

## Draft REDD+ Social & Environmental Standards

### Version 2 October 2009

This version has been prepared for public comments. Please send any comments to Joanna Durbin [jdurbin@climate-standards.org](mailto:jdurbin@climate-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 co-benefits, many have also highlighted the serious risks, particularly for Indigenous Peoples and other forest-dependent communities. Recognizing growing awareness at both international and national levels of the need for effective social and environmental safeguards, this initiative aims to define and build support for a higher level of social and environmental performance from REDD and other forest carbon programs.

#### Role of the standards

This initiative is developing standards that can be used by governments, NGOs, financing agencies and other stakeholders to design and implement REDD and other forest carbon programs that respect the rights of Indigenous Peoples and local communities and generate significant social and biodiversity co-benefits. These standards will be designed to work for the new global REDD+ regime expected to emerge out of ongoing UNFCCC negotiations, that is for government-led programs implemented at national or state/provincial/regional level and for all forms of fund-based or market-based financing.

#### Components of the standards

The standards will consist of principles, criteria and indicators that define the issues of concern and the required levels of social and environmental performance:

- **Principles** are the 'intent' level of a standard which elaborate on the objectives of the standard and define the scope. They are fundamental statements about the desired outcome and are not designed to be verified.
- **Criteria** are the 'content' level of a standard which set out the conditions which need to be met in order to deliver a principle. It can be possible to verify criteria directly but they are usually further elaborated by indicators.
- **Indicators** are quantitative or qualitative parameters which can be achieved and verified in relation to a criterion.

Although the standards are intended to be generic (i.e. the same across all countries), it is anticipated that some country-specific interpretation will be required especially at the level of indicators and guidance. Different options are under consideration for monitoring, reporting and verification that balance participation and ownership by stakeholders with enhanced transparency and accountability while also encouraging improved performance.

#### An inclusive and participatory process for development of the standards

The standards are being developed through an inclusive process engaging governments, non-governmental organizations and other civil society organizations, Indigenous Peoples organizations, international policy and research institutions and the private sector. A Standards Committee representing a balance of interested parties is overseeing the standards development. The majority of committee members are from REDD countries recognizing that southern governments and civil society should lead the adoption of the standards. The standards development process is being facilitated by the Climate, Community & Biodiversity Alliance (CCBA) and CARE International.

#### Preparation of this draft of the standards

This draft version of the standards derives from a multi-stakeholder workshop held in Copenhagen 5-7 May 2009, consultations with government and non-government representatives in Nepal 29 June-3 July and in Tanzania 9-11 September and other comments received. Originating at the Copenhagen workshop, the principles and criteria in this document have been subject to a series of consultations and revisions over a period of five months. Work on indicators started more recently with the country consultations in Nepal and Tanzania. These consultations and other discussions have identified key issues on which indicators should be based (i.e. an overall framework for the indicator level). Further input is needed to define the formulation that will be most effective for the monitoring, reporting and verification processes to be developed.

We welcome any comments and suggested amendments or additions to this draft version of the standards. Please include your name, organization, the reference number of the relevant principle-criterion-indicator, your comments and suggested changes to the text. Comments should be submitted to [jdurbin@climate-standards.org](mailto:jdurbin@climate-standards.org) by 30 November 2009 which is the end of the first 60-day public comment period.

