

REDD+ Social & Environmental Standards

Draft REDD+ SES Version 2 (9th February 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 standards. They are all following the same country-led multi-stakeholder process, 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 of the REDD+ SES aims to:

1. streamline the principles, criteria and indicators to reduce duplications and redundancy,
2. address gaps so that 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 separates out:

- “**essence**” of an indicator - the core idea - from
- “**qualifiers**” - phrases describing key aspects of process or outcome, key conditions, and other specific points that must be taken into account.¹

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

This draft REDD+ SES Version 2 (9th February 2012) 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 revised by the International Standards Committee. Comments are invited on this document during a 60-day period from 9th February until 9th April 2012. The draft REDD+ SES Version 2 will be revised in response to

¹ 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.....’.

comments received and a second public comment period is planned for May and June 2012. Specific comments about the content of the standards and suggestions for ways to clarify or improve the text will be much appreciated.

This draft REDD+ SES Version 2 (9th February) is available in English and translations to Spanish, French and Portuguese are also available. 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.

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 multiple benefits, many have also highlighted the serious risks notably for Indigenous Peoples and local communities, and in particular for marginalized² and/or vulnerable³ social groups within these forest-dependent communities. Recognizing growing awareness at both international and national levels of the need for effective social and environmental safeguards, this initiative aims to define and build support for a higher level of social and environmental performance from REDD+ programs.

Role of the REDD+ Social & Environmental Standards

REDD+ SES can be used by governments, NGOs, financing agencies and other stakeholders to design and implement REDD+ programs that respect the rights of Indigenous Peoples and local communities and generate significant social and biodiversity multiple benefits. These standards are designed to work for the new global REDD+ regime expected to emerge out of ongoing UNFCCC and related negotiations, that is for government-led programs implemented at national or state/provincial/regional level and for all forms of fund-based or market-based financing. By providing a comprehensive framework of key issues to address with respect to the social and environmental performance of a REDD+ program, the standards provide guidance to assist with REDD+ design and also provide a mechanism for monitoring and reporting on the social and environmental performance of REDD+ programs during implementation. REDD+ SES provide countries with a tool to address the REDD+ safeguards listed in Annex 1 of the Cancun agreement (UNFCCC decision 1/CP.16 appendix 1) 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

Components of the standards

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.

² '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.

³ 'Vulnerable' people or groups are those lacking the assets on which secure and sustainable livelihoods are built (social, cultural, human, financial, natural, physical and political) and/or having high exposure to external stresses and shocks, including climate change, that may affect these assets and/or peoples' ability to utilize these assets. Forest dependency may be an important factor affecting vulnerability particularly where the REDD+ program itself may change access to forest resources. In many situations marginalization exacerbates vulnerability, e.g. marginalization by gender. .

⁴ A table showing correspondence between REDD+ SES principles and UNFCCC REDD+ safeguards is provided in an Annex to this document.

- **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 the information needed to show that the criteria are met.

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. An international review process will ensure consistency across the country-specific interpretations.

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 three core elements: governance, interpretation and assessment.

Governance

The institutional structures and decision-making processes that govern the use of REDD+ SES in each country ensure the participation of a balance of rights holders and stakeholders.

- A multi-stakeholder Standards Committee provides oversight.
- A joint government and civil society Facilitation Team organizes the process.

Interpretation

Country-specific interpretation adapts REDD+ SES to the country context, making the international REDD+SES locally-relevant, and includes:

- Creation of country-specific indicators (the principles and criteria remain the same across all countries).
- Design of the country-specific assessment process.

Assessment

The process for assessing performance of the REDD+ program against the country-specific indicators involves:

- **Monitoring** – A monitoring plan defines what specific information will be collected, where it is found, how it will be gathered and analyzed and who will be responsible.
- **Reviewing** - Consultations are organized to facilitate stakeholder review of the draft assessment report to enhance quality and credibility.
- **Reporting** – After approval by the country-level Standards Committee, the full report of performance against the indicators of the REDD+ SES is made publicly available.

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

Description of the REDD+ program

In order to apply the standards, the REDD+ program must be clearly described in a document that:

- States the objectives;
- Identifies the drivers of deforestation and forest degradation;
- Describes the policies, measures and activities, and plans for their design and implementation;
- Defines the geographical areas in which activities will be implemented, where relevant;
- Defines the institutional arrangements for program design, implementation and evaluation.

