely way, and the capacity to participate fully and effectively in program	<p>6.5.1 Rights holders and stakeholders have access to relevant information about the REDD+ program.</p> <ul style="list-style-type: none"> i. Includes information about: <ul style="list-style-type: none"> a. REDD+ program design, implementation and evaluation; b. REDD+ program governance structures and processes including opportunities to participate in decision-making, and in design, analysis, monitoring and evaluation processes; c. assessment of predicted and actual impacts on rights holders and stakeholders related to social, cultural, environmental and economic aspects and to human rights and rights to lands territories and resources; d. assessment of predicted and actual impacts on biodiversity and 	Process

<p>design, implementation and evaluation.</p>	<p>ecosystem services;</p> <ul style="list-style-type: none"> e. the requirement for free, prior and informed consent; f. benefit-sharing including procedures and guidelines; g. grievance mechanisms at local, national, international and other relevant levels; h. relevant local and national laws and international treaties, conventions and other instruments, legal processes and implications and associated rights with special attention to rights of Indigenous Peoples, women and marginalized and/or vulnerable people; i. the global, national and local context for the REDD+ program. ii. With special attention to women and marginalized and/or vulnerable people. iii. Ensuring adequate time between information dissemination and decision-making to enable rights holders and stakeholders to coordinate their response. iv. Rights holders and stakeholders know what information is available about the REDD+ program and how to access it. 	
	<p>6.5.2 The most effective means of dissemination of information about the REDD+ program are identified and used for each rights-holder and stakeholder group.</p> <ul style="list-style-type: none"> i. With special attention to Indigenous Peoples and local communities, including women and the vulnerable and/or marginalized people among them. ii. Ensuring that information is provided in a form that they understand. 	Process
	<p>6.5.3 Constraints to effective participation are addressed through capacity building.</p> <ul style="list-style-type: none"> i. Applies to all relevant rights holder and stakeholder groups. ii. With special attention to Indigenous Peoples and local communities. iii. With special attention to women and marginalized and/or vulnerable groups. iv. Capacity building is appropriate and effective for the needs of the groups concerned. v. Includes capacity to use relevant grievance mechanisms. vi. Includes capacity to understand, implement and monitor the free, prior and informed consent and legal requirements related to the REDD+ program. 	Process
	<p>6.5.4 Rights holders and stakeholders can access relevant legal advice.</p> <ul style="list-style-type: none"> i. Including advice related to their rights. ii. Including advice on relevant legal processes of the REDD+ program, and legal implications of the program. 	Process
<p>6.6 Rights holder and stakeholder representatives collect and disseminate all relevant information about the REDD+ program from and to the people they represent in an appropriate and timely way, respecting the time needed for inclusive decision making.</p>	<p>6.6.1 Rights holder and stakeholder representatives collect and disseminate all relevant information from and to the people they represent.</p> <ul style="list-style-type: none"> i. With special attention to women and marginalized and/or vulnerable people. ii. Ensuring adequate time to enable rights holders and stakeholders to coordinate their input. 	Process

Principle 7: The REDD+ program complies with applicable local⁴⁹ and national laws and international treaties, conventions and other instruments.⁵⁰		
Criteria	Framework for indicators	Type
7.1 The REDD+ program complies with applicable local law, national law and international treaties, conventions and other instruments ratified or adopted by the country.	7.1.1 Local and national laws and international treaties, conventions and other instruments ratified or adopted by the country relevant to the REDD+ program are identified.	Process
	7.1.2 The REDD+ program recognizes and respects the human rights of Indigenous Peoples and local communities. <ul style="list-style-type: none"> i. With special attention to the rights of women and marginalized and/or vulnerable people. ii. Applies to human rights defined by national and international law. iii. Includes the right to self-determination for Indigenous Peoples, and the requirement for free, prior and informed consent in relation to the adoption of legislative or administrative measures as well as other relevant decision-making processes that may affect them. 	Policy
	7.1.3 Appropriate measures are taken to ensure compliance of the REDD+ program with relevant legal instruments. <ul style="list-style-type: none"> i. Applies to local and national laws and international treaties, conventions and other instruments identified in 7.1.1. ii. Areas of actual or potential non-compliance are identified using appropriate assessment methods, such as human rights impact assessment. 	Process
7.2 Where local or national law is not consistent with the REDD+ SES or relevant international treaties, conventions or other instruments, a process is undertaken to reconcile the inconsistencies.	7.2.1 Gaps and inconsistencies between local or national law and the REDD+ SES or relevant international treaties, conventions or other instruments are identified.	Process
	7.2.2 A process is established to address any gaps and inconsistencies between the local or national law and the REDD+ SES or relevant international treaties, conventions or other instruments. <ul style="list-style-type: none"> i. Applies to preexisting laws and changes in the legal framework that may occur during implementation of the REDD+ program. 	Process

⁴⁹ Local laws include all legal norms given by organisms of government whose jurisdiction is less than the national level, such as departmental, municipal and customary norms including those of Indigenous Peoples.