<b>Principle 1: Rights to land, territories and resources are recognized and respected.</b>	
<b>Criteria</b>	<b>Framework for indicators<sup>1</sup></b>
1.1 The REDD+ program <sup>2</sup> effectively identifies the different rights holders (statutory and customary <sup>3</sup> ) and their rights to land, territories and resources relevant to the program.	1.1.1 A process is established to inventory and map existing statutory and customary land, territories and resources tenure/use/access/management rights (including those of women and other potentially marginalized groups) relevant to the program including and any overlapping or conflicting rights.  1.1.2 Land-use plans including forest management plans in areas included in the REDD+ program identify the rights of all rights holders and their spatial boundaries.
1.2 The REDD+ program respects and recognizes both statutory and customary rights to land, territories and resources which Indigenous Peoples or local communities <sup>4</sup> have traditionally owned and occupied or otherwise used or acquired. <sup>5</sup>	1.2.1 Land-use plans including forest management plans in areas included in the REDD+ program recognize customary and statutory rights of Indigenous Peoples and local communities.  1.2.2 The policies of the National REDD+ program include recognition of the customary rights of Indigenous Peoples and local communities.  1.2.3 The REDD+ program promotes securing statutory rights <sup>6</sup> to land, territories and resources which Indigenous Peoples or local communities have traditionally owned and occupied or otherwise used or acquired.
1.3 The REDD+ program requires the free, prior and informed consent of rights holders for any activities affecting their rights to lands, territories and resources.	1.3.1 The policies of the National REDD+ program uphold the principle of free, prior and informed consent of rights holders for any activities affecting their rights to lands, territories and resources.  1.3.2 The REDD+ program effectively disseminates information about the requirement for free, prior and informed consent of rights holders for any activities affecting their rights to lands, territories and resources.  1.3.3 Collective rights holders define a verifiable process of obtaining free, prior and informed consent including who has authority to give consent on their behalf.  1.3.4 Free, prior and informed consent is obtained from rights holders for any activities affecting their rights to lands, territories and resources following the agreed process.

<sup>1</sup> This framework for indicators identifies key elements for each criterion, recognizing that further input will be needed to define the formulation that will be most effective for the monitoring, reporting and verification processes to be developed.

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

<sup>3</sup> 'Customary rights' to lands and resources refers to patterns of long-standing community land and resource usage in accordance with Indigenous Peoples' and local communities' customary laws, values, customs, and traditions, including seasonal or cyclical use, rather than formal legal title to land and resources issued by the State.

<sup>4</sup> Including individual and collective rights.

<sup>5</sup> In particular, recognizing that Indigenous Peoples have the right to own, use, develop and control the lands, territories and resources that they possess by reason of traditional ownership or other traditional occupation or use, as well as those which they have otherwise acquired.

<sup>6</sup> Includes securing existing statutory rights and conversion of customary rights to statutory rights.

<p>1.4 The REDD+ program includes a process to resolve any disputes over rights to land, territories and resources related to the program based on the free, prior and informed consent of the parties involved.</p>	<p>1.4.1 A transparent and accessible mechanism of local/community/national mediation to resolve any disputes over rights to land, territories and resources related to the REDD+ program is developed and functional.</p> <p>1.4.2 Disputes are resolved in a timely manner within an agreed time frame.</p>
<p>1.5 Where the REDD+ program enables private ownership<sup>7</sup> of carbon rights<sup>8</sup>, these rights are based on the statutory and customary rights to the land, territories and resources (as identified in 1.1) that generated the greenhouse gas emissions reductions and removals.</p>	<p>1.5.1 A transparent process for defining carbon rights is developed and implemented based on the statutory and customary rights to the land, territories and resources (as identified in 1.1) that generated the greenhouse gas emissions reductions and removals.</p>

<b>Principle 2: The benefits of the REDD+ program are shared equitably<sup>9</sup> among all stakeholders and rights holders.</b>	
<b>Criteria</b>	<b>Framework for indicators</b>
<p>2.1 The projected costs potential benefits and associated risks<sup>10</sup> of the REDD+ program are identified for each stakeholder group.<sup>11</sup></p>	<p>2.1.1 Projected costs, revenues and other benefits and associated risks are analyzed for each stakeholder group identified in 6.1.</p>
<p>2.2 A transparent, participatory and efficient<sup>12</sup> process is established for equitable sharing of benefits of the REDD+ program taking into account costs, benefits and associated risks.</p>	<p>2.2.1 There is effective participation of stakeholders and rights holders in defining the decision-making process and the distribution mechanism for equitable benefit-sharing, including poor and marginalized groups.</p> <p>2.2.2 Clear guidelines for benefit-sharing are established, disseminated and followed.</p> <p>2.2.3 Administrative procedures for fund management and benefits distribution are timely and cost-effective.</p> <p>2.2.4 The design of the benefit-sharing mechanisms is based on a review of options with respect to the equity, effectiveness<sup>13</sup> and efficiency of the REDD+ program.</p> <p>2.2.5 The benefit-sharing process includes a transparent and accessible procedure for submitting and resolving complaints.</p>
<p>2.3 There is transparent and participatory monitoring of the costs and benefits of the REDD+</p>	<p>2.3.1 Stakeholders and rights holders participate effectively in monitoring of the implementation of the agreed benefit-sharing</p>