Principle 1: Rights to lands, territories and resources⁵ are recognized and respected⁶ by the REDD+ program⁷		
Criteria	Framework for indicators	
	Essence	Qualifiers
1.1 The REDD+ program effectively identifies the different rights holders ⁸ (statutory and customary ⁹) and their rights to lands, territories and resources relevant to the program.	1.1.1 A 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. ii. Includes statutory and customary rights. iii. Includes tenure/use/access/management rights. iv. Includes rights of marginalized and/or vulnerable groups. v. Includes overlapping or conflicting rights.
	1.1.2 Land-use plans used by the REDD+ program identify the rights of all relevant rights holders.	<ul style="list-style-type: none"> i. Includes forest management plans. ii. Includes overlapping or conflicting rights. iii. Includes statutory and customary rights. iv. Spatial boundaries of rights are mapped. v. Applies to rights holders relevant to the REDD+ program identified in accordance with criterion 6.1.
1.2 The REDD+ program recognizes and respects both statutory and customary rights ¹⁰ to lands, territories and resources which Indigenous Peoples or local communities ¹¹ have traditionally owned, occupied or otherwise used or acquired. ¹²	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.
	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 forest management plans. ii. Includes customary and statutory rights.
	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

⁵ 'Resources' is understood to include ecosystem services provided by these resources.

⁶ 'Respect' is taken to include not undermining or prejudicing rights.

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

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

⁹ 'Customary rights' to lands and resources refers to patterns of long-standing community land and resource usage in accordance with Indigenous Peoples' and local communities' customary laws, values, customs, and traditions, including seasonal or cyclical use, rather than formal legal title to land and resources issued by the State.

¹⁰ Including individual and collective rights.

¹¹ Wherever the term Indigenous Peoples and local communities is used through these standards it is implicit that particular attention will be paid to marginalized and/or vulnerable groups within these communities.

¹² 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.

		rights.
1.3 The REDD+ program requires the free, prior and informed consent of Indigenous Peoples ¹³ and local communities for any activities affecting their rights to lands, territories and resources.	1.3.1 Policies of the REDD+ program uphold the principle of free, prior and informed consent of Indigenous Peoples and local communities.	i. Applies to any activities affecting their rights to lands, territories and resources.
	1.3.2 The REDD+ program effectively disseminates information about the requirement for free, prior and informed consent of Indigenous Peoples and local communities.	i. Applies to any activities affecting their rights to lands, territories and resources.
	1.3.3 Collective rights holders define a process of obtaining their free, prior and informed consent.	i. Including definition of their own representative and traditional institutions that have authority to give consent on their behalf. ii. The process is transparent.
	1.3.4 Free, prior and informed consent is obtained from Indigenous Peoples.	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.
	1.3.5 Free, prior and informed consent is obtained from members of local communities.	i. Applies to activities affecting their customary or other rights to lands, territories and resources ii. Uses mutually agreed procedures.
	1.3.6 Where any relocation or displacement occurs, there is prior agreement on the provision of alternative lands and/or fair compensation.	i. Any relocation or displacement is in accordance with free, prior and informed consent. ii. Includes physical or economic relocation or displacement. iii. The agreement includes the right to return once the reasons for the displacement have ceased.
1.4 Where the REDD+ program enables private ownership ¹⁴ of carbon rights ¹⁵ , these rights are based on the statutory and customary rights to the lands, territories and resources ¹⁶ that generated the greenhouse gas emissions reductions and removals.	1.4.1 Where the REDD+ program enables private ownership of carbon rights, a process for defining carbon rights is developed and implemented.	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.

¹³ 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.

¹⁴ Ownership of carbon rights may be individual or collective.

¹⁵ '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.

¹⁶ 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 benefits of the REDD+ program are shared equitably¹⁷ among all relevant¹⁸ rights holders and stakeholders.¹⁹