⁵⁰ Including, but not limited to, the Universal Declaration of Human Rights, the United Nations Framework Convention on Climate Change, the Convention on Biological Diversity, the United Nations Declaration on the Rights of Indigenous Peoples, the Convention on the Elimination of All Forms of Discrimination Against Women, the International Labor Organization Convention 169.

GLOSSARY

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Natural forests are defined as forest predominantly composed of trees established through natural regeneration. This can include primary forests (naturally regenerated forests where there are no clear indication of human induced activities and the ecological process is not significantly disturbed) and other naturally regenerated forests (where there are clear indications of human induced activities) (FAO, [Forest Resources Assessment](#), 2010).

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

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

which activities will be implemented, where relevant; (v) defines the institutional arrangements for program design, implementation and evaluation.

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

Respect is taken to include not undermining or prejudicing rights.

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

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

Socially differentiated includes differentiated by gender, marginalization and vulnerability.

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

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

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

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

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

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

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

UNFCCC Safeguards	REDD+ SES Version June 18 th 2012
(a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements;	<p>Principle 4: The REDD+ program contributes to good governance, to broader sustainable development and to social justice.</p> <p>4.2 The REDD+ program is coherent with relevant policies, strategies and plans at all relevant levels and there is effective coordination between agencies/organizations responsible for the design, implementation and evaluation of the REDD+ program and other relevant agencies/organizations.</p> <p>Principle 7: The REDD+ program complies with applicable local and national laws and international treaties, conventions and other instruments.</p> <p>7.1 The REDD+ program complies with applicable local law, national law and international treaties, conventions and other instruments ratified or adopted by the country</p>
(b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;	<p>Principle 4: The REDD+ program contributes to good governance, to broader sustainable development and to social justice.</p> <p>4.1 The governance structures of the REDD+ program are clearly defined, transparent, effective and accountable.</p> <p>4.3 Adequate information about the REDD+ program is publicly available.</p> <p>4.4 Finances of the REDD+ program are managed with integrity, transparency and accountability.</p> <p>4.5 The REDD+ program leads to improvements in governance of the forest sector and other relevant sectors.</p>
(c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples;	<p>Principle 1: The REDD+ program recognizes and respects rights to lands, territories and resources</p> <p>1.1 The REDD+ program effectively identifies the different rights holders (statutory and customary) and their rights to lands, territories and resources relevant to the program.</p> <p>1.2 The REDD+ program recognizes and respects both statutory and customary rights to lands, territories and resources which Indigenous Peoples or local communities have traditionally owned, occupied or otherwise used or acquired.</p> <p>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>1.4 Where the REDD+ program enables private ownership of carbon rights, these rights are based on the statutory and customary rights to the lands, territories and resources that generated the greenhouse gas emissions reductions and removals.</p> <p>Principle 6: All relevant rights holders and stakeholders participate fully and effectively in the REDD+ program.</p> <p>6.3 The REDD+ program builds on, respects, supports and protects rights holders' and stakeholders' traditional and other knowledge, skills, institutions and management systems including those of Indigenous Peoples and local communities.</p> <p>Principle 7: The REDD+ program complies with applicable local and national laws and international treaties, conventions and other instruments.</p> <p>7.1 The REDD+ program complies with applicable local law, national law and international treaties, conventions and other instruments ratified or adopted by the country</p>
(d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, in the actions referred to in paragraphs 70 and 72 of this decision;	<p>Principle 6: All relevant rights holders and stakeholders participate fully and effectively in the REDD+ program.</p> <p>6.1 The REDD+ program identifies all rights holder and stakeholder groups and characterizes their rights and interests and their relevance to the REDD+ program.</p> <p>6.2 All relevant rights holder and stakeholder groups that want to be involved in REDD+ program design, implementation, monitoring and evaluation are fully involved through culturally appropriate, gender sensitive and effective participation.</p> <p>6.4 The REDD+ program identifies and uses processes for effective resolution of grievances and disputes relating to the design, implementation and evaluation of the REDD+ program, including disputes over rights to lands, territories and resources relating to the program</p> <p>6.5 The REDD+ program ensures that rights holders and stakeholders have the information that they need about the REDD+ program, provided in a culturally appropriate, gender sensitive and timely way, and the capacity to participate fully and effectively in program design, implementation and evaluation.</p> <p>6.6 Rights holder and stakeholder representatives collect and disseminate all relevant information about the REDD+ program from and to the people they represent in an appropriate and timely way, respecting the time needed for inclusive decision making.</p>