<sup>7</sup> Ownership of carbon rights may be individual or collective.

<sup>8</sup> For the purposes of these standards, ‘carbon rights’ are defined as the rights to enter into contracts and transactions for the transfer of ownership of greenhouse gas emissions reductions or removals.

<sup>9</sup> ‘Equity’ and ‘equitable’ are defined as just, impartial and fair to all parties.

<sup>10</sup> All analysis of costs, benefits and risks should include those that are direct and indirect as well as opportunity costs and should be compared against the reference scenario. The ‘reference scenario’ is the most likely land-use scenario in the absence of the implementation of the REDD+ program

<sup>11</sup> The term ‘stakeholder group’ is defined for the purposes of these standards to include groups of rights holders whose rights are potentially affected by the REDD+ program and groups of other stakeholders whose interests are potentially affected by the program. It is important that both groups are included, acknowledging a differentiation between interests and rights.

<sup>12</sup> ‘Efficient’ is defined as achieving the target with minimum cost, effort and time.

<sup>13</sup> The ‘effectiveness’ of the REDD+ program is defined as the extent to which the emissions reductions and other goals of the program are achieved.

program, including any revenues, and their distribution among stakeholders.	<p>process at national and local levels.</p> <p>2.3.2 Stakeholders and rights holders participate effectively in the reporting and review of costs, revenues and other benefits and how they are distributed taking into account the initial analysis of projected costs, revenues and other benefits and associated risks for each stakeholder group.</p>
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<b>Principle 3: The REDD+ program contributes to sustainable livelihoods and poverty alleviation for forest-dependent<sup>14</sup> peoples.</b>	
<b>Criteria</b>	<b>Framework for indicators</b>
3.1 The REDD+ program leads to additional and long-term livelihood and poverty alleviation benefits, emphasizing the poor and marginalized. <sup>15</sup>	<p>3.1.1 The objectives of the REDD+ program include making a significant contribution to sustainable livelihoods and poverty alleviation for forest-dependent peoples.</p> <p>3.1.2 Poor and marginalized groups are identified among the forest-dependent peoples participating in the REDD+ program.</p> <p>3.1.3 Communities of the forest-dependent peoples, including poor and marginalised groups, acknowledge that they have received benefits from participation in the REDD+ program.</p> <p>3.1.4 The REDD+ program generates increased financing to contribute to sustainable livelihoods and poverty alleviation.</p> <p>3.1.5 National livelihood poverty monitoring shows improvements in areas where REDD+ program activities are implemented.</p> <p>3.1.6 Measures are adopted to ensure that livelihood and poverty alleviation benefits are sustainable.</p>
3.2 The relevant forest-dependent peoples define how the REDD+ program improves their livelihoods and alleviates poverty through an inclusive and transparent process.	3.2.1 The REDD+ program adopts a transparent process that requires that forest-dependent peoples, including poor and marginalized groups among them to define the form that the benefits will take and how they are delivered.
3.3 There is participatory assessment of positive and negative livelihood and poverty impacts of the REDD+ program including both predicted (i.e. social impact assessment <sup>16</sup> ) and actual impacts.	<p>3.3.1 A participatory process is established and implemented to assess the predicted and actual positive and negative impacts of the REDD+ program for forest-dependent peoples and specifically for poor and marginalized groups.</p> <p>3.3.2 The social impact monitoring takes a differentiated approach that can identify positive and negative impacts on poorer people and other marginalized groups.</p>
3.4 The REDD+ program is adapted based on predictive and ongoing impact assessment to mitigate negative, and enhance positive, livelihood and poverty impacts.	3.4.1 Measures are developed and implemented to mitigate potential and actual negative impacts on forest-dependent peoples in general, and poor and marginalized in particular, both during the design and implementation phases of the REDD+ program.