Criteria	Framework for indicators	
	Essence	Qualifiers
2.1 There is transparent ²⁰ and participatory analysis and monitoring of predicted and actual costs, benefits ²¹ and associated risks ²² of the REDD+ program for relevant rights holder and stakeholder groups ²³ at all levels.	2.1.1 Predicted costs, benefits and associated risks of the REDD+ program are analyzed.	<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 analysis is participatory. iv. Benefits include revenues and other benefits.
	2.1.2 Relevant rights holders and stakeholders participate in monitoring, review and reporting of the actual costs and benefits of the REDD+ program, and their distribution.	<ul style="list-style-type: none"> i. Including representatives of marginalized and/or vulnerable people. ii. Applies to local, national and other relevant levels. iii. Benefits include revenues and other benefits iv. Taking into account the initial analysis of predicted costs, revenues, benefits and risks undertaken in accordance with criterion 2.1.
2.2 Transparent, participatory, effective ²⁴ and efficient ²⁵ mechanisms are established for equitable sharing of benefits of the REDD+ program among and within relevant rights holder and stakeholder groups taking into account rights, costs, benefits and associated 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. Participation is voluntary. iii. Including marginalized and/or vulnerable people. iv. Addresses benefit sharing between and within relevant rights holders and stakeholder groups.
	2.2.2 Indigenous Peoples and local communities 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 marginalized and/or vulnerable people.
	2.2.3 Clear policies and guidelines for benefit-sharing are developed, agreed, disseminated and implemented.	
	2.2.4 Administrative procedures for benefit sharing are timely and efficient.	<ul style="list-style-type: none"> i. Includes financial management.

¹⁷ 'Equity' and 'equitable' are defined as just, impartial and fair to all parties including marginalized and vulnerable people.

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

¹⁹ 'Rights holders' are those whose rights are potentially affected by the REDD+ program and 'stakeholders' are those whose interests are potentially affected by the program.

²⁰ 'Transparent' means that full and clear information is publicly accessible.

²¹ Including any revenues and other benefits.

²² All analysis of costs, benefits and risks should include those that are direct and indirect and include social, cultural, human rights, environmental and economic aspects. Costs should include those related to responsibilities and also opportunity costs. All costs, benefits and risks should be compared against the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program.

²³ 'Relevant rights holder and stakeholder groups' are identified in accordance with criterion 6.1.

²⁴ 'Effective' is defined as the extent to which the emissions reductions and other goals of the program are achieved.

²⁵ 'Efficient' is defined as achieving the target with minimum cost, effort and time.

	2.2.5 The design of the benefit-sharing mechanisms is based on a review of options with respect to the equity, effectiveness and efficiency of the REDD+ program.	
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Principle 3: The REDD+ program improves long-term livelihood²⁶ security and well-being of Indigenous Peoples and local communities with special attention to women and the most vulnerable people.²⁷		
Criteria	Framework for indicators	
	Essence	Qualifiers
3.1 The REDD+ program generates additional, positive impacts ²⁸ on the long-term livelihood security and well-being of Indigenous Peoples and local communities, with special attention to women and the most vulnerable people.	3.1.1 The objectives of the REDD+ program include improving long-term livelihood security and well-being of Indigenous Peoples and local communities.	i. With special attention to women and the most vulnerable people.
	3.1.2 Indigenous Peoples and local communities, acknowledge that they have received benefits from participation in the REDD+ program.	i. Those acknowledging benefits include women and the most vulnerable people.
	3.1.3 The REDD+ program generates additional resources to improve long-term livelihood security and well-being of Indigenous Peoples and local communities.	i. Includes financial, human or other resources. ii. Compared with the level of resources available under the most likely land-use scenario in the absence of the REDD+ program.
	3.1.4 Measures are adopted to ensure that long-term livelihood security and well-being benefits are sustainable.	
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 with special attention to women and the most vulnerable people, including both predicted and actual impacts.	3.2.1 The predicted and actual impacts of the REDD+ program on Indigenous Peoples and local communities are assessed.	i. The assessment is participatory. ii. Includes positive and negative social, cultural, human rights, environmental and economic impacts. iii. With special attention to impacts on women and the most vulnerable people.
3.3 The REDD+ program is adapted based on assessment of predicted and actual impacts in order to mitigate negative, and	3.3.1 The REDD+ program design includes measures to mitigate potential negative, and enhance positive, impacts on Indigenous	i. With special attention to potential impacts on women and the most vulnerable people.

²⁶ 'Livelihoods' are based on social, cultural, human, financial, natural, physical and political capabilities/assets.

²⁷ 'Vulnerable' people are those lacking the assets on which secure and sustainable livelihoods are built (social, cultural, human, financial, natural, physical and political) and/or having high exposure to external stresses and shocks, including climate change, that may affect these assets and/or peoples' ability to utilize these assets. Forest dependency may be an important factor affecting vulnerability particularly where the REDD+ program itself may change access to forest resources. In many situations marginalization exacerbates vulnerability.

