

# Safeguard (a) - Consistency with national objectives and international agreements

Key Issues
<ol style="list-style-type: none"><li>1. Consistency with international commitments on climate; contribution to national climate policy objectives, including those of mitigation and adaptation strategies.</li><li>2. Consistency with the achievement of the Millennium Development Goals and post-2015 Sustainable Development Goals; contribution to national poverty reduction strategies.</li><li>3. Consistency with international commitments on the environment; contribution to national biodiversity conservation policies (including National Biodiversity Strategies and Action Plans), other environmental and natural resource management policy objectives.</li><li>4. Consistency with State's human rights obligations under international law, including the core international human rights treaties and ILO 169, where applicable.</li><li>5. Consistency and complementarities with the objectives of the national forest programme.</li><li>6. Coordination among agencies and implementing bodies for REDD+, national forest programmes and national policy(ies) that enact the relevant international conventions and agreements.</li><li>7. Consistency with other relevant international conventions and agreements.</li></ol>
Benefit/Risk Analysis
<ol style="list-style-type: none"><li>1. Are any of the candidate REDD+ actions / PAMs likely to:<ol style="list-style-type: none"><li>1.1. Make a specific contribution to achieving the objectives of the national forest programme?</li><li>1.2. Make a specific contribution to achieving policy objectives on climate change adaptation (e.g. on restoring degraded watersheds to reduce flood risk), or objectives for additional climate change mitigation?</li><li>1.3. Make a specific contribution to achieving the Millennium Development Goals or other international commitments on poverty reduction?</li><li>1.4. Make a specific contribution to achieving the objectives of the Convention on Biological Diversity (e.g. through forest restoration using native species)?</li><li>1.5. Potentially have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups?</li></ol></li><li>2. Is there a risk of conflict between the candidate REDD+ actions / PAMS and:<ol style="list-style-type: none"><li>2.1. Other climate change mitigation strategies (e.g. concerning land or woody biomass requirements for bioenergy production, or alternative energy development such as hydropower or wind farms)?</li><li>2.2. National poverty reduction strategies (e.g. plans for infrastructure development or agriculture)?</li><li>2.3. Other environmental policy objectives and strategies (e.g. plans for community or production forests under the national forest programme, or for increased protected area coverage under the National Biodiversity Strategy and Action Plan)?</li><li>2.4. State's human rights obligations under international law, including the nine core international human rights treaties and ILO 169?</li></ol></li></ol>

# Safeguard (b) - Transparent, effective forest governance and sovereignty

## Key Issues

1. Access to information.
2. Accountability.
3. Land tenure.
4. Equitable distribution of benefits.
5. Enforcement of the rule of law.
6. Adequate access to justice, including procedures that can provide effective remedy for infringement of rights, and to resolve disputes (ie grievance mechanisms).
7. Gender equality.
8. Coherency of national/subnational legal, policy and regulatory framework for transparent and effective forest governance.
9. Corruption risks.
10. Resource allocation/capacity to meet institutional mandate.
11. Participation in decision-making processes.

## Benefit/Risk Analysis

1. Are any of the candidate REDD+ actions / PAMs likely to:
  - 1.1. Generate and share relevant and timely information (i.e. financial information, information about decision-making processes, bidding and procurement processes, etc.) with stakeholders in the appropriate language and format?
  - 1.2. Set up new, or enhanced existing forest organizational decision-making structures, with clear and defined roles and responsibilities?
  - 1.3. Be monitored against a set of clear, measurable and time-bound targets?
  - 1.4. Be framed and codified by legal/regulatory systems that are provided the means to be enforceable?
  - 1.5. Create and apply appropriate sanctions?
  - 1.6. Be safeguarded against corruption risks through additional specific detection, prevention and sanction measures?
  - 1.7. Have the appropriate capacities (individual, institutional, collaborative, financial capacities) to be effectively implemented?
  - 1.8. Have inequitable adverse impacts on gender equality and/or the situation of women and girls?
  - 1.9. Discriminate against women or other groups based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?
  - 1.10. Have impacts that could adversely affect women's and men's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?