<sup>14</sup> Forest-dependent peoples include Indigenous Peoples and local communities.

<sup>15</sup> Individuals or groups that are disadvantaged by gender, ethnicity, socio-economic status etc.

<sup>16</sup> Social impact assessment should include social, cultural and economic impacts and a risk analysis.

**Principle 4: The REDD+ program contributes to broader sustainable development and good governance<sup>17</sup> objectives.**

Criteria	Framework for indicators
<p>4.1 The REDD+ program is coherent with national sustainable development policies and strategies<sup>18</sup> and those at other relevant levels.</p>	<p>4.1.1 Land use planning elements of the REDD+ program including recognition of customary rights to land territories and resources are consistent with other land use planning processes.</p> <p>4.1.2 The REDD+ program policies and strategies elaborate how the REDD+ program will contribute to the implementation of any existing poverty reduction strategy developed at national or other relevant levels of government.</p> <p>4.1.3 The REDD+ program policies and strategies elaborate how the REDD+ program will contribute to the implementation of any existing biodiversity strategy developed at national level or for relevant ecological regions.</p> <p>4.1.4 The REDD+ program is supported by the broader policy framework for forests and other relevant sectors.</p>
<p>4.2 Where the REDD+ program is not consistent with national sustainable development strategies and those at other relevant levels, a review process is undertaken to resolve the inconsistencies.</p>	<p>4.2.1 Inconsistencies between the REDD+ program and other sustainable development strategies are identified.</p> <p>4.2.2 A review process and timeline for resolving the inconsistencies is established.</p>
<p>4.3 There is strong government ownership of the REDD+ program in their country.</p>	<p>4.3.1 REDD+ program institutional arrangements reflect government leadership.</p> <p>4.3.2 Government agencies/organizations play a leading role in the development, implementation and evaluation of the REDD+ program.</p>
<p>4.4 There is effective coordination between government agencies/organizations responsible for the design, implementation and evaluation of the REDD+ program and other relevant government agencies/organizations.</p>	<p>4.4.1 An effective and efficient process is established to link the REDD+ program with all relevant ministries and government agencies/organizations.</p>
<p>4.5 The REDD+ program leads to sector-wide improvements in forest governance.</p>	<p>4.5.1 The REDD+ program identifies the broader forest governance issues that it can address, particularly those related to the equity, effectiveness and efficiency of the REDD+ program, and establishes country-specific performance targets.</p> <p>4.5.2 The REDD+ program includes measures that aim to improve these governance aspects.</p> <p>4.5.3 The REDD+ program monitoring and evaluation plan includes key forest governance indicators.</p>

<sup>17</sup> The elements of good governance include accessibility, people's participation, transparency, accountability, rule of law, predictability, justice and sustainability.

<sup>18</sup> e.g. poverty reduction strategies/targets, national budgets, national biodiversity strategies, national climate change strategies, national adaptation plans etc.