²⁸ All impacts are relative to the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program.

enhance positive, impacts on Indigenous Peoples and local communities with special attention to women and the most vulnerable people.	Peoples and local communities.	
	3.3.2 Feedback from impact assessment is used to develop measures to further mitigate negative impacts, and enhance positive impacts on Indigenous Peoples and local communities.	i. With special attention to impacts on women and the most vulnerable people.

Principle 4: The REDD+ program contributes to good governance²⁹, to broader sustainable development and to social justice.³⁰		
Criteria	Framework for indicators	
	Essence	Qualifiers
4.1 The governance structures of the REDD+ program are clearly defined, transparent and accountable.	4.1.1 The REDD+ program governance structures enable effective representation of rights holders and stakeholders.	<ul style="list-style-type: none"> i. Applies to all relevant rights holder and stakeholder groups, including Indigenous Peoples and local communities identified in 6.1.1. ii. With special attention to women and marginalized and/or vulnerable people identified in 6.1.1.
	4.1.2 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 and stakeholders and other internal regulations. ii. Includes information on decisions taken. iii. With dissemination to relevant rights holders and stakeholders.
	4.1.3 Decisions of the REDD+ program are made in accordance with defined principles.	<ul style="list-style-type: none"> i. Following internal regulations and decision-making processes, and principles defined by the governance structures.
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 Land use planning elements of the REDD+ program are consistent with other land use planning processes.	<ul style="list-style-type: none"> i. Land use planning elements of the REDD+ program include recognition of customary rights to land territories and resources.
	4.2.2 The REDD+ program is consistent with national policies and strategies to protect human rights.	<ul style="list-style-type: none"> i. Protecting human rights includes combating discrimination against marginalized groups.
	4.2.3 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 sector when this is a driver of deforestation.
	4.2.4 Inconsistencies between the REDD+ program and other	<ul style="list-style-type: none"> i. Including development, governance, human rights and

²⁹ The elements of good governance include accessibility, people's participation, transparency, accountability, rule of law, predictability, justice and sustainability.

³⁰ Human rights are the basic 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.

	relevant policies, strategies and plans are identified and resolved.	land use policies, strategies and plans. ii. Using an agreed process and timeline.
	4.2.5 The REDD+ program is coordinated with all relevant agencies/organizations.	i. Coordination is effective and efficient ii. Including relevant non-government and multilateral as well as government agencies/organizations. iii. Applies to all relevant levels. iv. With special attention to agencies/organizations that are involved in sectors that are related to drivers of deforestation.
4.3 Adequate information about the REDD+ program is publicly available to promote general awareness and good governance.	4.3.1 Adequate information about the REDD+ program is made publicly available.	i. Includes information about program design, implementation and evaluation. ii. Includes social and environmental impact assessment, benefit-sharing, biodiversity and ecosystem services, and rights to lands, territories, resources. iii. Information is accessible to potentially interested members of the public. iv. Access is free and timely.
	4.3.2 Government policies support access to information about the REDD+ program.	v. Includes information about program design, implementation and evaluation. vi. Includes social and environmental impact assessment, benefit-sharing, biodiversity and ecosystem services, and rights to lands, territories, resources. i. Access is free and timely.
4.4 Financial management systems of the REDD+ program are managed with integrity ³¹ , transparency and accountability.	4.4.1 Information about REDD+ program financial management systems 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.
	4.4.2 Audited financial reports for	i. Audits are undertaken by

³¹ The elements of integrity include honesty, consistency, accuracy and maintaining completeness ('the state of being whole').

	the REDD+ program are published regularly. .	independent accredited auditors in accordance with professional auditing standards of the country. ii. Applies to public and private finance.
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. With special attention to targets related to the equity, effectiveness and efficiency of the REDD+ program. ii. With special attention to sectors that are related to drivers of deforestation.
	4.5.2 The REDD+ program includes institutional capacity strengthening and other measures to improve governance.	i. Linked to the governance issues identified in 4.5.1.
4.6 The REDD+ program contributes to achieving the objectives of sustainable development policies, strategies and plans established at national and other relevant levels.	4.6.1 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 policies, strategies and plans, and biodiversity policies, strategies and plans, including plans for public, private and community protected areas.
	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.
4.7 The REDD+ program contributes to respect, protection and fulfilment of human rights.	4.7.1 The REDD+ program elaborates how its policies and measures will contribute to the improved respect, protection and fulfilment of human rights.	
	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.