# Safeguard (c) - Respect for knowledge and rights of indigenous peoples and local communities

## Key Issues

1. Definition/determination of indigenous peoples and local communities.
2. Recognition and allocation of rights to land, territories and resources.
3. Right to compensation and/or other remedies in case of involuntary resettlement and/or economic displacement.
4. Right to share in benefits when appropriate.
5. Right to self-determination.
6. Right to participate in decision making on issues that may affect them.
7. Free, Prior & Informed Consent (FPIC).
8. Recognition and protection of indigenous peoples' and local communities' traditional knowledge, cultural heritage, intellectual property.

## Benefit/Risk Analysis

1. Are any of the candidate REDD+ actions / PAMs likely to:
  - 1.1. Potentially affect the rights, lands and territories of indigenous peoples and/or local communities (regardless of whether Indigenous Peoples possess the legal titles to such areas)?
  - 1.2. Involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples and/or local communities?
  - 1.3. Potentially result in forced eviction or the whole or partial physical displacement of indigenous peoples and/or local communities, including through access restrictions to lands, territories, and resources?
  - 1.4. Potentially result in economic displacement of indigenous peoples and/or local communities (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?
  - 1.5. Adversely affect the development priorities of indigenous peoples and/or local communities as defined by them?
  - 1.6. Potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples and/or local communities?
  - 1.7. Potentially affect the Cultural Heritage of indigenous peoples and/or local communities, including through the commercialization or use of their traditional knowledge and practices?
  - 1.8. Result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)?
  - 1.9. Potentially affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?
  - 1.10. Potentially discriminate against indigenous peoples and/or local communities regarding participation in design and implementation or access to opportunities and benefits?

# Safeguard (d) - Full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities

Key Issues
<ol style="list-style-type: none"><li>1. Full and effective participation of relevant stakeholders.</li><li>2. Legitimacy and accountability of bodies representing relevant stakeholders.</li><li>3. Participatory mechanisms or platforms.</li><li>4. Access to justice, grievance mechanisms.</li><li>5. Transparency and accessibility of information related to REDD+.</li></ol>
Benefit/Risk Analysis
<ol style="list-style-type: none"><li>1. Are any of the candidate REDD+ actions / PAMs likely to exclude any affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?</li><li>2. Are any of the candidate REDD+ actions / PAMs likely to exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?</li><li>3. Has a process/platform been established for the relevant stakeholders to engage fully and effectively (e.g. in a gender-responsive, culturally sensitive, non-discriminatory and inclusive manner)?</li><li>4. Has a process been established to outline how the government will secure the free, prior and informed consent of relevant rights-holders for REDD+ actions that will impact their rights, lands, territories or resources?</li><li>5. Have the relevant stakeholders identified their own representation structures, including representatives?</li><li>6. Have the relevant stakeholders been consulted fully and effectively in the design and agreement of the REDD+ actions?</li><li>7. Has a process been established for those impacted/affected by REDD+ actions to have their complaints heard and addressed?</li><li>8. Has a process been established to ensure the timely dissemination of information about REDD+ actions to relevant stakeholders in an accessible form and language?</li></ol>

# Safeguard (e) –Natural forest, biological diversity and enhancement of benefits

## Key Issues

1. Definition of natural forest and understanding of the distribution of natural forest.
2. Understanding the potential impacts of REDD+ policy options on biodiversity and forest ecosystem services.
3. Conservation of natural forests; avoiding degradation, or conversion to planted forest (unless as part of forest restoration).
4. Management of planted and natural forests to maintain or restore biodiversity and ecosystem services (e.g. soil erosion control, water purity, non-timber forest products).
5. Identification and enhancement of social benefits (e.g. improved livelihoods, benefit sharing).
6. Conservation of biodiversity outside forest.