<b>Principle 5: Biodiversity and ecosystem services<sup>19</sup> are maintained and enhanced.</b>	
<b>Criteria</b>	<b>Framework for indicators</b>
5.1 Biodiversity and ecosystem service values are maintained and enhanced.	<p>5.1.1 The objectives of the REDD+ program include making a significant contribution to maintaining and enhancing biodiversity and ecosystem services.</p> <p>5.1.2 Biodiversity and ecosystem service values<sup>20</sup> potentially affected by the REDD+ program are identified and mapped at a scale and level of detail appropriate to each element/activity within the program including but are not limited to areas of significance for threatened or endemic species, for significant concentrations or source populations of other species, for ecosystems and for ecosystem services of cultural, economic or religious importance to stakeholders, particularly forest-dependent peoples.</p> <p>5.1.3 The REDD+ program includes measures that aim to maintain and enhance the identified biodiversity, ecosystem service values.</p> <p>5.1.4 Increased financing from the REDD+ program contributes to maintaining and enhancing biodiversity and ecosystem service values.</p>
5.2 The positive and negative impacts of the REDD+ program on biodiversity and ecosystem service values are assessed.	<p>5.2.1 A monitoring plan and indicators are defined for measurement of the identified biodiversity and ecosystem service values drawing from traditional knowledge and scientific research as appropriate.</p> <p>5.2.2 There is an assessment of both predicted (e.g. strategic environmental assessment or environmental impact assessments) and actual impacts, involving forest-dependent peoples and other stakeholders as appropriate.</p>
5.3 The REDD+ program design addresses maintenance and enhancement of biodiversity and ecosystem service values.	<p>5.3.1 The REDD+ program is designed to maintain and enhance identified biodiversity and ecosystem service values building on relevant traditional knowledge and management practices of forest-dependent peoples and other stakeholders.</p> <p>5.3.2 Measures are developed and implemented to mitigate identified potential and actual negative impacts on the identified high conservation values both during the design and the implementation phases of the REDD+ program.</p>

<b>Principle 6: All relevant stakeholders and rights holders are able to participate fully and effectively in the REDD+ program.</b>	
<b>Criteria</b>	<b>Framework for indicators</b>
6.1 The REDD+ program identifies and characterizes stakeholder groups.	<p>6.1.1 Stakeholder groups are identified including Indigenous Peoples, local communities, women and other potentially marginalized groups.</p> <p>6.1.2 The rights and interests of each stakeholder group in relation to the REDD+ program are characterized including potential barriers to their participation.</p>

<sup>19</sup> 'Ecosystem services' in this context refers to services other than greenhouse gas emissions reductions or removals

<sup>20</sup> Including those identified in existing national biodiversity strategy and action plans (NBSAP), gap analyses supporting the Convention on Biological Diversity 2010 targets or application of frameworks aligned with these efforts such as multilateral development bank safeguards (World Bank OP 4.04, IFC Performance Standard 6), key biodiversity areas, high conservation value areas and other relevant systematic conservation planning approaches.

<p>6.2 All relevant stakeholder groups are involved in program design, implementation<sup>21</sup> and evaluation through effective consultation or more active participation.</p>	<p>6.2.1 A process and institutional structure are established and functional to enable all relevant stakeholder groups to participate in program design, implementation and evaluation.</p> <p>6.2.2 There is effective representation of women, youth and other potentially marginalized groups identified in 6.1 in the stakeholder consultation and participation process.</p> <p>6.2.3 Consultations are tailored to the local context using socially and culturally appropriate methods and are conducted at mutually agreed locations.</p> <p>6.2.4 Local government is involved in the REDD+ program as well as national government and its role is clearly defined.</p> <p>6.2.5 The REDD+ program plan/strategy is revised based on the stakeholder consultations.</p>
<p>6.3 Stakeholder groups determine how they will be represented, taking account of formal and informal arrangements/institutions.</p>	<p>6.3.1 The REDD+ program respects and does not undermine stakeholder groups' own decision-making structures and processes particularly those of Indigenous Peoples and local communities,</p> <p>6.3.2 Stakeholder groups select their own representatives to participate in decision-making about the REDD+ program.</p>
<p>6.4 Stakeholder group representatives ensure effective involvement of and accountability to the people they represent and assist with consensus building.</p>	<p>6.4.1 Stakeholder representatives have designed and are implementing a transparent process to inform the people they represent about how the REDD+ program could potentially affect them and facilitate discussion and feedback.</p>
<p>6.5 Stakeholders have a good understanding of the key issues related to the REDD+ program.</p>	<p>6.5.1 Information dissemination and other awareness-raising activities ensure stakeholders and rights holders have a good understanding of the REDD+ program, particularly forest-dependent peoples and the poor and marginalized groups among them.</p>
<p>6.6 Mechanisms are in place to receive and resolve grievances and disputes relating to planning and implementation of the REDD+ program.</p>	<p>6.6.1 A transparent and accessible process is established to address grievances and disputes that arise during project planning and implementation including a process for hearing, responding to and resolving stakeholder grievances within a reasonable time period.</p> <p>6.6.2 The grievance process is publicized to all stakeholders.</p> <p>6.6.3 The grievance process is managed by a third party or mediator to prevent any conflict of interest.</p>
<p>6.7 Program planning and implementation builds on and supports stakeholders' knowledge, skills and management systems including those of Indigenous Peoples and local communities.</p>	<p>6.7.1 A process is established to identify indigenous and other stakeholder knowledge, skills and management systems of relevance to the REDD+ program.</p> <p>6.7.2 The REDD+ program incorporates, as appropriate, the identified knowledge, skills and management systems in planning, implementation and evaluation.</p>