Principle 5: The REDD+ program maintains and enhances³² biodiversity and ecosystem services.³³		
Criteria	Framework for indicators	
	Essence	Qualifiers
5.1 Biodiversity and ecosystem services potentially affected by the REDD+ program are maintained and enhanced.	5.1.1 Biodiversity and ecosystem services potentially affected by the REDD+ program are identified, prioritized and mapped.	i. Includes biodiversity and ecosystem service priorities identified in existing national biodiversity strategy and action plans (NBSAP), gap analyses

³² Impacts on biodiversity and ecosystem services are relative to the reference scenario which is the most likely land-use scenario in the absence of the REDD+ program.

³³ 'Ecosystem services' in this context refers to services other than greenhouse gas emissions reductions or removals from both forest and non-forest ecosystems.

		<p>supporting the Convention on Biological Diversity targets, key biodiversity areas, high conservation value areas and other relevant systematic conservation planning approaches.</p> <ul style="list-style-type: none"> ii. At a scale and level of detail appropriate to each element/activity within the program. iii. Analysis of impacts involves spatial analysis including but not limited to 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 or religious importance, particularly to Indigenous Peoples and local communities iv. With special attention to any plans for afforestation, reforestation and forest restoration and their impacts on biodiversity and ecosystem service priorities.
	5.1.2 The objectives of the REDD+ program include making a significant contribution to maintaining and enhancing biodiversity and ecosystem services.	
	5.1.3 The REDD+ program includes measures to maintain and enhance the identified biodiversity and ecosystem service priorities.	<ul style="list-style-type: none"> i. Measures are specifically targeted at priorities identified in 5.1.1.
	5.1.4 The REDD+ program generates additional resources to maintain and enhance biodiversity and ecosystem services.	<ul style="list-style-type: none"> i. Includes financial, human or other resources. ii. Compared with the level of resources available under the most likely land-use scenario in the absence of the REDD+ program.
5.2 The REDD+ program does not lead to the conversion of natural forests or other areas that are important for maintaining and enhancing the identified biodiversity and ecosystem service priorities.	5.2.1 Monitoring of the impacts of the REDD+ program on natural forests and other important areas demonstrates there is no conversion.	<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. ii. With special attention to any plans for afforestation, reforestation and forest

		restoration and their impacts on biodiversity and ecosystem service priorities.
	5.2.2 A monitoring plan is developed to assess the impacts of the REDD+ program on the identified biodiversity and ecosystem service priorities.	i. The monitoring plan draws from traditional knowledge and scientific research as appropriate.
	5.2.3 The predicted and actual environmental impacts of the REDD+ program are assessed.	i. The assessment involves Indigenous Peoples and local communities and other stakeholders as appropriate. ii. Using strategic environmental assessment, environmental impact assessment or other appropriate methods.
5.3 The REDD+ program is adapted based on assessment of predicted and actual impacts, in order to mitigate negative, and enhance positive, environmental impacts.	5.3.1 The REDD+ program includes measures to mitigate negative, and enhance positive, environmental impacts.	
	5.3.2 Feedback from monitoring is used to develop measures to further mitigate negative impacts, and enhance positive environmental impacts.	

Principle 6: All relevant³⁴ rights holders and stakeholders participate fully and effectively³⁵ in the REDD+ program.		
Criteria	Framework for indicators	
	Essence	Qualifiers
6.1 The REDD+ program identifies all rights holder and stakeholder groups ³⁶ and characterizes their rights and interests and their relevance to the REDD+ program.	6.1.1 Rights holder and stakeholder groups are identified and their rights and interests and relevance to the REDD+ program are characterized.	i. Includes Indigenous Peoples and local communities. i. With special attention to women, marginalized and/or vulnerable people. ii. Identifying potential barriers to participation for each rights holder and stakeholder group.
	6.1.2 There is a procedure to enable any interested party to apply to be considered a relevant rights holder or stakeholder.	i. Relevance is based on their rights and interests related to REDD+ program.
6.2 All relevant rights holder and stakeholder groups that want to be involved in REDD+ program design ³⁷ ,	6.2.1 A process and institutional structure for full and effective participation are established and functional.	i. Applies to all relevant rights holder and stakeholder groups. ii. Applies to REDD+ program design, implementation and

³⁴ The 'relevant' rights holder and stakeholder groups are identified by the REDD+ program in accordance with criterion 6.1.