## Benefit/Risk Analysis

1. Are any of the candidate REDD+ actions / PAMs likely to:
  - 1.1. Result in enhanced conservation of biodiversity, natural forests and their ecosystem services, such as:
    - 1.1.1.Improving the status of areas of biodiversity importance (e.g. through better management of protected areas, or targeting REDD+ actions in areas of biodiversity importance)?
    - 1.1.2.Avoiding soil erosion and maintaining water quality (e.g. through targeted reduction of forest clearance or of intensive logging on steep slopes and riverine forests)?
  - 1.2. Pose risks to the conservation of biodiversity, natural forests and their ecosystem services, through:
    - 1.2.1.Conversion (e.g. establishment of plantations in degraded or secondary forest)?
    - 1.2.2.Degradation of biodiversity and ecosystem services (e.g. by intensifying the use of forests leading to increased hunting pressure on vulnerable species, or by favoring highly productive tree species at the expense of species diversity)?
  - 1.3. Pose risks to biodiversity outside forests, through:
    - 1.3.1.Displacement of land-use change (e.g. new grazing land in other ecosystems rather than in forest)?
    - 1.3.2.Unintended impacts on neighbouring lands (e.g. from pesticide drift from intensified agriculture, water abstraction, or fire resulting from forest management)?
    - 1.3.3.Afforestation in areas of conservation importance?
  - 1.4. Pose risks to biodiversity in other countries, through:
    - 1.4.1.Increased imports of agricultural products to offset reductions in domestic production?
    - 1.4.2.Increased imports of timber?
    - 1.4.3.Improve local communities' access to forest products, such as fuel wood, forest foods and medicinal plants?
2. Are any of the candidate REDD+ actions / PAMs likely to:
  - 2.1. Restrict availability, quality of and access to forest products, in particular to local communities?
  - 2.2. Enhance communities' capacity to adapt to climate change and hence reduce their vulnerability to climate change?
  - 2.3. Provide incentives related to the conservation of natural forests and their ecosystem services (e.g. benefit-sharing, Payments for Ecosystem Services (PES))?
  - 2.4. Provide livelihood opportunities for local communities (e.g. employment in assisted natural regeneration project, development of alternative income generating opportunities that reduce pressures on forests)?
  - 2.5. Negatively impact local livelihoods (e.g. through loss of livelihoods due to closures in timber and timber-related industries or controls on agricultural expansion)?

2.6. Conserve forests and forest products of traditional and spiritual importance for indigenous and local communities? (e.g. conservation of sacred sites, medicinal plants)

3. Will the REDD+ programme incentivize forest conservation by prioritizing actions that reduce conversion of natural forest (e.g. to agriculture) over other REDD+ activities?

3.1.1. If actions that reduce conversion are not prioritized, is there a risk that forest clearance will continue while effort is expended on other REDD+ activities such as afforestation?

4. Will the REDD+ programme prioritize interventions that reduce degradation of natural forest over other REDD+ activities?

# Safeguard (f) - Address risk of reversals

## Key Issues

1. Analysis of the risk of reversals of emissions reductions, also referred to as 'non-permanence'.
2. National Forest Monitoring System (NFMS) may be designed to detect and provide information on reversals.
3. Plausible reference scenarios for REDD+ that give a reasonable indication of the risk of deforestation in the absence of REDD+. If this is underestimated, then REDD+ successes may be at a greater risk of reversal.

## Benefit/Risk Analysis

1. Are any of the candidate REDD+ actions / PAMs likely to be vulnerable to:
  - 1.1. Climate change (e.g. more frequent drought, flooding)?
  - 1.2. Wildfire?
  - 1.3. Institutional failure?
  - 1.4. Projected demographic trends and changing demands on land, including through international trade?
  - 1.5. Instability in neighbouring countries (e.g. REDD+ actions in troubled border areas)?

# Safeguard (g) - Reduce displacement of emissions

## Key Issues

1. Addressing direct and indirect drivers of land-use change.
2. Displacement of emissions at the local level (e.g. across REDD+ project boundaries) may result from some REDD+ options.
3. Displacement of emissions at the national level (to other locations within the country) may result from some REDD+ options.
4. Displacement of emissions at the international level (to other countries) may result from some REDD+ options.
5. National Forest Monitoring System (NFMS) may be designed to detect and provide information on displacement at national, regional and local levels.

## Benefit/Risk Analysis

1. Are there drivers of land-use change and forest degradation that are likely to persist despite REDD+ actions?
2. Are any of the candidate REDD+ actions / PAMs likely to:
  - 2.1. Result in displacement of land-use change at the local level (e.g. forest protection leading to agricultural conversion of bushland)?
  - 2.2. Give rise to displacement of land-use change within national borders?
  - 2.3. Lead to international displacement of land-use change (e.g. as a result of increased imports of food or timber to offset reductions in domestic production)?
3. Is the significance of the carbon storage role of non-forest ecosystems in the country/ region understood (i.e. the extent of damage to the climate from displaced land-use change)?
4. Is the vulnerability of non-forest ecosystems to land-use change understood (e.g. agricultural suitability, accessibility, protection status, potential importance for extractive uses, fragmentation)?