<p>(e) Actions are consistent with the conservation of natural forests and biological diversity, ensuring that actions referred to in paragraph 70 of this decision are not used for the conversion of natural forests, but are instead used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits;</p>	<p>Principle 3: The REDD+ program improves long-term livelihood security and well-being of Indigenous Peoples and local communities with special attention to women and the most marginalized and/or vulnerable people. 3.1 The REDD+ program generates additional, positive impacts on the long-term livelihood security and well-being of Indigenous Peoples and local communities, with special attention to women and the most marginalized and/or vulnerable people. 3.2 The REDD+ program is adapted based on assessment of predicted and actual impacts in order to mitigate negative, and enhance positive, impacts on Indigenous Peoples and local communities with special attention to women and the most marginalized and/or vulnerable people.</p> <p>Principle 5: The REDD+ program maintains and enhances biodiversity and ecosystem services. 5.1 Biodiversity and ecosystem services potentially affected by the REDD+ program are identified, prioritized and mapped. 5.2 The REDD+ program maintains and enhances the identified biodiversity and ecosystem services priorities. 5.3 The REDD+ program does not lead to the conversion or degradation of natural forests or other areas that are important for maintaining and enhancing the identified biodiversity and ecosystem service priorities. 5.4 There is a transparent assessment of predicted and actual, and positive and negative environmental impacts of the REDD+ program on biodiversity and ecosystem service priorities and any other negative environmental impacts. 5.5 The REDD+ program is adapted based on assessment of predicted and actual impacts, in order to mitigate negative, and enhance positive, environmental impacts.</p>
<p>(f) Actions to address the risks of reversals</p>	<p>Principle 3: The REDD+ program improves long-term livelihood security and well-being of Indigenous Peoples and local communities with special attention to women and the most marginalized and/or vulnerable people. 3.2 The REDD+ program is adapted based on assessment of predicted and actual impacts in order to mitigate negative, and enhance positive, impacts on Indigenous Peoples and local communities with special attention to women and the most marginalized and/or vulnerable people.</p> <p>Principle 5: The REDD+ program maintains and enhances biodiversity and ecosystem services. 5.5 The REDD+ program is adapted based on assessment of predicted and actual impacts, in order to mitigate negative, and enhance positive, environmental impacts.</p>
<p>(g) Actions to reduce displacement of emissions.</p>	<p>Principle 5: The REDD+ program maintains and enhances biodiversity and ecosystem services. 5.4 There is a transparent assessment of predicted and actual, and positive and negative environmental impacts⁵¹ of the REDD+ program on biodiversity and ecosystem service priorities and any other negative environmental impacts. 5.5 The REDD+ program is adapted based on assessment of predicted and actual impacts, in order to mitigate negative, and enhance positive, environmental impacts.</p>
<p>Not covered</p>	<p>Principle 2: The benefits of the REDD+ program are shared equitably among all relevant rights holders and stakeholders. 2.1 There is transparent and participatory assessment of predicted and actual benefits, costs and risks of the REDD+ program for relevant rights holder and stakeholder groups at all levels, with special attention to women and marginalized and/or vulnerable people. 2.2 Transparent, participatory, effective and efficient mechanisms are established for equitable sharing of benefits of the REDD+ program among and within relevant rights holder and stakeholder groups taking into account socially differentiated benefits costs and risks.</p> <p>Principle 4: The REDD+ program contributes to good governance, to broader sustainable development and to social justice. 4.6 The REDD+ program contributes to achieving the objectives of sustainable development policies, strategies and plans established at national and other relevant levels. 4.7 The REDD+ program contributes to respect, protection and fulfillment of human rights.</p> <p>Principle 7: The REDD+ program complies with applicable local and national laws and international treaties, conventions and other instruments. 7.2 Where local or national law is not consistent with REDD+ SES or relevant international treaties, conventions or other instruments, a process is undertaken to reconcile the inconsistencies.</p>

⁵¹ Includes direct and indirect impacts.