³⁵ '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..

³⁶ Groups of rights holders or stakeholders who have a similar rights or interests with respect to the REDD+ program.

³⁷ Including the development of land use and forest management plans related to the REDD+ program.

implementation ³⁸ , monitoring and evaluation are fully involved through culturally appropriate and effective participation.		evaluation.
	6.2.2 Marginalized and/or vulnerable people are effectively represented.	i. Including women.
	6.2.3 Consultations use socially and culturally appropriate approaches.	i. Approaches are tailored to the local context. ii. Consultations are conducted at mutually agreed locations.
	6.2.4 All relevant levels of government are involved in the REDD+ program.	i. Roles and responsibilities are clearly defined.
	6.2.5 The REDD+ program design and implementation is adapted in response to rights holder and stakeholder participation.	i. Through full and effective participation in design, implementation and evaluation of the program.
	6.2.6 Sufficient resources are available for full and effective participation of relevant rights holders and stakeholders.	
	6.2.7 The participation processes employed by the REDD+ program are developed and agreed with the relevant rights holder and stakeholder groups.	i. Taking account of statutory and customary institutions and practices.
	6.2.8 Rights holder and stakeholder groups select their own representatives.	i. With special attention to the participation of women and vulnerable and/or marginalized people in the selection of representatives.
	6.2.9 Rights holder and stakeholder group representatives involve and are accountable to the people they represent.	i. Representatives inform the people they represent about how the REDD+ program could potentially affect them, facilitating discussion and feedback.
6.3 Design, implementation, monitoring and evaluation of the REDD+ program builds on, respects, supports and protects rights holders' and stakeholders' traditional and other knowledge, skills and management systems including those of Indigenous Peoples and local communities.	6.3.1 The decision-making structures and processes of Indigenous Peoples and local communities are recognized, respected, supported and protected.	i. Ensuring that customary institutions and practices are not undermined.
	6.3.2 Traditional and other knowledge, skills and management systems of relevance to the REDD+ program are identified.	
	6.3.3 The REDD+ program builds on, respects and supports relevant traditional and other knowledge, skills and management systems.	i. Applies to planning, implementation and evaluation of the REDD+ program.
	6.3.4 Free, prior and informed consent is obtained for any use of traditional knowledge,	i. In accordance with relevant international standards including the Convention on Biological

³⁸ 'Implementation' is understood to include on-going planning/decision-making as well as the implementation of the activities.

	innovations and practices of Indigenous Peoples and local communities.	Diversity.
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.	6.4.1 Processes are established to resolve grievances and disputes related to the REDD+ program.	<ul style="list-style-type: none"> i. Includes national, local, regional and customary processes. ii. Includes grievances and disputes that arise during design, implementation and evaluation of the REDD+ program. iii. Includes disputes over rights to lands, territories and resources relating to the REDD+ program. iv. Includes grievances and disputes related to benefit sharing. v. The processes are transparent, impartial, and accessible. vi. Grievances are heard, responded to and resolved within an agreed time period.
	6.4.2 Rights holders and stakeholders are informed about and can access relevant grievance mechanisms.	<ul style="list-style-type: none"> i. Applies to grievance mechanisms at local, national, international levels and other relevant levels. ii. Includes grievances related to the operational procedures of relevant international agencies and/or international treaties, conventions or other instruments. iii. Ensuring that information is provided in a form that they understand.
	6.4.3 No activity is undertaken by the REDD+ program that could prejudice the outcome of an unresolved dispute related to the program.	<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.
6.5 Rights holders and stakeholders have the information that they need about the REDD+ program, provided in a culturally appropriate and timely way, and the capacity to participate fully and effectively in program design, implementation and evaluation.	6.5.1 Rights-holders and stakeholders have access to relevant information about the REDD+ program.	<ul style="list-style-type: none"> i. Information includes: <ul style="list-style-type: none"> a) the results of monitoring and evaluation; b) potential social, cultural, economic and environmental risks and opportunities; c) legal implications; d) REDD+ program governance structures and processes including opportunities to participate in decision-making processes; e) grievance mechanisms; f) global, national and local context. ii. Ensuring adequate time between information dissemination and decision-making to enable rights holders and stakeholders to