<sup>21</sup> 'implementation' is understood to include on-going planning/decision-making as well as the implementation of the activities.

**Principle 7: All stakeholders and rights holders have timely access to appropriate and accurate information to enable good governance of the REDD+ program.**

Criteria	Framework for indicators
<p>7.1 Stakeholders and rights holders have the information that they need before making a decision, including information about potential social, cultural, economic and ecological risks and opportunities, legal implications, and the global and national context.</p>	<p>7.1.1 Stakeholders and rights holders know what information is available and how to access it.</p> <p>7.1.2 The most effective means of dissemination of information are identified and used for each stakeholder group.</p> <p>7.1.3 Stakeholders and rights holders have access to relevant information about the REDD + program including the results of monitoring and evaluation of the REDD+ program, and potential social, cultural, economic and ecological risks and opportunities, legal implications, and the global and national context.</p> <p>7.1.4 Indigenous peoples and local communities have the information they need in a form they understand.</p>
<p>7.2 Stakeholder group representatives collect and disseminate all relevant information from and to the people they represent,</p>	<p>7.2.1 Stakeholder group representatives collect and disseminate all relevant information related to the REDD+ program from and to the people they represent.</p> <p>7.2.2 A process is established to ensure that stakeholders receive and supply all relevant information related to the REDD+ program through their representatives.</p>
<p>7.3 Information is available and disseminated in time to enable stakeholder feedback to their representatives and respecting the time needed for inclusive decision making.</p>	<p>7.3.1 There is adequate time between information release and decision-making to enable stakeholders to coordinate their response.</p>
<p>7.4 National policies support stakeholder access to information about the REDD+ program, including information on rights to land, territories and resources.</p>	<p>7.4.1 Policies and/or legislation uphold the right to information about the REDD+ program.</p> <p>7.4.2 The right to information policies and/or legislation are implemented.</p>
<p>7.5 Stakeholders and rights holders have access to legal advice and understand relevant legal implications and processes.</p>	<p>7.5.1 A legal advice service is available and accessible to stakeholders and rights holders to advise them on the legal implications of the REDD+ program and on legal processes.</p>

**Principle 8: The REDD+ program complies with applicable local<sup>22</sup> and national laws and international treaties and agreements.**

Criteria	Framework for indicators
8.1 The REDD+ program complies with local law, national law and international treaties and agreements ratified or adopted by the country.	8.1.1 International treaties and agreements relevant to the REDD+ program are identified. 8.1.2 National and local laws relevant to the REDD+ program are identified. 8.1.3 Any possible areas where the REDD+ program does or may not comply with the relevant local and national laws and international treaties and agreements are identified and monitored.
8.2 Where local or national law is not consistent with the standards, a review process should be undertaken that results in a plan to resolve the inconsistencies.	8.2.1 A review process is established to address the inconsistencies between the standards and local or national law.
8.3 Relevant stakeholders have the capacity to implement and monitor legal requirements.	8.3.1 Relevant stakeholders have the capacity to enable them to implement and monitor legal requirements related to the REDD+ program.

<sup>22</sup> Local laws include all legal norms given by organisms of government whose jurisdiction is less than the national level, such as departmental, municipal and customary norms.