		<p>coordinate their response.</p> <p>iii. 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>i. With special attention to Indigenous Peoples and local communities, including the most vulnerable and marginalized people among them.</p> <p>ii. Ensuring that information is provided in a form that they understand.</p>
	6.5.3 Constraints to effective participation are addressed through capacity building.	<p>i. Applies to all relevant rights holder and stakeholder groups.</p> <p>ii. Capacity building is appropriate and effective for the needs of the groups concerned.</p> <p>iii. Includes capacity to use relevant grievance mechanisms.</p> <p>iv. Includes capacity to understand, implement and monitor legal requirements related to the REDD+ program.</p>
	6.5.4 Rights holders and stakeholders can access relevant legal advice.	<p>i. Including advice on relevant legal processes of the REDD+ program, and legal and financial implications of the program.</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.	6.6.1 A process is established to ensure that rights holders and stakeholders receive and supply all relevant information through their representatives.	
	6.6.2 Rights holder and stakeholder representatives collect and disseminate all relevant information from and to the people they represent.	<p>i. Ensuring adequate time to enable rights holders and stakeholders to coordinate their input.</p>

Principle 7: The REDD+ program complies with applicable local³⁹ and national laws and international treaties, conventions and other instruments.⁴⁰		
Criteria	Framework for indicators	
	Essence	Qualifiers
7.1 The REDD+ program complies with applicable local law, national law and international treaties,	7.1.1 International treaties, conventions and other instruments ratified or adopted by the country	

³⁹ 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.

⁴⁰ 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.

conventions and other instruments ratified or adopted by the country.	relevant to the REDD+ program are identified.	
	7.1.2 National and local laws relevant to the REDD+ program are identified.	
	7.1.3 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 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 affect rights.
	7.1.4 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 and 7.1.2. ii. Areas of actual or potential non-compliance are identified using appropriate assessment methods, such as human rights impact assessment.
7.2 Where local or national law is not consistent with the standards, a review process is undertaken to reconcile the inconsistencies.	7.2.1 A review process is established to address any inconsistencies between the standards and local or national law.	<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.

GLOSSARY

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.

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

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

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

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

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

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

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

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

Framework for indicators identifies key elements for each criterion. There 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 includes accessibility, people's participation, transparency, accountability, rule of law, predictability, justice and sustainability.

Human rights are the basis 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 are quantitative or qualitative parameters which can be achieved and verified in relation to a criterion.

Integrity include honesty, consistency, accuracy and maintaining completeness ('the state of being whole').

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

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

Marginalized people or groups are those that normally have little or no influence over decision-making processes. Marginalization may be related to gender, ethnicity, socio-economic status and/or religion. The

REDD+ Social & Environmental Standards explicitly adopt a differentiated approach that seeks to identify and address marginalization in all its forms.

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

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

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

Respect is taken to include not undermining or prejudicing rights.

Rights holders are those whose rights are potentially affected by the REDD+ program

Stakeholders are those whose interests are potentially affected by the program.

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

Transparent means that full and clear information is publicly accessible.

Vulnerable people or groups are those lacking secure access to the assets on which secure livelihoods are built (social, cultural, human, financial, natural, physical and political) and/or having high exposure to external stresses and shocks, including climate change, that may affect these assets and peoples' ability to use these assets. Forest dependency may be an important factor affecting vulnerability particularly where the REDD+ program itself may change access to forest resources. In many situations marginalization exacerbates vulnerability, e.g. marginalization by gender.

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

REDD+ SES Version 2	UNFCCC REDD+ safeguards
Principle 1: Rights to lands, territories and resources are recognized and respected by the REDD+ program.	(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;
Principle 2: The benefits of the REDD+ program are shared equitably among all relevant rights holders and stakeholders.	
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 vulnerable people.	(e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the 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;
Principle 4: The REDD+ program contributes to good governance, to broader sustainable development and social justice.	(b) Transparent and effective national forest governance structures, taking into account national legislation and sovereignty;
Principle 5: The REDD+ program maintains and enhances biodiversity and ecosystem services.	(e) That actions are consistent with the conservation of natural forests and biological diversity, ensuring that the 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;
Principle 6: All relevant rights holders and stakeholders participate fully and effectively in the REDD+ program.	(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;
Principle 7: The REDD+ program complies with applicable local and national laws and international treaties, conventions and other instruments.	(a) That actions complement or are consistent with the objectives of national forest programmes and relevant international conventions and agreements; (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;